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Preface

The 2015 Youth Academic Forum, themed “Reason-Romance-Resonance”, was successfully held by the School of International Studies, Zhejiang University from June 5-6, 2015 in Hangzhou, China. More than 100 young scholars attended this event which was supported by the Fundamental Research Funds for Key Universities. The aim of the forum is to provide an internal platform for young faculty and doctoral students teaching and studying in the School of International Studies, Zhejiang University, to have in-depth exchanges on both theoretical and practical issues concerning their research interests.

With careful review, forty-two (42) papers delivered at the forum have been accepted for this proceeding, covering a wide variety of topics in linguistics, literature, translation and cultural studies. The papers in linguistics cover almost all of the relevant sub-disciplines, such as syntax, semantics, lexicology, second language acquisition, English for specific purposes, discourse studies, quantitative linguistics, forensic linguistics and corpus linguistics. One prominent feature highlighted in these papers is the interdisciplinary interactions between different sub-disciplines, for example, taken as an approach, corpus linguistics has been adopted in these papers to analyze linguistic phenomena, comparable texts, or even language testing. The integration of quantitative and qualitative analyses makes these studies more comprehensive and persuasive. In terms of literary studies, although most of the papers are on literature of English-speaking countries, there are papers on comparative literature, Russian literature and German literature.

With regard to translation studies, the papers explore not only literary translation, but also legal translation, as well as musical lyric translation. The two papers in cultural studies are chiefly concerned with the study of Chinese cultural heritage. While one takes a historical approach to examine how the Southern Song Dynasty in ancient China remade the landscape of Lin’an, the other seeks to reinterpret the heritage meanings of the historical urban area in Zoucheng city, Shandong Province from the perspective of continuity through ethnographic studies and narrative inquiries.

From the proceeding, we notice the mergence in terms of research interests and tools among linguistics, literature, translation and cultural studies, which may well reflect the wholesome collaboration between scholars among different disciplines in the School of International Studies, an institution emphasizing the interdisciplinary, intercultural and international cooperation.

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Zhejiang University is one of China’s foremost research universities located in Hangzhou China. As a comprehensive institution of higher learning with a long-standing commitment to seeking the truth and pursuing innovativeness, Zhejiang University has been committed to its core mission of education, research, social service and cultural transmission. Zhejiang University is a place of tradition, a place that is full of vitality and entrepreneurial spirit. In this era of globalization, the University is keen to work with international partners in the shared pursuit of knowledge and excellence, to contribute to the development and progress of human society.

The School of International Studies (SIS) is one of the 32 schools in Zhejiang University. The SIS school was established in 1928 with its predecessor of the Department of Foreign Languages, College of Arts and Sciences, and experienced several restructurings in its history. In 1999, the College of Foreign Languages was established with the merging of different departments with the same origin: Department of Foreign Languages at Zhejiang University, School of Foreign Languages at Hangzhou University, Department of College Foreign Languages at Hangzhou University, Department of Public Foreign Languages at Zhejiang Agricultural University, and the Foreign Language Teaching and Research Section of Zhejiang Medical University. The College acquired its name of School of International Studies, Zhejiang University in 2003.

Our school is very proud of its history and its well-known professors and scholars, for example: Professor Mei Guangdi, She Kunshan, Chen Jia, Fang Zhong, Qi Shuhan, Lin Tianlan, Guo Binhe, Chen Kui, Olga Demant, Jiang Bingxian, Zhang Junchuan, Bao Lvping, Zheng Ruzhen and Suo Tianzhang, who have taught at the school. Well-known students that are mentioned frequently include Hu Qiaomu, Bo Bing and Qiu Ke’an.

SIS has 184 faculty members, among whom 27 are full professors, 58 are associate professors (including 6 senior lecturers), 28 doctoral program supervisors, and 64 Master program supervisors, in addition to various key national level scholars who operate key labs. SIS has more than 1,000 undergraduates, master and doctoral students, as well as more than 100 overseas students. The motto of SIS is “Pursuing education via a fusion of Chinese and Western Studies. Expanding knowledge via an investigation of the world.” SIS strives to cultivate foreign language talents with global visions, interdisciplinary knowledge, potential leadership and excellent humanistic qualities. SIS offers various programs including Ph.D. in Foreign Language and Literature, English Language and Literature, Linguistics and Applied Linguistics, German Language and Literature, and Russian Language and Literature. There are also seven Master programs and professional programs, in addition to more than 8 Bachelors’ degree programs.

For more information, please visit the website: http://www.zju.edu.cn/english/
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Keynote Speech I

Utopian Landscapes: From Thomas More’s Utopia to Tao Yuanming’s Peach Blossom Spring

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[Abstract] The concept of “Utopia”, with a long history in western culture, shares a lot with the philosophy of “Peach Blossom Spring” in the Chinese culture (See Appendix I). By analyzing British writer Thomas More’s Utopia and Chinese poet Tao Yuanming’s “Peach Blossom Spring”, this paper tries to illustrate how both writers present a harmonious nation, society and culture, giving solutions to problems, and therefore, modeling an ideal society and a better future. Thomas More and Tao Yuanming put similar ideas into different literary practices, giving insightful Utopian landscapes even in today’s world.

[Keywords] Utopia, Peach Blossom Spring, Utopian landscapes

Introduction

In the long process of history, the idea of “Utopia” (meaning “nowhere”) has a long-standing influence on western cultural tradition. In ancient Greece, Aristophanes (BC446-385) once made an ideal aspiration of society in The Birds (BC414), describing “a republic of wood-pigeons in clouds”. The concept of Utopia can be dated back to Plato’s (BC427-347) The Republic (around BC380), while the word of “Utopia” was first adopted by British writer Thomas More. The implication and expression of Utopia vary from a literary expression to the blueprint of an ideal political policy of a society, even to the psychological status of pursuing a happy life, and finally can be generalized as a plan for any future. The place called Utopia is not only an ideal society for living a happy life, but also an imagination and a configuration that never exists in reality. This double meaning gives opportunities for people to give different interpretations and add more possibility to establish their theories. The Utopian tradition was established, and since then a number of works show landscapes of Utopia with historical marks, such as Italian Utopian communist Thomas Campanella’s The City of the Sun (1623) and British famous materialist philosopher and scientist Francis Bacon’s New Atlantis (1627). In fact, “Utopia” only demonstrates that it is possible to build an ideal society, which gives an expression of dissatisfaction and places hope in the critique of their Utopian intent (Chen, 2000). Germany Marxist and Utopian theorist Ernst Bloch broadened the concept of “Utopia”, making it a philosophical concept which can be characterized by superstition or unrealistic fantasy, and can also be expressed by some kind of rational expectations and plans (Chen, 2000). “Utopia” has obvious overtones of politics since it has an inseparable relationship with the political system. It is also a purveyor of literature, such as a Utopian novel and science fiction. Frederic Jameson, through focusing on science fiction, analyzes ideology and Utopian scenes through the narrative and archaeology, showing political, ideological and Utopian issues in different cultural texts (Fang, 2012).

The narrative of “Utopia” in Chinese literature and the imagination of an ideal society have fallen into a deep route of literary tradition, which is typically represented by Tao Yuanming’s Peach Blossom Spring (Wu, 2006). The poet of the Dongjin Dynasty, influenced by Taoism and Buddhism, finally embodied his seclusion idea in describing an ideal rural land of peach blossoms under the effect of
Confucianism. Comparatively speaking, Tao Yuanming withdrew from the world under the influence of Taoism, while More, who lived like a Confucian, entered the world and made more efforts in society. Tao’s imaginary world is full of fantasy. People in this place enjoy warmth, tranquility and satisfaction. It seems that there is no evil in that world, only kindness and peace. This peach blossom spring both corresponds to Confucius’ philosophy of the ideal and “great harmony” society, and also the philosophy of Taoism – such as “governing by doing nothing against the nature”. Traditionally this peach blossom spring is closely related with the ancient Chinese concept of “great harmony”, which makes the harmonious eras of Yao, Shun and Yu as the best examples. Also we can see in the earliest collection of poems and songs in China, the Book of Songs (BC1123-BC256), there is a description of similar landscapes to that in Peach Blossom Spring, “The villagers help each other in the farming. They go out farming when the sun rises and come home for rest when the sun sets”. The same landscape is also shown in another Chinese philosophical work Book of Master Zhuang (BC290) when it tells people to work when the sun rises, to rest when the sun sets, and to take life easy in the universe in order to find your own heart (Guo, & Cheng, 2011). They both share the ideal community, not politically-oriented but naturally and harmoniously surrounded. In this community of “great harmony”, there is no exploitation, no class difference and no oppression. In the Book of Rites (BC202-BC8), there is a clear definition of “great harmony”: the whole world as one community; people of virtue and talent are employed …there is no cheating, no stealing, …that is great harmony. Sun (2011) points out that the ideal community continues in all phases of Chinese history, exemplified by Sun Yat-sen after the 1911 Revolution in the modern history of China: the aim of human evolution is what Confucius means when stating “when the great way prevails, the world is equally shared by all” (p. 226).

In the long history of human beings, both western and eastern literature show an eagerness for an ideal society, an always better-world than the world today. Both western and eastern literature show the reflection of the time when writers live and write of their imagination for a better future. Among them, Utopia and Peach Blossom Spring are the two best examples, showing the landscapes of the Utopian world.

**Utopia and Peach Blossom Spring: Communism and Seclusion**

*Utopia* and *Peach Blossom Spring* are different in their approaches to an ideal society, however, they are equally satisfactory in their result. The British writer Thomas More published his famous work Utopia in 1516, in which he put his diplomatic experience as the background. On the other hand, Tao Yuanming felt depressed about his unsuccessful career. After resigning and living in seclusion, he turned to writing. In his representative works *Returning to My Farm* and *Peach Blossom Spring*, he developed an ideal society and placed all his hope on writing in a poetic way. More gave a full account of Utopia in six aspects: public ownership, mode of production, agriculture and handicraft, city planning, medical security and education. On the contrary, Tao’s description was much shorter and more abstract. In their writings we can see how communism and seclusion are presented.

It was not Plato’s, but More’s foresight that there could be a wealthy public ownership society. A hierarchical society misleads Plato to advocating that the minority might be rich because he thinks that wealth makes lazybones. More, as a representative of petty bourgeoisie, cares for the general public. His *Utopia* upholds a public ownership, which takes the road of common prosperity. *Peach Blossom Spring*, without tortuous introduction, never tells what kind of ownership it is. The basic unit of a society, in both *Utopia* and *Peach Blossom Spring*, is the family (home, private house). The male does the farm work in
fields, and the female weaves at home. Tao highlighted the hospitality of people in *Peach Blossom Spring*, describing families twice: “they invited him to their homes, where they put wine before him, killed chickens and prepared food in his honor”; “Afterwards all the rest invited him to their homes, and all feasted him with wine and food.” It is the highest courteous reception to invite the fisherman to the villagers’ homes rather than to the public places, which, to a great extent, shows that Tao is in concordance with a Confucius’ well-to-do family. Family is not only the beginning and the end of an individual life, but also the fundamental unit in sociological perspective. It is the icon and principle of property.

_Utopia_ has some general characteristics of a communist society. However, it is reported that every household has two slaves, who are either from foreign countries or are Utopian criminals. In this place, wealth is of little importance and is only good for buying commodities from foreign nations or bribing these nations to fight each other. Also, it is a welfare state with free hospitals, acceptable euthanasia and married priests, while premarital sex and adultery are seriously punished. People share meals in community dining halls, while the old and the administrators are given the best of the food. What’s more, laws are made deliberately simple here so that all people understand them with no doubt. Compared with these communist features, Tao Yuanming’s _Peach Blossom Spring_ shows more of his philosophy of living in seclusion. Local people’s clothes were quite different from the outsiders’. They had good fields, ponds, plants and flowers, living peacefully and quietly. They talked with the fisherman, and entertained him with delicious food and drink. When the fisherman introduced the outside world to them in detail, they sighed but insisted that the fisherman should never mention this paradise place to others. Finally, no matter how hard the fisherman tried, he could never find the way back to the paradise.

Though the social system is different, the two texts share the isolation of geographical landscape from the outside. The geographical landscape of the Island of Utopia, according to More (1965), is “broadest in the middle, where it measures about two hundred miles across. It’s never much narrower than that, except towards the very ends, which gradually taper away and curve right round, just as if they’d been drawn with a pair of compasses until they almost form a circle five hundred miles in circumference” (p. 69). It is really a crescent-shaped island that curves in on itself, enclosing a large bay and protecting it from the ocean and wind. Access to the bay is impeded by submerged rocks, the locations of which are known only to Utopians. The bay allows for easy internal shipping and travel, but makes any sort of external attack or unwanted contact unlikely. This allows the Utopians to remain as isolated as they want to be. It is even more mysterious for us to see how the fisherman found Peach Blossom Spring. Or, in other words, the landscape of Peach Blossom Spring is even more mysterious. The fisherman lost his way at first, then he spotted a light at the end of the stream in the cave. After some twists and turns, he was surprised to find a wide and fertile field. What’s even more mysterious is that, when the fisherman broke his promise of never telling others about this place and led local officers to locate the paradise, he got lost forever. Both *Utopia* and *Peach Blossom Spring* show that the isolated place never exists anywhere and anytime. It can be neither disturbed nor shared by more people. On one hand, it will lose its possibility of existence once it is discovered, as we can see from the end of *Peach Blossom Spring* that anyone, who looks for this place, gets lost and can never find it again, or might even “fell ill and died before realizing his plan.” This corresponds more to French theorist Herbert Marcuse’s (2002) definition of “Utopia”, which is “temporarily not feasible”, rather than “absolutely impossible”. This makes people longing for it forever.
Utopia, as a book describing life under communism and Peach Blossom Spring, as a prose describing life in seclusion, both reflect the sense of Utopia, which, in philosophical tradition, refers to an ideal commonwealth or state, a place of order, perfect in social, political, and moral aspects. The innate sense of Utopia aims at the desire and drive to achieve a better state of being, with the belief that the future can fundamentally transcend the present. However, collectivism and despotism are considered to be the inevitable productions of Utopia, while in Peach Blossom Spring, the sense of Utopia is reprimanded by its own natural properties.

Ideal Worlds: Reflections on the Present

Every Utopian work is an ideal world imagined by its author, through which people see the reflections of the society they live in. English political philosopher, James Harrington, writer of the Utopian work The Commonwealth of Oceania and a System of Politics (1992), was influential in the design of three American colonies as Utopian societies. Fredric Jameson, in his Archaeologies of the Future (2005), argues that “Utopia has always been a political issue, an unusual destiny for a literary form: yet just as the literary value of the form is subject to permanent doubt, so also its political status is structurally ambiguous” (p. xi). Jameson connects Utopia with politics profoundly with historical backgrounds in consistent flux. Moreover, he contends that fiction is always concerned with good and evil, somehow in a magic way, while Utopia is about a future that probably never exists. In Jameson’s viewpoint, the form Utopia itself is a reflection of the radical difference, otherness and the systemic nature of society as a whole (Jameson, 1991). Thus, the aim of Utopia is not to imagine a brighter future, but to reflect on our existence in a non-Utopia world.

Both Utopia and Peach Blossom Spring have fictional characters. By telling the story about a fictional character Raphael and himself, More exposed the shortcomings of the English social system. Raphael shared his adventures to many places, including an ideal community named “Utopia”. There people enjoyed equality in all fields and the property was owned by the public. More, in Rapheal Hythloday’s words, told everything that he saw during the five-year stay in Utopia, and made Rapheal a spectator who saw most of the game. In Tao Yuanming’s Peach Blossom Spring, when a fisherman from Wuling was sailing along the river, he strayed into a secluded place surrounded by peach grove. In that village, people happily enjoyed their family lives. Everyone wore the same thing and knew nothing about what happened on the outside. Tao led us to the whole process while the fisherman lost his way and happened to discover Peach Blossom Spring. On the other hand, the fisherman introduced the outside world to this secluded place and joined the villagers’ life.

The ideal society in Utopia is not presented by Thomas More as the possibility for any nation to mimic. More admitted as much by describing Utopia only within a fictional frame. Utopia may be ideal, but in the very structure of Utopia the ideal can never be attained and can only be used as a measuring stick. In telling More about the Island of Utopia, Raphael revealed the evil of the English society, and also showed that no matter how good a proposed policy was, it would always be insane to a person with different views. In Raphael’s idea, the policies of the Utopians were superior to those of the Europeans, though the Europeans made those policies ludicrous. More (1965) claimed, “I don’t see how you can ever get any real justice or prosperity, so long as there’s private property, and everything’s judged in terms of money” (p. 65). More (1965) revealed the root of all problems: “unless you consider it just for the worst sort of people to have the best living conditions, or unless you’re prepared to call a country prosperous, in which all the wealth is owned by a tiny minority – who aren’t entirely happy even so, while everyone else
is simply miserable” (p. 65). The gap between the rich and the poor disturbed the public order. Besides, Amaurot, the capital city of Utopia, which means darkness and gloom, was considered to be an implication of London. More (1965) pointed out very few laws were required with their social system in Amaurot: “one of their great complaints against other countries is that, although they’ve already got books and books of laws and interpretations of laws, they never seem to have enough. For, according to the Utopians, it’s quite unjust for anyone to be bound by a legal code which is too long for an ordinary person to read right through, or too difficult for him to understand” (p. 106). This implicates the tortuous judiciary of England society and attacks current malpractice, especially to the king.

_Peach Blossom Spring_ is often regarded as Tao Yuanming’s idyllic seclusion. In Tao’s young age, he had an ambition to help people live better. However, the Dongjin Dynasty (317-420) was declining because of political corruption. Sovereignty was given over only a lesser part of the country, and gradually surrendered to foreign countries. The ruling class indulged themselves in sensual pleasures, while parties jostled with one another, and separatists held warlord regime. Heavy taxes brought common people more pain. In the year of 405, Tao resigned from the office in Pengze County, broke up with the ruler, and settled down his life on the brink of the society. Although he was away from the mainstream, he still maintained his ambition and poetic illusions. He tried to find a way to express his dissatisfaction with the regime and deepened the hatred for the society at that time. He couldn’t change anything. Just like many other Chinese poets, he turned into writing, and expressed his feelings and aspirations, creating an ideal and harmonious place in sharp contrast with the society at that time.

Both works are exactly the reflection on the society at that time, or even the society of today. There is no doubt that both More and Tao give rational proposal to building a harmonious society and civilized country, which, beyond time and space, is worth exploring.

**Conclusion**

Through the comparison and analysis of those two works, we can see that, both writers expose problems of government authorities, reveal the dark side of humanity, and explore a better habitation for human beings. More and Tao present how to harmonize the nation, society and culture, giving solutions to problems, and therefore, modeling an ideal society and a better future. Reflecting on the past is a nod to the future. More and Tao show not only their concept of an ideal society by describing the landscapes of _Utopia_ and _Peach Blossom Spring_, but also present their lofty aspiration of political careers. Thus, More makes a confrontation, a revolt against the present political corruption and social problem, while Tao prefers the relative seclusion of the countryside. They are both eager to realize their ambitions. More speaks for the toiling masses who are plunged into an abyss of suffering with righteous indignation. He puts the cause of problems bluntly, but in _Utopia_ he gives implicit criticism with fabrication and reality because of Henry VIII’s tyranny. This is quite similar to the way Chinese poets remonstrate with a monarch in ancient times. It is regrettable that their attempts achieve much less at that time, however, those attempts are meaningful to future generations beyond time and space.

Of course, More and Tao give us the possibility to find an advantageous system, especially by applying the principle of distribution through work and need, and entering into communism peacefully. Obviously, an absolute equality and communism is still ideal and hard to reach. More’s _Utopia_ doesn’t explain how the public ownership appears and how it maintains its status and keeps in order. More is much more fooled by his identity of bourgeoisie, with his ignorance of the strength of the masses to make a socialist revolution. The two writers have their limitations by the time period they lived in. Though an
ideal society and a better future will always be out of reach, we never stop fighting for it. More and Tao find an echo in Mannheim’s Ideology and Utopia (1985): “…after a long tortuous, but heroic development, just at the highest stage of awareness, when history is ceasing to be blind fate, and is becoming more and more man’s own creation, with the relinquishment of utopias, man would lose his will to shape history and therewith his ability to understand it” (p. 268). At least, in Utopia and Peach Blossom Spring, there is a possibility to find an ideal homeland. In other words, we are on a journey to make the history of human beings.

References

Appendix 1

Peach Blossom Spring

Tao Yuanming (Translated by Yang Xianyi)

In the reign of Taiyuan of the Jin Dynasty, there was a man of Wuling who was a fisherman by trade. One day he was fishing up a stream in his boat, heedless of how far he had gone, when suddenly he came upon a forest of peach trees. On either bank for several hundred yards there were no other kinds of trees. The fragrant grass was beautiful to look at, all patterned with fallen blossoms. The fisherman was extremely surprised and went on further, determined to get to the end of this wood.

He found at the end of the woods the source of the stream and the foot of a cliff, where there was a small cave in which there seemed to be a faint light. He left his boat and went in through the mouth of the cave. At first it was very narrow, only wide enough for a man, but after forty or fifty yards he suddenly found himself in the open. The place he had come to was level and spacious. There were houses and cottages arranged in a planned order; there were fine fields and beautiful pools; there were raised pathways round the fields; and he heard the fowls crowing and dogs barking. Going to and fro in all this, and busied in working and planting, were people, both men and women. Their dress was not unlike that of the people outside, and all of them, whether old people with white hair or children with their hair tied in a knot, were happy and content with themselves.
Seeing the fisherman, they were greatly amazed and asked him where he had come from. He answered all their questions, and then they invited him to their homes, where they put wine before him, killed chickens and prepared food in honor. When the other people in the village heard about the visitor, they too all came to ask questions. They themselves told him that their ancestors had escaped from the wars and confusion in the time of the Qin Dynasty. Bringing their wives and children, all the people of the area had reached this isolated place, and had stayed here ever since. Thus, they had lost all contact with the outside world. They asked what dynasty it was now, the Han they had never heard of, let alone the Wei and the Jin. Point by point the fisherman explained all he could of the world that he knew, and they all sighed in deep sorrow. Afterwards all the rest invited him to their homes, and all feasted him with wine and food. He stayed there several days and then bade them goodbye; before he departed these people said to him: “Never speak to anyone outside about this!”

So he went out, found his boat and went back by the same route as he had come, all along the way leaving marks. When he got to the provincial town he called on the prefect and told him all about his experience. The prefect at once sent men to go with him and follow up the marks he had left. But they became completely confused over the marks and never found the place.

Liu Ziji, a scholar of high reputation from Nanyang, heard of this and enthusiastically offered to go out with the fisherman to try again. But he fell ill and died before realizing his plan. After that no one went any more to look for the way.

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Keynote Speech II

A Study of Margaret Drabble’s Social Conscience in *The Middle Ground*

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[Abstract] This paper probes into the connotation of recurring social conscience in Margaret Drabble’s *The Middle Ground*, and shows how it works as an important component that helps to form Drabble’s moral code and to solve problems raised through pursuits of social patterns, spiritual comforts and human relationships.

[Keywords] Margaret Drabble; *The Middle Ground*; social conscience

Introduction

British novelist Margaret Drabble (1939 – ) is probably best known for her earlier novels about the condition of women in the modern world. Her young and highly-educated heroines are usually faced with the predicament of being a new type of woman, and yet trapped by the old conventions. Her ninth novel, *The Middle Ground* (1980), “very much a chronicle about London, about England, about the present moment” (Rubenstein, 1984, p. 15), extends to the public scene and shows her growth in scope, richness, and sophistication.

Given the importance of the social context, in which Drabble’s characters find their family life, the pressures and expectations of their social network, and the beliefs and prejudices of their class, *The Middle Ground* is a novel of social conscience. This paper attempts to probe into the connotation of social conscience recurring in *The Middle Ground*, and to study how it works as an important component that helps to form Drabble’s moral code and to solve problems raised.

In Pursuit of Social Patterns

Drabble’s roots are in two worlds: the solid, classical education in English literature and the wealth of the everyday experience of a woman in the twentieth century. Propped up by her assertion that she would “rather be at the end of a dying tradition which I admire than at the beginning of a tradition which I deplore”, critics regard Drabble as a writer of “moral realism”, who offers “a dense, challenging socio-moral portrait of her age” (as cited in Bradbury, 1993, p. 377). While her literary faith reflects her admiration for the “Great Tradition” of British literature, her particular contribution to the novel emerges from her experience of the human situation and her reflection on it. Drabble’s social conscience is, first of all, conveyed through her unique understanding of the social patterns.

In *The Middle Ground*, Drabble’s vision has shifted from the psychological interior of female characters to omniscient panoramas of men and women struggling with the ambiguities of life in contemporary Britain. Rubenstein (1984) concludes that the novel is “rather derivative in nature” (p. 1), as he finds many elements that might easily be recognized as aspects of Virginia Woolf’s *Mrs. Dalloway* appear in *The Middle Ground*, and the novel even invokes Henry James’ *The Middle Years*. In several of her interviews, Drabble admits that she has learned from such writers as George Eliot, Virginia Woolf, and Doris Lessing. However, Drabble confronts the problems raised in her own way. Rubenstein (1984) points out that references to disease, illness, mutilation, infection, and insect vermin form one central...
group of images in *The Middle Ground*. Actually, images of dismemberment stand out among others. For example, Hugo Mainwaring, the male protagonist, has lost an arm in Eritrea through a grenade explosion. That implies the break-down of the traditional pattern. As is stated in the novel, “the past stretches back too densely, it is too thickly populated, the future has not yet thinned out” (Drabble, 1980, p. 165). The important point is that Drabble shows in *The Middle Ground* that patterns may have been crumbling in the twentieth century, but amid the ruins one may survive and reconstruct a pattern of meaning.

The narrator of *The Middle Ground* talks about the challenge of discovering legitimate patterns in the welter of history, “When one was younger, one saw patterns everywhere, for the process of selection was so simple. One simply did not notice most things, having no means of noticing them. So they selected themselves” (Drabble, 1980, p. 165). However, being a middle-aged mother and successful journalist, Kate Armstrong is not satisfied with such an easy selection of patterns. She declares that “it’s my social conscience at work” (Drabble, 1980, p. 4). Kate even tries to find the pattern “through censorious foreign eyes” (Drabble, 1980, p. 78). As an outsider, the Iraqi student Mujid views British cultural and political life from a detached critical perspective. Kate finds it instructive and comes to regard Mujid as “an extra conscience and a pedagogue rolled into one” (Drabble, 1980, p. 74). In this way, Kate detects herself being “ignorant” and “inadequate” (Drabble, 1980, p. 75), and discerns a pattern of meaning which may be invisible to the native English.

What’s more significant is Kate’s courage to reject the conventional approach to patterns. Kate first expects Mujid as a representative Arab, but concludes ultimately that he is “human after all” (Drabble, 1980, p. 246). Besides, after dozens of interviews with women for the television film “Women at the Crossroads,” Kate argues that “the interviews fell into no recognizable pattern, and that it was unfair to try to force them into a general statement about Women Today: it would be much better to let them speak for themselves” (Drabble, 1980, p. 195). In this sense, Kate voluntarily releases herself “from the grip the representative”, the “deadly notion” that everything and everyone has to be “exemplary” and has to “mean something” (Drabble, 1980, p. 205). Kate resolves not to look for patterns in the conventional sense. Such a refusal to easy generalization reflects a kind of responsible social conscience.

*The Middle Ground* is criticized by some for its lack of solution and structure. Actually, as early as in 1973, when interviewed by Hardin, Drabble states directly that she “can’t stand about some novelists” who “seem to imply that there’s a fixed and finished truth that their characters reach at the end of the book. There’s no end to learning. You’re bound to learn more. What you know at each point of your life is relevant to you then, yet it isn’t quite enough, because you’ve got to go on learning” (Drabble, 1980, p. 275). Bromberg’s (1983) review makes sense: “Drabble, like Kate, has abandoned the search for definitive ‘patterns and trends’... Though open-ended, her exploration of the limits of narrative art in *The Middle Ground* is disciplined and thoughtfully structured” (p. 479). When discussing Drabble’s narrative technique three years later, Bromberg (1986) develops: “Drabble has evolved from her rather conventional beginning as a novelist to become a modern, concerned with the relationship of formal conventions to vision, reluctantly but firmly moving away from a tradition of order and belief to new structures of relativity and open-endedness” (p. 190). As the title of the novel indicates, Drabble concentrates on middles rather than endings. Efforts made in the process of pursuing patterns are more respected, “because her conception of the novel as problem outlined and solved lays the emphasis on the search and not on the goal” (Pickering, 1984, p. 483). It’s her social conscience at work!
In Pursuit of Spiritual Comforts

The way Drabble treats her subjects comes from her personal experience with them. Inspired by her religious background, Drabble makes her characters seek spiritual comforts in an upheaval of Britain.

In *The Middle Ground*, a chaotic world is depicted in various aspects. Born of lower middle class neurotic parents and raised in the shabby London suburb of Romley, Kate has transcended her poor background and education to become an important newspaper columnist and commentator on women’s issues. However, she suffers from a feeling of being “trapped in stale repetition” (Drabble, 1980, p. 50). Ted, Kate’s former lover, is an epidemiologist: “Ted likes disasters. He has a new apocalyptic vision of the end of the world, of a world united not by brotherhood or multi-national combines or oil crises, but by illness” (p. 33). Evelyn, Kate’s intimate friend, is almost blinded by ammonia thrown in her face. “The violence and threat of mutilation bring to the novel’s surface a theme… the diffuse sense of fear, anxiety, and hostility that laces urban experience with its increasing domestic and intercultural frictions” (Rubenstein, 1984, p. 11). Drabble seems to suggest that modern development does not take humans away from the blows of fate. In such situations, spiritual comforts are badly in need of.

Frye (1980) points out that at the core of *The Middle Ground* lays questions like: Is progress possible? Do improved social conditions merely clothe, in a trivial way, the ancient sequence of emotional states which constitutes the inner life? Has the heroic age passed? But the possible answers suggested by the novel are not satisfactory. Hoffman (1988) notices that when looking at the urban landscape from Evelyn’s hospital room, Kate achieves the aerial view of human love, where all connections are made known, where all roads connect. Perception of wholeness is thus achieved, though in a very short moment. It expresses a belief in inner self. Drabble seems to suggest that mutilations and accidents are inevitable parts of life, yet a moment of spiritual comfort is valuable.

Margaret Drabble was born in Sheffield, Yorkshire. Her family has moved south and changed houses often, but Drabble always regards her grandparents’ cottage as home. Drabble’s parents break from family roots by attending the university and separate themselves from strong religious practice. Growing up in an intellectual, middle-class, liberal household, Drabble absorbs a small amount of puritan guilt and a large amount of the work ethic. Although the family is Anglican, Drabble and her sister have been sent to the Mount School in York, a Quaker boarding school for girls. Thus Drabble is often concerned with the soul, the less fortunate, the interplay of fate and chance, redemption, and the importance of being in touch with one’s depths and of doing right rather than seeking enjoyment. When asked her belief in a religious construct, Drabble replies:

*I can’t explain what I really mean. It is not traditional Christianity. I am not a churchgoer; I could never say the creed with any confidence whatsoever. I do think there are certain concepts of Christianity that mean a great deal to me. Maybe I was brought up with it, and it’s hard to get rid of if you are brought up with it. But the concepts of loving your neighbor and putting up with the unlovely people and trying not to think of yourself are important to me… You’ve got to love yourself before you can love anybody, but that isn’t the end of it. Loving yourself isn’t the end of the road. You’ve got to do something with it, and that, I think, is religion (as cited in Preussner, 1979-80, p. 575).*

Drabble does not ascribe to any particular religious faith. Her idea that “there is a light of God in every man” (as cited in Hardin, 1973, p. 286) is, in fact, her confidence in spirit and inner self. “Appeals to faith and forgiveness” (p. 201) can still easily move Drabble’s characters. Besides, Drabble employs a variety of points of view in *The Middle Ground*, and the authorial narrative remains overt in commentary.
and direct address to the reader. Probably this is less a technique than a habit. From her Quaker background, Drabble has inherited the practice of self-examination. Her selection of the authorial point of view to the reader serves as a monition and moral commentary.

The Middle Ground ends with a party. The party is to be Evelyn’s “coming-out party, and Hugo’s going-away party, and Mujid’s going-away party, and Mark’s birthday party” (Drabble, 1980, p. 219). Readers, however, are more likely to conceive that this is, above all, Kate’s party. The party to celebrate her resurrection from spiritual death.

In Pursuit of Human Relationships

Characters of The Middle Ground live in the midst of social upheaval. They are confronted with the physical and cultural decay of urban life in London and wonder what direction their life should take. The novel chronicles the effects of the dramatic changes that have swept across the contemporary British society, yet there is still an emphasis on those well-educated, socially conscious women.

Drabble’s works have long been controversial in their relation with feminism. Prompted by the critical debates as to the feministic qualities of her novels, Drabble declares the autonomy of her art rather directly:

*I find it easier to write about my own sex for fairly obvious reasons. It is easier to know what the details of women’s lives consist of. I think exactly the same problems confront men. We are all looking for spiritual satisfaction or fulfillment and the gap between what you are seeking and what you find is very great. But you are nevertheless driven on to seek. And that is true of both sexes (as cited in Hardin, 1973, p. 293).*

However, it is evident that feminism fosters a favorable atmosphere for Drabble, and functions as the spiritual stimulus for her womanhood. At the start of The Middle Ground, Kate sifts through her morning mail, an array of marketing materials. She shows how such daily stuff can abuse and exploit women in its own particular way. Kate has risen above her working-class background to become an editor of a women’s magazine, and becomes well-known for her articles on women’s issues. Her new job is to make a television documentary about the opportunities available to women five years after the Sex Discrimination Act. However, Kate remarks to Hugo, “I’m as bloody sick of bloody women as you are, I’m sick to death of them, I wish I’d never invented them, but they won’t just go away because I’ve got tired of them. Will they?” (Drabble, 1980, p. 2). Kate’s discontent can be understood as a comment on the limitations of some women’s writings. Kate’s dissatisfaction also echoes Drabble’s attitudes to feminism years before. However, the fictional background suggests that Kate is in her midlife crisis. Kate becomes bored with her past accomplishments. As Greene (1990) points out, “this is Kate’s statement, not Drabble’s”, and “it is where she begins but not where she ends” (p. 87). Kate is not only bored with the women’s movement, but also with her job and even herself.

The reasonable focus should probably be how Kate works through self-repudiation to self-acceptance? Reading through the novel, we feel that Kate’s search for self-knowledge relies much less on the gender than on a life that is chaotic and contradictory. Rubenstein (1984) comments, “Like Mrs. Dalloway, it is about human relationships at a particular time in a particular place (London), within the important frames of time and memory. At the same time, it is an exploration of what sustains the self after one reaches life’s midpoint” (p. 1).
Drabble has been encouraged by feminism, but she does not agree to abandon family, children, or domesticity:

*I feel a great confidence in the family situation that comes through whether I want it to or not. Doris was brought up in an age when you rejected the family... I was of a generation later and didn't have to believe that. I could believe that the family was what you chose to make it. In a way, we have an easier attitude and don't have to go through the rejection and the hostility toward the family* (as cited in Preussner, 1979-80, p. 569).

Similarly, with help from her friends and family, Kate gains self-confirmation through relationships. As is stated in the novel, “everyone must be extended faith, everyone must play a part in keeping whole the fabric”, “for how else can society function?” (Drabble, 1980, p. 201) “The community she has created are sources of self-knowledge and self-esteem” (Greene, 1990, p. 87). Kate is undoubtedly the center of a circle of family and friends at the end of the novel, and “the radiating center of relationships” (Rubenstein, 1984, p. 1). When the novel closes, we get to know a community with a diversity of people, accommodating new possibilities. The party reflects Drabble’s belief in the redemptive power of human relationships and the value of social consciousness.

**Conclusion**
Margaret Drabble’s social conscience find its full reflections in the above three pursuits. Social conscience is a kind of civility in communicating with other people, and a consideration of possible patterns of meaning. Even if that world is absurd and hostile, what we can do in this world is to care for one another in the society we have and hold a firm belief in the self. With social conscience, people can be kind and supportive, and they can bring out the best in one another. The social intercourse then becomes excellent. Besides, social conscience values spirit much greater than material. Drabble's characters drift on the swirling waters of our daily experience, but they do so with a kind of moral evaluation of their own drift. In a world where material supply is abundant, conscience can prevent one from being corrupted and feeling lost. Spirit can redeem people from the fallen realms of everyday life, and give them a genuine dignity.

Margaret Drabble, with a keen eye for social details, a steady conscience for moral vision, makes her characters determined to live a morally sensitive and spiritually meaningful life.

**References**

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Examining Differential Item Functioning in a Computer-Based English Proficiency Test

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[Abstract] This study examined whether stand-alone items and passage-based testlets in a computer-based English proficiency test functioned differentially for males and females. The datasets were 8,203 test takers’ item-level responses to 15 different forms of a computer-based English proficiency test. Two IRT-based differential item functioning (DIF) detection procedures were used to cross-validate the results of DIF identification, coupled with subsequent content analysis. The results indicated that approximately 12.5% of the items/testlets exhibited gender DIF/DBF. This study highlighted the importance of examining DIF in computer-based language tests to ensure the validity and fairness of score-based interpretations.

[Keywords] computer-based; English test; differential item functioning

Introduction
Differential item functioning (DIF) occurs when the probability of getting one item correct differs for test takers with the same abilities, but belonging to different groups (Camilli & Shepard, 1994; Thissen, Steinberg, & Wainer, 1993). The presence of DIF signals that the group membership variable systematically advantages one group of test takers and disadvantages another, thus posing a great threat to test validity and thereby, test fairness. The sources for DIF might be the topic of the text, the question asked in the item, or the response options, etc. (Uiterwijk & Vallen, 2005). Test developers, therefore, have been exerting great efforts in carefully selecting texts and designing corresponding items so as to minimize or eliminate the occurrence of DIF. Considering the adverse impact that DIF items exert on the individual test takers, the importance of screening DIF during item calibration for computer-based language tests cannot be overemphasized. Nevertheless, the literature on DIF in computer-based language tests is sparse. This paper aims to extend the existing literature by reporting a comprehensive investigation into the DIF in a computer-based English proficiency test, which is comprised of a listening component and a reading component.

Approaches to DIF Detection
A variety of statistical approaches have been proposed by different researchers in educational measurement to detect DIF, which can be generally classified into classical test theory (CTT)-based approaches and item response theory (IRT)-based approaches. From a theoretical point of view, IRT-based approaches are more preferable for DIF analysis than the CTT-based approaches due to their use of true underlying latent scores (Zumbo, et al., 2015). This paper will introduce two IRT-based approaches in detail, namely, the IRT Likelihood Ratio Test (IRT-LRT) and the Simultaneous Item Bias Test (SIBTEST).

The IRT-LRT, as a parametric IRT-based DIF detection approach, has been suggested by previous researchers to be more powerful than other approaches (Teresi, Kleinman, & Ocepek-Welikson, 2000;
Thissen, et al., 1993; Wainer, 1995). The underlying assumption of this approach is that if the item parameters obtained from the IRT model vary for the same ability level from different groups, then the item is exhibiting DIF. More specifically, it compares a compact model with the parameters for the studied item constrained to be equal between groups to an augmented model with the parameters for the studied item permitted to vary between groups (Kim, 2001; Pae, 2004). Unlike the studied item, all the anchor items are constrained to have identical parameters across the compact and augmented models. Then the likelihood ratio test is carried out to examine whether the augmented model fits the data significantly better than the compact model by comparing the \(-2\log\)-likelihood \((G^2)\) of these two models, with the degree of freedom equal to the difference in the number of parameters between the two models. If the augmented model turns out to fit the data significantly better, then the studied item is a DIF item.

Both uniform DIF (with respect to the difficulty parameter) and non-uniform DIF (with respect to the discrimination parameter) can be detected under the IRT-LRT by using the dichotomous 2PLM or polytomous extensions of 2PLM (Edwards & Edelen, 2009). It should be noted, however, that the test of uniform DIF is conditional on the absence of non-uniform DIF, because only when the item does not exhibit DIF on the discrimination parameter, the test of DIF on the difficulty parameter is meaningful (Woods, 2008). One small caveat of this approach is that even a small amount of DIF tends to be flagged as significant due to high statistical power, and no consensus has yet been reached about the standard numerical measures of effect size with this approach (Edwards & Edelen, 2009).

Roussos and Stout’s (1996) SIBTEST, as a nonparametric IRT-based procedure, takes a multidimensionality-based paradigm to the analysis of DIF. This procedure has gained great attention from test developers and psychometricians because, for one thing, unlike the conventional procedures for DIF analysis that employ an inductive or exploratory approach, the SIBTEST procedure detects DIF by using a more theory-based and hypothetico-deductive strategy (Zumbo, 2007). In the conventional approaches, items are first examined for DIF and then further studied by using content analyses to explain the possible causes for the observed DIF. The understanding of causes of DIF, however, met with overwhelming failure with very few exceptions (Roussos & Stout, 1996), as the question of why has no easy answer even from a commonsense point of view (Takala & Kaftandjieva, 2000). Nonetheless, in the multidimensionality-based SIBTEST procedure, substantive theory-oriented DIF hypotheses are first formulated by content experts and then tested using confirmatory statistical tests. This a priori procedure not only provides a plausible explanation for the causes of DIF, but also sheds light on whether the bias is caused by the secondary auxiliary dimension or secondary nuisance dimension.

Another reason, the SIBTEST procedure can not only flag DIF at the item level, but also detect bias at the bundle level, usually referred to as differential bundle functioning (DBF). The term “bundles” refer to “any set of items chosen according to some organizing principles” (Douglas, Roussos, & Stout, 1996), such as the sub-skill measured by the items, and the speediness of the items. The detection of DBF is particularly important as decisions are, in general, made at the higher level of testlets or tests, where item-level DIF might not be manifested due to the cancellation effect, or new bias might occur due to the accumulating effect. In SIBTEST, the presence of DIF/DBF can not only be tested with a significance test, but also quantified by estimating the effect size \((\hat{\beta}_{UNI})\) for each item or bundle (Stout & Roussos, 1995).
Methodology

Participants
The participants in this study were 8,203 university students from various disciplines enrolled in a major university in southeast China. About two-thirds of them were males and one-third females, mostly between the late teens and early twenties.

Instruments
The main instrument was a computer-based English proficiency test, intended to measure university students’ English proficiency in the area of listening and reading. Fifteen test forms were administered to test takers, with each form consisting of 16 one-item short conversations, 5 three/four-item long conversations (3 three-item and 2 four-item), 5 three/four-item listening passages (3 three-item and 2 four-item), as well as 5 five-item reading passages. Each test form thus, had a total number of 50 items for the listening section and 25 items for the reading section. Of the items in each test form, 4 short conversations, 1 long conversation, 1 listening passage, and 1 reading passage were common across all the test forms, which were used as anchor items.

Procedures
The 15 test forms were randomly assigned and administered to the 8,203 participants, with an average of 547, minimum of 498, and maximum of 605 test takers per form. Prior to the administration of the test, the invigilator informed the students about the components of the test and gave a demo of the test. The test lasted approximately 90 minutes. When they took the test, all the students were required to fill in their background information, including gender, major, class, and birth of place.

Data Analyses
Two IRT-based DIF detection procedures were used to cross-validate the results, namely, the IRT-LRT and SIBTEST procedures. In terms of the SIBTEST procedure, a computer program called Simultaneous Item Bias Test (SIBTEST) (Stout & Roussos, 1999) was used to determine which items and item bundles in each test form displayed statistically and practically significant DIF and DBF across gender. The item bundles in this study were formed based on the hypothesis that items sharing a common passage may introduce a secondary passage dimension to influence test-takers’ performances, which constitutes a nuisance factor that favors or disfavors male or female test takers with more or less background knowledge of the passage. It should be noted that all the passage-based items were investigated as item bundles at an aggregate level instead of item level in the present study, because, for one thing, item-level DIF might not be carried over to the testlet level, or alternatively, new bias at the testlet level might occur for DIF-free items due to amplification effect. For another, a more preferable way of item banking is to discard testlets with DBF at an overall level rather than throwing away a whole testlet simply because certain items in the testlet have displayed DIF. In terms of the IRT-LRT procedure, the computer program IRTPRO 2.1 was employed to determine which items and testlets in each test form exhibited statistically significant DIF across gender at the item and testlet level. Taken together, items or item bundles that were consistently flagged for DIF/DBF by both the SIBTEST and IRT-LRT procedures were then identified as DIF items or DBF bundles. For items or item bundles that were found to display DIF/DBF by only one of the procedures, a post hoc content analysis was conducted to determine whether these items should be discarded or not.
Results and Discussions

SIBTEST Analysis

Table 1 summarizes the results of DIF analyses for the stand-alone items and DBF analyses for the testlets in the listening section across the fifteen test forms. Since males were designated as the reference group and females the focal group, positive $\hat{\beta}_{\text{uni}}$ value indicated DIF/DBF favoring the male test takers while negative $\hat{\beta}_{\text{uni}}$ value indicated DIF/DBF favoring the female test takers. The guidelines proposed by Roussos and Stout (1996) were used to classify DIF items in the present study. If an item was flagged as having statistically significant DIF ($p < 0.05$) with moderate or large effect size ($|\hat{\beta}_{\text{uni}}| \geq 0.059$), then that item was considered DIF item. Otherwise, the item was considered DIF-free. As shown in Table 1, among all the stand-alone items across the fifteen test forms, three items display moderate DIF ($p < 0.05$, $0.059 \leq |\hat{\beta}_{\text{uni}}| < 0.088$) and three items display large DIF ($p < 0.05$, $|\hat{\beta}_{\text{uni}}| \geq 0.088$). Of the three moderate DIF items, all favor the female test takers. Of the three large DIF items, two items favor the female test takers and one item favors the male test takers.

Table 1. Summary of DIF and DBF Detection in the Listening Section (SIBTEST)

<table>
<thead>
<tr>
<th>Forms</th>
<th>Item/Bundle</th>
<th>$\hat{\beta}_{\text{uni}}$</th>
<th>p</th>
<th>Forms</th>
<th>Item/Bundle</th>
<th>$\hat{\beta}_{\text{uni}}$</th>
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<td>-0.123</td>
<td>0.002*</td>
<td>11</td>
<td>SC11</td>
<td>-0.107</td>
<td>0.010*</td>
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<td>SC3</td>
<td>-0.078</td>
<td>0.022*</td>
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<tr>
<td>8</td>
<td>SC12</td>
<td>0.141</td>
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<td>12</td>
<td>SC16</td>
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<td>0.013*</td>
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<td>0.017*</td>
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<td>LC3</td>
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</tr>
<tr>
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<td>12</td>
<td>LC5</td>
<td>0.159</td>
<td>0.033*</td>
</tr>
<tr>
<td>5</td>
<td>LC4</td>
<td>0.179</td>
<td>0.016*</td>
<td>13</td>
<td>LC2</td>
<td>-0.192</td>
<td>0.005*</td>
</tr>
<tr>
<td>6</td>
<td>LP3</td>
<td>0.193</td>
<td>0.025*</td>
<td>14</td>
<td>LC4</td>
<td>-0.232</td>
<td>0.011*</td>
</tr>
<tr>
<td>9</td>
<td>LC5</td>
<td>-0.127</td>
<td>0.020*</td>
<td>15</td>
<td>LC5</td>
<td>0.299</td>
<td>0.002*</td>
</tr>
<tr>
<td>10</td>
<td>LC3</td>
<td>-0.164</td>
<td>0.001*</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: * $p < 0.05$. SC=short conversation. LC=long conversation. LP=long passage.

In addition, fifteen testlets yield statistically significant $\hat{\beta}_{\text{uni}}$ values, with two testlets from the listening passage task, and thirteen testlets from the long conversation task. Among them, five testlets significantly favor the male test takers over the female test takers ($\hat{\beta}_{\text{uni}} > 0$), and ten testlets significantly favor the female test takers over the male test takers ($\hat{\beta}_{\text{uni}} < 0$). This suggests that the number of DBF testlets is neither distributed evenly across task types, nor across gender.

Table 2 presents the results of DBF analysis on the reading section across the fifteen forms. Nine testlets are flagged as having statistically significant DIF ($p < 0.05$), of which four testlets significantly favor the male test takers over the female test takers ($\hat{\beta}_{\text{uni}} > 0$), and five testlets significantly favor the female test takers over the male test takers ($\hat{\beta}_{\text{uni}} < 0$), indicating that the number of DBF testlets in the reading section is generally speaking distributed evenly across gender.
Table 2. Summary of DBF Detection in the Reading Section (SIBTEST)

<table>
<thead>
<tr>
<th>Forms</th>
<th>Bundle</th>
<th>$\hat{\beta}_{\text{UNI}}$</th>
<th>p</th>
<th>Forms</th>
<th>Bundle</th>
<th>$\hat{\beta}_{\text{UNI}}$</th>
<th>p</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>RP5</td>
<td>-0.176</td>
<td>0.039*</td>
<td>11</td>
<td>RP4</td>
<td>-0.177</td>
<td>0.043*</td>
</tr>
<tr>
<td>3</td>
<td>RP3</td>
<td>-0.169</td>
<td>0.040*</td>
<td>13</td>
<td>RP2</td>
<td>-0.300</td>
<td>0.001*</td>
</tr>
<tr>
<td>4</td>
<td>RP2</td>
<td>0.363</td>
<td>0.000*</td>
<td>15</td>
<td>RP3</td>
<td>0.234</td>
<td>0.021*</td>
</tr>
<tr>
<td>8</td>
<td>RP5</td>
<td>-0.204</td>
<td>0.014*</td>
<td>15</td>
<td>RP4</td>
<td>0.189</td>
<td>0.022*</td>
</tr>
<tr>
<td>10</td>
<td>RP3</td>
<td>0.176</td>
<td>0.016*</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: * $p < 0.05$. RP = reading passage.

IRT-LRT Analysis

Table 3 summarizes the results of DIF analysis of the listening section in the fifteen test forms by using the IRT-LRT procedure. Among all the items/testlets in the fifteen test forms, 21 items/testlets are identified as showing DIF in one of its parameters. Specifically, 10 items exhibit non-uniform DIF, indicating that male test takers are favored in one part of the ability continuum and disfavored in another part of the ability continuum. Eleven items exhibit uniform DIF, of which 6 items are consistently easier for male test takers, as indicated by the negative $b_{\text{males}}-b_{\text{females}}$ values, and 5 items are consistently easier for female test takers, as suggested by the positive $b_{\text{males}}-b_{\text{females}}$ values.

Table 3. Summary of DIF Detection in the Listening Section (IRT-LRT)

<table>
<thead>
<tr>
<th>Forms</th>
<th>Items</th>
<th>$P (a_{\text{males}}=a_{\text{females}})$</th>
<th>$a_{\text{males}}-a_{\text{females}}$</th>
<th>$P (b_{\text{males}}=b_{\text{females}})$</th>
<th>$b_{\text{males}}-b_{\text{females}}$</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>LP2</td>
<td>0.012*</td>
<td>0.40</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>1</td>
<td>LP5</td>
<td>0.079</td>
<td>0.30</td>
<td>0.041*</td>
<td>1.18</td>
</tr>
<tr>
<td>3</td>
<td>SC3</td>
<td>0.957</td>
<td>0.09</td>
<td>0.017*</td>
<td>2.86</td>
</tr>
<tr>
<td>3</td>
<td>N11</td>
<td>0.404</td>
<td>0.22</td>
<td>0.008*</td>
<td>1.10</td>
</tr>
<tr>
<td>3</td>
<td>LP3</td>
<td>0.465</td>
<td>0.15</td>
<td>0.016*</td>
<td>0.21</td>
</tr>
<tr>
<td>4</td>
<td>SC3</td>
<td>0.378</td>
<td>0.33</td>
<td>0.000*</td>
<td>-1.24</td>
</tr>
<tr>
<td>4</td>
<td>LC3</td>
<td>0.040*</td>
<td>-0.53</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>5</td>
<td>SC5</td>
<td>0.009*</td>
<td>-0.98</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>5</td>
<td>SC14</td>
<td>0.045*</td>
<td>0.55</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>6</td>
<td>SC3</td>
<td>0.993</td>
<td>0.00</td>
<td>0.014*</td>
<td>-1.20</td>
</tr>
<tr>
<td>6</td>
<td>SC12</td>
<td>0.018*</td>
<td>1.73</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>8</td>
<td>SC12</td>
<td>0.626</td>
<td>-0.13</td>
<td>0.023*</td>
<td>-0.91</td>
</tr>
<tr>
<td>8</td>
<td>LC3</td>
<td>0.014*</td>
<td>-0.46</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>9</td>
<td>SC2</td>
<td>0.712</td>
<td>-0.37</td>
<td>0.018*</td>
<td>-0.95</td>
</tr>
<tr>
<td>10</td>
<td>SC13</td>
<td>0.622</td>
<td>-0.26</td>
<td>0.004*</td>
<td>-1.15</td>
</tr>
<tr>
<td>11</td>
<td>SC12</td>
<td>0.017*</td>
<td>-0.93</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>11</td>
<td>LC2</td>
<td>0.009*</td>
<td>0.44</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>12</td>
<td>SC15</td>
<td>0.010*</td>
<td>1.10</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>13</td>
<td>SC1</td>
<td>0.460</td>
<td>0.31</td>
<td>0.008*</td>
<td>-0.42</td>
</tr>
<tr>
<td>13</td>
<td>SC11</td>
<td>0.001*</td>
<td>-2.80</td>
<td>NA</td>
<td>NA</td>
</tr>
<tr>
<td>14</td>
<td>SC16</td>
<td>0.690</td>
<td>-0.46</td>
<td>0.008*</td>
<td>0.51</td>
</tr>
</tbody>
</table>

Notes: $P(a_{\text{males}}=a_{\text{females}})$ is the probability of difference in $G^2$ for constrained $a$ parameter models and free parameter models. $a_{\text{males}}-a_{\text{females}}$ is the difference in $a$ parameter for males and females obtained in the free parameter models. $P (b_{\text{males}}=b_{\text{females}})$ is the probability of difference in $G^2$ for constrained $a$ and $b$ parameter models and constrained $a$ parameter models. $b_{\text{males}}-b_{\text{females}}$ is the difference in $b$ parameters for males and females obtained in the free parameter models. NA = not applicable. * $p < 0.05$.

Table 4 presents the results of DIF analysis on the reading testlets across the fifteen forms. As can be seen from Table 4, F11RP4 (i.e., the 4th reading passage in the 11th test form) is identified as showing DIF in the $b$ parameter with a difference value of 0.84, suggesting that this testlet consistently favors female test takers over male test takers. F15RP3 is found to exhibit DIF in the $a$ parameter, suggesting
that this testlet favors male test takers in one part of the ability continuum and disfavors them in another part of the ability continuum.

Table 4. Summary of DIF Detection in the Reading Section (IRT-LRT)

<table>
<thead>
<tr>
<th>Forms</th>
<th>Items</th>
<th>$P(a_{males} = a_{females})$</th>
<th>$a_{males} - a_{females}$</th>
<th>$P(b_{males} = b_{females})$</th>
<th>$b_{males} - b_{females}$</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>RP4</td>
<td>0.829</td>
<td>0.22</td>
<td>0.041*</td>
<td>0.84</td>
</tr>
<tr>
<td>15</td>
<td>RP3</td>
<td>0.000*</td>
<td>-3.96</td>
<td>NA</td>
<td>NA</td>
</tr>
</tbody>
</table>

Note: * $p < 0.05$.

**Overall DIF Detection**

Regarding the listening section, the SIBTEST procedure detected 21 items/bundles with DIF/DBF, of which 6 items/bundles were to the advantage and 15 to the disadvantage of male test takers. The IRT-LRT procedure detected 21 DIF items/testlets, of which 7 items/testlets were to the advantage and 4 to the disadvantage of male test takers. Although there were only 4 cases of agreement between the two methods (i.e., F3SC11, F8SC12, F11LC2, and F12SC15), the direction of the DIF was always the same. That is to say, in no case did one method report a favor for the focal group and the other method for the reference group. Therefore, these 4 items/bundles consistently flagged for DIF/DBF by both procedures were removed from the item pool of the computer-based English proficiency test, and the other 38 DIF items flagged by different procedures were subsequently subject to content analysis.

Regarding the reading section, the SIBTEST procedure flagged 9 bundles with DBF, of which 4 favored and 5 disfavored male test takers. The IRT-LRT procedure only flagged 2 testlets with DIF, of which 1 favored male test takers and 1 discriminated against male test takers more. What is noteworthy is that the 2 testlets identified as having DIF by the IRT-LRT procedure were also flagged by the SIBTEST procedure. These 2 testlets were, therefore, discarded from the item pool, and the remaining 7 testlets were subsequently analyzed in terms of content.

**Content Analysis**

The results of content analysis indicated that, for short conversation, items favoring males were related to listener functions such as asking about people or their relations (F10SC3, F13SC1), time or place (F9SC2), doings or happenings (F4SC3, F6SC3), and manners or ways of doing things (F8SC12), while items that involved doings or happenings (F3SC3, F7SC3), implied meanings or inferences or conclusions (F12SC16, F14SC16), reasons or causes (F3SC11), and main idea (F11SC11) favored female test takers. In terms of the long conversation, listening passage, and reading passage, items favoring males pertained to topics such as health, medical science, life science (F6LP3, F15LC5, F4RP2, F10RP3), history, great people and bibliography (F1LP3), physical sciences/technology and spaces (F15RP3), social issues, sociology and economy (F12LC5, F15RP4), and education and English learning (F5LC4). On the other hand, items which involved daily activities, entertainments and storytelling (F2LC5, F4LC4, F11LC3, F13LC2), popular culture/customs, and geography (F1LP5, F13RP2), history, great people and bibliography (F3LP3, F11LC5, F3RP3), social issues, sociology and economy (F4LC5, F10RP4), education and English learning (F9LC5, F1RP5), agriculture (F8RP5), and miscellaneous (F10LC3, F14LC4) favored female test takers. As can be seen from the content analysis results above, some listener functions (e.g., doings or happenings) and topics (e.g., social issues, sociology and economy) might favor one group of test takers at one time and disfavor them at another. A conclusion can be drawn that the attempt to ascertain possible reasons for the observed DIF that did not go smoothly in this study, we echo
previous researchers’ claims that it is always difficult to identify the causes of DIF or specify a common deficiency among the DIF items (Abbott 2007; Ockey 2007). A decision, therefore, was made in this study to remove all the DIF items flagged by either one of the procedures, as the presence of DIF items in the item pool causes a greater concern than the slightly decreased number of items in the item pool.

Conclusion

This study utilized two IRT-based DIF detection procedures together with content analysis to examine whether stand-alone items and passage-based testlets in a computer-based English proficiency test functioned differentially for males and females. The results indicated:

1. Approximately 12.5% of the items/testlets were identified as having gender DIF/DBF by either one of the methods;
2. The attempt to ascertain possible reasons for the observed DIF/DBF met with failure, echoing previous researchers’ claim that it was always difficult to identify the causes of DIF/DBF or specify a common deficiency among the DIF/DBF items;
3. There were only 4 agreements between the two methods, but the direction of the DIF/DBF was always the same, so in no case did one method report a favor to the group and the other method ascribe a disfavor to that group.

This study highlighted the importance of examining DIF in tests to ensure the validity and fairness of score-based interpretations, as well as the use of more than one approach to provide methodological triangulation to validate DIF results (Camilli & Shepard, 1994; Ockey, 2007).

Acknowledgements

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Keynote Speech IV

On Cultural Default and Translation Compensation in the C-E Translation of Mo Yan’s Shengsi Pilao

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Abstract] Cultural default is inevitable because of the huge divide between the source and target cultures in translating Mo Yan’s Shengsi Pilao into English. With a strong cultural awareness, its translator Howard Goldblatt makes assiduous efforts to bridge the divide. This paper explores how the translator employs feasible and coherent compensation skills such as adaptation, borrowing, generalization, paraphrasing, and transliteration to either maintain the exoticism or transplant culture for readability. He tries to retain the essence of the original while writing in English to meet the demands and expectations of English-speaking readers. Through his creativity and craftsmanship, the English translation Life and Death Are Wearing Me Out has become a work of art in the larger cultural context and enjoyed popularity among English readers.

Keywords] cultural default; translation compensation; Howard Goldblatt; Life and Death Are Wearing Me Out

Introduction
Chinese and English belong to two different language families with no linguistic or cultural roots in common, so there are wide differences between them, which makes cultural default inevitable, particularly in translating Chinese contemporary fictions. East is East and West is West, but they must meet. Therefore, compensation strategies will have to be applied to cross the cultural border. Howard Goldblatt is the most notable translator of Chinese contemporary fiction in the English-speaking countries. He has translated more than 50 Chinese fictions by famous Chinese novelists such as Bi Feiyu, Jia Pingwa, Jiang Rong, Mo Yan, Su Tong and Wang Shuo. With a particular preference to Mo Yan’s work, he has translated 10 of his works. Goldblatt’s translations have made a tremendous contribution to Mo Yan’s winning of the 2012 Nobel Prize in Literature and to his great success in English-speaking countries. The Nobel committee praised him for being a writer “who with hallucinatory realism merges folk tales, history and the contemporary.”

Shengsi Pilao (simplified Chinese: 生死疲劳) is a historical fiction written by Mo Yan in 2006. The story tells how China developed during the latter half of the 20th century from 1950 to 2000 through the eyes of a landowner who is killed and reincarnated successively as a donkey, an ox, a pig, a dog, a monkey, and finally, a millennium boy. With Howard Goldblatt as its translator, the English version was published in 2008 and was well received in western countries. Mo Yan became the recipient of the inaugural Newman Prize for Chinese Literature in 2009 for this great work. In the nomination statement, Goldblatt said, “His latest novel, Shengsi Pilao (Life and Death Are Wearing Me Out), narrates the second half of the century, with all its tragic absurdities (and absurd tragedies). Characterized as ‘a wildly visionary and creative novel’ (New York Times), it puts a human (and frequently bestial) face on the revolution, and is replete with the dark humor, metafictional insertions, and fantasies that Mo Yan’s readers have come to expect and enjoy” (Goldblatt, 2009).
With a strong cultural awareness, Howard Goldblatt makes assiduous efforts to bridge the language and cultural divide between the two languages in his translating of Chinese fiction. This paper will explore how the translator employs flexible and coherent strategies to bridge the cultural gap between the source and target text and how he tries to retain the essence of the original, while writing in English to meet the demands and expectations of English-speaking readers.

**Howard Goldblatt and His Translation Thoughts**

Devoting himself to the translation of Chinese contemporary fiction for almost 40 years, Goldblatt has achieved great success. However, he thinks that translation is by no means easy. He once said, “Translation isn’t a field anyone sensible would go into” (Levitt, 2013). For him, translation is a cross-cultural communication. “How translators go about the task, how we deal with the intricacies of cross-cultural communication – these are the things at issue” (Goldblatt, 2002). In this cross-cultural process, Goldblatt takes the reader into full consideration. He thinks that “translation is a service primarily to the reader, not to the writer. The purpose of his work is to get the meaning across. Sometimes that can’t be done by remaining absolutely faithful to the original text” (Levitt, 2013). Goldblatt, as a competent translator, recognizes his role as a cultural mediator and strives to produce an English version enabling the English readers to participate in the text production in their own way, seeing connections and meanings instead of stumbling over culture barriers.

In the article *The Writing Life*, he systematically interpreted his view of translation. He mentioned that “every translation is a betrayal”, and “rewriting…is surely the nature of translation” (Goldblatt, 2002). At the end of the article, he answered why he didn’t write novels himself and would rather translate:

> The short, and very personal, answer to the question is: Because I love it. I love to read Chinese; I love to write in English. I love the challenge, the ambiguity, the uncertainty of the enterprise. I love the tension between creativity and fidelity, even the inevitable compromises. ...In other words, I translate to stay alive. The satisfaction of knowing I've faithfully served two constituencies keeps me happily turning good, bad, and indifferent Chinese prose into readable, accessible, and – yes – even marketable English books (Goldblatt, 2002).

Hence, we may make a conclusion that in Goldblatt’s mind, translation is a betrayal, a task of rewriting and that translated works should be readable, accessible and marketable. He insists on keeping the foreignness of the source culture on the condition that it does not pose too much difficulty on the reader’s understanding.

**Cultural Default and Translation Compensation in C-E Translation of Mo Yan’s *Shengsi Pilao***

Cultural default is the absence of some cultural background knowledge shared by the author and his/her intended readers (Wang, 1997, p. 55). In translation studies, cultural default is a unique cultural phenomenon, which, if not properly dealt with, may cause difficulty, or even failure, in communication. Cultural default will impair readers’ interest and it will be helpful if the translator makes some compensation so readers can understand the source culture. It is quite common for something that is quite common in the source-language culture just simply does not exist in the target-language culture. There are many unique cultural expressions in *Life and Death Are Wearing Me Out*, which cannot find their
equivalence in English. Goldblatt once said, “Humour, jokes, puns – those are indeed untranslatable. Especially puns: there have been occasions where I had to skip them altogether. But again, in some cases, you can create solutions” (Goldblatt, 2012). As an experienced translator who has devoted his life to the translation of Chinese literature, Howard understands the huge differences between the Chinese language and the English language and the difficulties of translating Chinese into English. When translating, he tries to keep much of the imagery and sayings faithful to the original. At the same time, he will try to make the translation readable, accessible and marketable with his creativity and craftsmanship. When faithfulness and readability conflict, he has to find ways to negotiate the cultural differences. In dealing with cultural default, Goldblatt employs either the strategies of foreignization to maintain exoticism or that of domestication to transplant the culture. Skills such as adaptation, borrowing, paraphrasing, amplification, transliteration and generalization are flexibly used to achieve these two kinds of effects.

**Foreignization: To Maintain Exoticism**

For those cultural terms which cannot find their equivalence in the target culture, one way to compensate is to employ paraphrasing or transliteration to keep the otherness of the source text so that the readers may be aware of the distances that exist between their own culture and the source culture. For example, paraphrasing can be used when it is necessary for the translator to provide the target readers with detailed cultural information to comprehend the source text’s lexical meaning.

**Example 1:**

*ST:* “西门闹, 你还闹吗?” (Mo, 2012, p. 3).

*TT:* “Ximen Nao, whose name means West Gate Riot, is more rioting in your plans?” (Goldblatt, 2008, p. 3).

After transliterating “西门闹”, Goldblatt gives an explanation of “whose name means West Gate Riot” which provides the readers with a better understanding of the implication of the name. He uses paraphrasing to explain the embedded cultural meaning to facilitate the reader’s better understanding. The method applies to almost all the translation of names in this fiction. The advantages of this skill lies in that, on the one hand, the surface structure of the source text is retained, and on the other hand, detailed information on the source language culture is introduced.

**Example 2:**

*ST:* 但他却成了赤贫农, 革命的先锋。 (Mo, 2012, p. 28).

*TT:* ...and here he was, a redder-than-red poor peasant, a frontline revolutionary (Goldblatt, 2008, p. 334).

In *Life and Death Are Wearing Me Out*, there are many unique terms and expressions that only exist in the specific historical periods the novel narrates. Translation of these unique Chinese terms and expressions into English presents great challenge to the translator. “赤贫农” is a special term in China before the liberation, showing a person’s social class, which does not have a counterpart in English. The term “赤贫“ actually has nothing to do with the color “red”. Its connotative meaning is similar to “deficit”. “赤贫” means a state of extreme poverty. Here, it was creatively translated into “redder-than-red poor peasant” with a “word-for-word” approach to maintain the exoticism.

**Example 3:**

*ST:* 常说救人一命, 胜造七级浮屠, 我西门闹千真万确地是救了一条命。 (Mo, 2012, p. 11).
Everyone says that saving a life is better than building a seven-story pagoda, and I, Ximen Nao, sure as hell saved a life (Goldblatt, 2008, p. 12).

Example 4:
TT: Good water must not irrigate other people’s fields (Goldblatt, 2008, p. 14).

“救人一命, 胜造七级浮屠” and “肥水不流外人田” are popular Chinese sayings. In Mo Yan’s novels, sayings or adages prevail, which really pose great difficulty to the translator. Goldblatt (2012) said in an interview that one of the things that he had trouble deciding on was how much of the imagery and sayings should remain Chinese. He didn’t like the idea of linking Mo Yan to all these western sayings. He feels Mo Yan’s sayings don’t mean much unless they are somehow explained. Here, these two sayings are literally translated into “saving a life is better than building a seven-story pagoda” and “Good water must not irrigate other people’s fields” to maintain the strangeness of the original while it is also easy for target readers to understand.

Transliteration is also an important way to maintain exoticism. A case in point is the word ketou (磕头, literally, to knock one's head loudly on the floor) is transliterated into “kowtow”, which has made its way well into English lexicon. The same goes for the transliteration of “豆腐” into “tofu”, and “风水” into “feng shui”. The examples are as follows:

Example 5:
TT: The boy’s mother said she’ll bring him to show you after her month of lying in. We’ll both kowtow to you. (Goldblatt, 2008, p. 31).

Example 6:
ST: 他爹黄天发是忠实老实人, 做一手好豆腐, 是我的佃户。 (Mo, 2012, p. 10).
TT: Huang Tianfa, a decent, honest man who made fine tofu, was one of my tenant farmers. (Goldblatt, 2008, p. 11).

Example 7:
TT: Ma Zhibo, a feng shui master who was given to putting on mystical airs, came running up to the pen and said to me mystifyingly... (Goldblatt, 2008, p. 14).

Domestication: To Transplant Culture
While translating literary works, a translator always faces the problem that some cultural words in the source text are hard for the target readers to understand. In order to improve the readability, a transparent and fluent style is adopted in order to minimize the strangeness of the target text for target language readers. To compensate the cultural default, Goldblatt uses such skills as adaptation, omission, generalization to overcome difficulties of cultural comprehension. If there are idiomatic expressions in the target language that have the same associative meanings as those in the source language, cultural displacement can be adopted to smooth readers’ understanding.
Example 8:

ST: 椅子旁边，是八仙桌，桌上摆着文房四宝，桌后的墙上，挂着一幅五子祝寿图。
   (Mo, 2012, p. 37).

TT: Next to that chair was an octagonal table on which I kept my writing brush, ink stick, ink slab, and paper; hanging from the wall behind the table was a longevity scroll. (Goldblatt, 2008, p. 45).

“八仙桌” is an old-fashioned square table for eight people, not an octagonal table. It is a mistake and he doesn’t show it is the house of the richest person in the village. His mistake may be contributed to the complexity of Chinese culture. As to “文房四宝”，everyone knows it indicates writing brush, ink stick, ink slab, and paper, but the target readers do not know this, so Goldblatt translated frankly what the “four treasures” are in the study room. However, through his translation, target readers may miss the fact that these four objects are four indispensable things in an old-fashioned study room, which means the owner of the house is a cultivated man. “五子祝寿图” is common in China. It is a picture with five children wishing longevity to the old. Goldblatt adapted it into “a longevity scroll” to enhance the reading experience.

Example 9:

ST: 阎王爷与身边的判官低声交谈几句，然后一拍惊堂木，说...... (Mo, 2012, p. 4).

TT: …until one of the judges leaned over and whispered something in Lord Yama’s ear. He banged his gavel to silence the hall. (Goldblatt, 2008, p.4)

“阎王爷” and “判官” are Chinese legendary images who are in charge of reincarnation in Hell and the latter is an assistant of the former who is in charge of Hell. “判官” owns a book that records all things humans do when they are alive and makes judgments as to what kind of life the humans will live after they die, which seems similar to the duty of a judge, so Goldblatt translated “判官” into “judge” and “阎王爷” into “Lord of Yama” to let the readers know their roles in Hell. “惊堂木” has a similar function to a gavel that is used for silencing the hall or announcing the end of a trial. But, for the purpose of readability, Goldblatt didn’t choose the way of transliterating “阎王爷” and “判官” with some footnotes or endnotes to introduce Chinese culture.

Example 10:

ST: 扮孙猴子、猪八戒的都是村子里的熟人。 (Mo, 2012, p. 7).

TT: His disciples, Monkey and Pigsy, were both villagers I knew. (Goldblatt, 2008, p. 8).

Chinese readers are familiar with “孙猴子” and “猪八戒”, who are Tang Monk Tripitaker’s disciples, characters of Journey to the West (Xi You Ji), a Chinese classic masterpiece. Here, the translator simplified it into “Monkey” and “Pigsy” for the purpose of readability, though some cultural information gets lost here.

Example 11:

ST: 我冷笑一声，说：如果太岁就是这副模样，那也就不值得敬畏了。 (Mo, 2012, p. 13).

TT: With a sneer, I said, if this is the Wandering God, it’s nothing to fear. (Goldblatt, 2008, p. 15).

Here, “太岁” is adapted into “the Wandering God” for a better understanding for his readers, though they have different connotative meanings.
Generalization means deletion of words or omission to convey the meaning of the source text, which is self-evident, or to explain the information implied in the source text to the target readers. Many proverbs and folk adages are hard to translate and if the translator translates them with explanations, the sentence will be long and redundant. By generalization, the meaning and the structure of the target text can be more concise and precise.

**Example 1:**

**ST:** 尽管我刚刚回忆了他敲牛胯骨时在我面前点头哈腰的形象，但人走时运马走膘，兔子落运遭老鹰，作为一头受伤的驴，我对这个人心存畏惧。 (Mo, 2012, p. 20).

**TT:** Even though I was able only moments before to conjure up an image of him bending over obsequiously in front of me, ox bone in hand, he instilled fear in this wounded donkey. (Goldblatt, 2008, p. 24).

The sentence “人走时运马走膘，兔子落运遭老鹰” means that luck is quite important and now “I” am not a lucky donkey. Maybe Goldblatt is at a loss as how to translate this saying and simply omits it because without it the readers can understand the contextual meaning.

**Example 2:**

**ST:** 常言道：“螃蟹过河随大溜”，“识时务者为俊杰”，不要顽固不化，不要充当挡路的石头，不要充硬汉子(Mo, 2012, p. 21).

**TT:** Stop being headstrong, an obstructionist. (Goldblatt, 2008, p. 25).

The two sayings “螃蟹过河随大溜” and “识时务者为俊杰” have similar meanings and the purpose of the utterance is to persuade Lan Lian to be aware of the situation and join the commune. In the target language, it could be redundant to repeat it again. Thus, Goldblatt omitted these two folk adages. Under the principle of simplification and the purpose of readability, Goldblatt simplified a lot of cultural default.

**Conclusion**

Since it is unavoidable to deal with cultural default in literary translation, suitable and coherent compensation should be applied for target readers’ comprehension on the basis of fidelity. Just as Goldblatt (2012) said, his goal in Chinese translation is that it won’t read as if it were written by an American, but that it will read as if written by a Chinese author who wrote it in pretty good English. He uses such skills as literal translation, paraphrasing, or transliteration to enable the target readers to feel the exoticism of the foreign culture. He also employs such skills as adaptation, omission or generalization to simplify a lot of cultural default for the readers’ better comprehension.

To make Chinese fiction come to life in English is a complex process that involves a translator’s knowledge of the Chinese language and culture, as well as a profound knowledge and creative flair in English. The frequent communication between Mo Yan and Goldblatt either by mail or phone shows that Goldblatt highly respects the author and attaches great importance to the original work itself. However, the translation itself is so arduous that meaning loss is unavoidable despite all of the compensation strategies. It should also be pointed out that there are some mistranslations caused by cultural misunderstandings or conflicts. Despite all the imperfections, through the translator’s creativity and craftsmanship, the English translation *Life and Death Are Wearing Me Out* has become a work of art in the larger cultural context and enjoyed great popularity among English readers.
Acknowledgments
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References

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On the Demonstrative Determiner and Pronoun Use of “Zhe” (This) in Chinese News Commentary Discourse

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[Abstract] Demonstratives are important discourse deixis and play an important role in discourse cohesion. This paper examines the linguistic environment of demonstrative ‘zhe’ (this) in Chinese news commentary discourse. It is revealed that the distribution of the determiner usage is almost 7 times as much as the pronoun use, which is different from ‘this/these’ in English academic writing. The diverse collocation indicates that the demonstrative ‘zhe’ is flexible and active in combining with appropriate nouns, which may partially explain its frequent use as a determiner in modern Chinese. Moreover, ‘zhe’ is an overwhelmingly used anaphoric expression reflected by the percentages of 71.2% and 92.2% in determiner and pronoun categories respectively, where ‘zhe’ often refers back to abstract concepts, activities or propositions and the long-distance anaphora is common, appropriate and acceptable.

[Keywords] demonstrative pronoun; demonstrative determiner; zhe; anaphora

Introduction
Demonstratives have long been a hot research topic in the field of linguistics and researchers have explored demonstratives from the perspectives of semantics (Lyons, 1977; Fillmore, 1982), pragmatics (Levinson, 1983, 1987; Himmelmann, 1996), systemic functional linguistics (Halliday& Hasan, 1976) and typological studies (Diessel, 1999).

Demonstratives are deictics, and as Levinson (1983) postulated, “deixis concerns the way in which languages encode or grammaticalize features of the context of utterance of speech event, and thus also concerns ways in which the interpretation of utterances depends on the analysis of that context”. In other words, deixis plays an important role in relating an utterance with its context. Deictics are traditionally classified into three primary semantic categories: person, time and place (Buhler, 1934). Personal pronouns, denoting the speech participants, are considered person deixis; time deixis refers to a temporal reference point, relative to the time of the speech event, while place deixis refers to objects, locations or persons (except for the speech participants). Demonstratives utilized as place deixis denote the relative distance of an object, location or person from the deictic center.

Levinson (1983) further added two additional deictic categories “social deixis” and “discourse deixis”: the former is attributed or related to the social status of the participants, while the latter is primarily concerned with the deictic elements of the surrounding discourse. Diessel testified in his cross-linguistic empirical study that demonstratives are frequently utilized as discourse deixis (1999), which extend the investigation, and thus establishes demonstratives as a more complex, intriguing and innovative research topic.

From a syntactic point of view, demonstratives can be classified into four distinct categories according to the linguistic context where they are applied: i) demonstrative pronouns, which are used as independent pronouns in the argument position; ii) demonstrative determiners, which co-occur with a noun used in a noun phrase; iii) demonstrative adverbs, which modify verbs, including locative
demonstrative and manner demonstrative; and iv) demonstrative identifiers, which occur in copular and nonverbal clauses and are referred to as a demonstrative predicator or copular demonstrative. It has been established that demonstrative pronouns and demonstrative determiners are of the same form in at least 61 languages with Chinese being one of them (Diessel, 1999).

Demonstratives are important grammatical cohesive devices effectively utilized in systemic functional linguistics. Demonstrative structures are referential structures that connect to another point in the text. Reference can be divided into ‘exophoric reference’ and ‘endophoric reference’, as the former points ‘outwards’, i.e. with the reference linking the text to its environment, while the latter points ‘inwards’, i.e. with the reference being recoverable from within the text itself. The endophoric reference can be further divided into ‘anaphora’ and ‘cataphora’, where the former points ‘backwards’ to the previously introduced referent, and the latter refers ‘forward’ to the entity that is yet to be introduced in the unfolding text (Halliday & Hasan, 1976).

Demonstrative studies have traditionally focused on personal pronouns, while demonstrative pronouns did not receive adequate attention until recently (Gundel, 1993; Gundel, et al., 2003, 2004; Bosch, et al., 2003). ‘This’ and ‘these’ have been discussed in academic writing (Petch-Tyson, 2000; Gray, 2010), due to their frequency in this register to make “immediate textual reference” (Biber, et al., 1999), and in spoken English (Gundel, et al., 2004). It has further been revealed that demonstratives more often have non-NP antecedents than NP-antecedents.

Chinese demonstratives, ‘zhe (this) and ‘na’ (that), have been a significant interest for functional researchers throughout the past few decades. Lv (1985) formulated a comprehensive description of the grammaticalization history of modern Chinese demonstratives, in which the concepts of anaphora, cataphora, phantom reference and notional reference were all highlighted and discussed in detail. Based on spontaneous conversations in Beijing and the surrounding area, Fang (2002) and Liang (2002) explored the discourse functions of ‘zhe’ and ‘na’, meanwhile Fang (2002) examined the grammaticalization of ‘zhe’ and ‘na’. Asymmetric distribution was also investigated and it was revealed that ‘zhe’ is five times as frequently used as ‘na’ (Fang, 2002; Yang, 2006).

The above notated studies covered semantic, syntactic, pragmatic and functional features of demonstratives, which laid a solid foundation for further research. However, the previous studies primarily focused on the sentence level instead of the discourse level; thus, the studies failed to adequately address the complete linguistic environment of demonstratives. Moreover, the Chinese demonstratives were not thoroughly examined, and thus deserve more attention and further detailed exploration.

Considering the higher frequency and representativeness of ‘zhe’, the present study attempts to extend previous investigations by employing an empirical analysis of the demonstrative determiner and pronoun uses of ‘zhe’, the discourse functions of the two categories, as well as the linguistic contexts. More specifically, the research questions can be summarized as follows:

1. How frequently is ‘zhe’ used as a demonstrative determiner or pronoun? What discourse functions do they assume? What are the percentage ratios of the functions?
2. What are the co-occurring linguistic contexts of ‘zhe’ used as a determiner or pronoun? What types of nouns and verbs frequently follow ‘zhe’ within the linguistic context?
3. Is there any distribution rule or pattern of ‘zhe’ when used as a demonstrative pronoun and determiner respectively in modern Chinese? When ‘zhe’ is used as an anaphoric expression or a
cataphoric expression, where is the antecedent, is it in the same sentence, the previous sentence, the same paragraph, the previous paragraph, or inferred from the global discourse?

**Data and Methodological Procedures**

The data for this study are ‘22 Degree Observation’ (*Er Shi Er Du Guan Cha* in Chinese, Observation in abbreviation). The transcription can be downloaded from the National Broadcast Media Language Corpus website (http://ling.cuc.edu.cn/RawPub/). The Observation program, launched by Shenzhen Satellite in 2009, strives to present an in-depth, rational and constructive discussion relative to the most provocative and important news events, such as current economic policies, political and social events or thoughts. The program usually invites four professional and knowledgeable guests, who are government leaders, authorities, and top ranked talents from various fields of expertise, as well as senior commentators to offer different or opposing opinions and insights and to interact with the studio audience, so as to promote and enhance social progress. Each program lasts 30 minutes, and a wide variety of topics have been covered, ranging from the widening gap between the rich and the poor, property taxes, food safety and international relations, as well as other topics that are of public interest. This present study randomly selected 6 programs from the corpus, with a total word count of 52,308.

There were three stages involved in the methodological procedures. First, the annotation scheme was established, based on the previously mentioned studies by Halliday & Hasan (1976), Fang (2002), Liang (2002), Diessel (1999), as well as Gray (2010). The demonstrative, ‘zhe’, can be classified as determiner use or pronoun use, according to its syntactic position. The former co-occurs with other linguistic items, whereas the latter is independently used. The pronoun is further divided into a copular group and a lexical group, according to the verbs that follow the pronoun. The determiner category is more complicated; thus, it can be subdivided into anaphoric expression (ana in abbreviation), cataphoric expression (cata), exophoric expression (exo), generic referential expression (gene), recognitional use (reco), adverb use (adv) and situational use (situ), based on the specific discourse function that ‘zhe’ serves.

According to the content of the linguistic items following ‘zhe’, the anaphoric and cataphoric subcategories can respectively be further classified into abstract (ab in abbreviation), concrete (conc), species (spec), text (text), manner (mann) and vague (vagu). Abstract, as used here, means the referent is a concept, fact, belief, event, or proposition, which often takes the form of a clause(s), sentence(s), paragraph(s), or the global topic of the entire discourse. Concrete, as utilized in this study, means the referent is a person or an object that can be physically observed, which is often realized by the nominal phrase. ‘Zhe’ is annotated as a species when it collocates with the linguistic items, such as “type, kind and category”, etc. When the referent is the verbal text, i.e. something said by the participants, ‘zhe’ is classified as text. Manner usually takes the forms of “in this way, in this manner”. When the referent cannot be accurately identified from the discourse, it is defined as vague.

As related to the anaphoric and cataphoric subcategories, the position of the antecedent is also annotated. The annotation includes the same sentence (ss, in abbreviation), the previous sentence (ps), the previous sentences (pss), the same paragraph (sp), the extended discourse (ex), which establishes that a specific segment of text can be readily identified and crosses paragraph boundaries, the overall discourse (ov), which refers to the discourse as a whole, the next sentence (ns), the next sentences (nss) and the next paragraph (np). The referent is annotated in brackets except for the overall discourse.

Second, the data was annotated according to the above mentioned scheme. Take the following sentence for example:
As represented in this example, ‘zhe’ is annotated as <deter ana ab ps>. Since ‘zhe’ collocates with a noun phrase and points backwards to the previous sentence, it is a determiner and is, thus, used as an anaphoric expression. The antecedent takes the form of a sentence and the noun phrase following ‘zhe’ is an abstract event; therefore, ‘zhe’ is an abstract anaphoric expression. The position of the antecedent, which is identified and annotated with brackets, is located in the previous sentence.

Next, the annotated data was collated and placed into a particular corpus, entitled “Corpus for Specific Research of linguistics”, which was also convenient for usage in the third stage, by providing the frequency of keywords and the context.

Third, quantitative and qualitative analyses were conducted. As has been mentioned in Stage One, the determiner and pronoun uses can each be divided into different subcategories. In the following two parts, the overall findings will be discussed and the subcategories will be explored in terms of distribution patterns, along with percentage and discourse functions, with the aid of the linguistic context.

**Demonstrative Determiner Use of ‘Zhe’**

The overall findings are presented and documented in Table 1, which clarifies and depicts the general distribution of the determiner use as being approximately 7 times as much as the pronoun use in this present study. Gray (2010) investigated English demonstratives ‘this’ and ‘these’ in academic writing and discovered that the proportion of determiner use to pronoun use is 3.19:1. What might be a possible explanation for the predominance of the determiner use over the pronoun use in modern Chinese? The demonstrative determiner use will be examined first, so as to answer this question, or propose a plausible hypothesis.

**Table 1. The Overall Finding**

<table>
<thead>
<tr>
<th>Determiners</th>
<th>Pronoun</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
<td>629</td>
<td>90</td>
</tr>
<tr>
<td>Percentage</td>
<td>87.5%</td>
<td>12.5%</td>
</tr>
</tbody>
</table>

Table 2 reflects the percentage of each subcategory of the determiner use of ‘zhe’. The anaphoric subcategory has a rate of 71.2% and ranks first in the determiner category. It is succeeded by the exophoric subcategory with the rate of 10.2%. The generic referential subcategory and the cataphoric subcategory come next, followed by the adverb use and the recognitional use. ‘Zhe’ can be used as an anaphoric & cataphoric expression at the same time, which accounts for 1% and will be discussed with an example in the following part. The situational use only occurs twice in this present study.

**Table 2. The Determiner Use of ‘Zhe’**

<table>
<thead>
<tr>
<th>Determiner</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>ana</td>
<td>448</td>
</tr>
<tr>
<td>cata</td>
<td>32</td>
</tr>
<tr>
<td>ana &amp; cata</td>
<td>6</td>
</tr>
<tr>
<td>exo</td>
<td>64</td>
</tr>
<tr>
<td>gene</td>
<td>39</td>
</tr>
<tr>
<td>reco</td>
<td>16</td>
</tr>
<tr>
<td>adv</td>
<td>22</td>
</tr>
<tr>
<td>situ</td>
<td>2</td>
</tr>
<tr>
<td>71.2%</td>
<td>5.1%</td>
</tr>
<tr>
<td>10.2%</td>
<td>6.2%</td>
</tr>
<tr>
<td>2.5%</td>
<td>3.5%</td>
</tr>
<tr>
<td>0.3%</td>
<td>100%</td>
</tr>
</tbody>
</table>
The anaphoric subcategory will be analyzed in this paper, due to its high frequency, and the cataphoric subcategory will be discussed together, since both of them have a referent in the discourse. As Table 3 indicates, 234 occurrences of the anaphoric expression ‘zhe’ collocates with abstract nouns, such as “过程” (process), “方面” (perspective), “共同利益” (common interests), “基础” (basis), “时候” (moment), and “点” (point), etc, 55 occurrences with nouns regarding manner “这样” (so; such; like this; in this way), 67 with concrete nouns, including “人” (people; man), “信” (letter), “发动机” (engine), and “潜水艇” (submarine), and 54 with nouns about species, like “种” (kind) and “些” (these). Similar collocations can also be revealed in the cataphoric subcategory. There is usually a classifier “个” or “次” between ‘zhe’ and the noun phrase, which can be clearly observed in the following example:

e.g. (2) 中国……给亚洲的国家争取了时间, 【他们慢慢缓过来】，而且在这＜deter ana ab ss＞个过程当中, 亚洲国家认识了一条, 危机来临的时候, 谁也救不了我们, 只能自己救自己。

Translation: China gained time for other countries in Asia, [which gradually recovered from the crisis] and realized from this process＜deter ana ab ss＞ that nobody can save them except for themselves.

Table 3. The Anaphoric and Cataphoric Subcategories

<table>
<thead>
<tr>
<th></th>
<th>ana</th>
<th></th>
<th>cata</th>
<th>cata&amp; ana</th>
<th>total</th>
</tr>
</thead>
<tbody>
<tr>
<td>ab</td>
<td>conc</td>
<td>spec</td>
<td>text</td>
<td>asso</td>
<td>mann</td>
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<tr>
<td>ss</td>
<td>119</td>
<td>40</td>
<td>31</td>
<td>3</td>
<td>30</td>
</tr>
<tr>
<td>ps</td>
<td>18</td>
<td>8</td>
<td>6</td>
<td>3</td>
<td>1</td>
</tr>
<tr>
<td>pss</td>
<td>6</td>
<td>3</td>
<td>5</td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>sp</td>
<td>6</td>
<td>4</td>
<td>1</td>
<td>2</td>
<td>1</td>
</tr>
<tr>
<td>ex</td>
<td>56</td>
<td>12</td>
<td>9</td>
<td>1</td>
<td>11</td>
</tr>
<tr>
<td>ov</td>
<td>29</td>
<td>2</td>
<td>1</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>ns</td>
<td></td>
<td></td>
<td></td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>nss</td>
<td></td>
<td></td>
<td></td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>unclear</td>
<td></td>
<td></td>
<td></td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>total</td>
<td>234</td>
<td>67</td>
<td>54</td>
<td>4</td>
<td>4</td>
</tr>
</tbody>
</table>

It is also worth mentioning that the Chinese demonstrative ‘zhe’ distinguishes itself from ‘this’/’these’, in that the former has the word ‘zhe yang’, which means ‘in this way’ and the two characters cannot be used separately. The second ‘zhe’ in example (3) depicts such a pattern, which also illustrates the cataphoric use of ‘zhe’:

e.g. (3) ……这＜deter ana ab ss＞一点是美国不能看到的, 所以它选择了这＜deter cata way ss＞样一种方式【把航空母舰派到黄海】……

Translation: …This ＜deter ana ab ss＞was not what America wanted to see, so it chose such＜deter cata mann ss＞ a way to [send the aircraft carrier to the Yellow Sea] …

In addition, ‘zhe’ can be used as anaphoric & cataphoric expression at the same time, which functions as a transitional word. There are 6 occurrences in this study. Take the following sentence for example:

e.g. (4) ……因此【在这＜deter ana ab ex＞种情况下我们做一些对应是完全合理的】, 这＜deter ana&cata＞样【就跟打太极拳一样, 柔中有刚, 一旦出现问题的时候, 我一样一个反手能把你打出去, 一样能够反击的】。
Translation: therefore [under such circumstances it is absolutely reasonable that we take some measures], in this way [I can deliver a counterblow in case of emergency, just like doing t’ai chi, an iron fist in a velvet glove].

The second ‘zhe’ in e.g. (4) refers not only backwards to the segment in brackets in the precious clause, but also forwards to the following part. Here, ‘zhe’ summarizes the previous clause and also explains it in more succinct detail.

As for the position of the antecedent, 253 out of 486 ‘zhe’ in the anaphoric and cataphoric subcategories have antecedents in the same sentence, i.e.; the distance between the reference and the antecedent being in close proximity. In most cases the antecedent takes the non-nominal form. However, the long reference distance is also frequent in this present study, where the extended discourse has 102 occurrences and the overall discourse has 35 occurrences. The long distance antecedent works overwhelmingly with the abstract anaphoric expression. Moreover, it is of significant interest that there is no long distance antecedent in the cataphoric use of ‘zhe’, which obviously requires more data to be testified.

In summary, the demonstrative determiner, ‘zhe’, is typically used as an abstract anaphoric expression, which usually refers back to the antecedent in the same sentence, but commonly can also have a long distance antecedent. These antecedents are, in most cases, of the non-nominal forms. The diverse collocation indicates that the demonstrative, ‘zhe’, is relatively flexible and active in combining with nouns, which may partially explain the frequent use of determiners in modern or contemporary Chinese.

**Demonstrative Pronoun Use of ‘Zhe’**

As Table 4 clearly indicates, the pronoun use of ‘zhe’ can be divided into a copular group and a lexical group with the proportion of 4.6:1; the former is followed by the copular ‘be’ verb and the latter by a lexical verb. The pronoun ‘zhe’ is overwhelmingly used as an anaphoric expression with an occurrence of 83, while the other 7 are used as cataphoric expression, anaphoric & cataphoric expression and generic referential expression. As for the position of the antecedent, 55 out of 83 anaphoric expressions have antecedents in the same sentence, while only 15 depicted the extended discourse, and 1 in the overall discourse. This result is similar to the determiner use, as cataphoric expressions don’t have long-distance antecedents.

**Table 4. The Pronoun Use of ‘Zhe’**

<table>
<thead>
<tr>
<th>pronoun</th>
<th>copu</th>
<th>total</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>ana</td>
<td>cata</td>
</tr>
<tr>
<td>ss</td>
<td>45</td>
<td>2</td>
</tr>
<tr>
<td>ps</td>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td>pss</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>sp</td>
<td></td>
<td></td>
</tr>
<tr>
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<td>total</td>
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<td>16</td>
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The pronoun ‘zhe’ in the copular group often refers back to the abstract concept, proposition and activity. Take the following sentence for example:

e.g. (5) 「21 世纪中美关系，是重要的双边关系之一，不是短期的，面向 21 世纪整个很长远的积极的，合作的，全面的关系」，这/pron copu ana ss/是一个很明确的定位。

Translation: [The Sino-American relationship in the 21 century is one of the most important bilateral relationships, it’s not short-term but a long-term, positive, cooperative and overall relationship for the 21 century], this/pron copu ana ss/ is a clear positioning.

The lexical verbs, following ‘zhe’, fall into the same semantic category, including ‘反应’，‘表明’，‘说明’, and ‘意味’, which correspond to ‘suggest, indicate and show’ in English.

In a word, the pronominal ‘zhe’ is overwhelmingly used as an anaphoric expression and frequently refers back to an abstract concept, activity and proposition. The antecedent and the anaphoric expression are usually in the same sentence; however, the long-distance anaphora is also acceptable.

**Conclusion**

Demonstratives are not only utilized as place deixis, but also discourse deixis, which exhibits an important role or function in discourse cohesion. This present paper aims to extend the previous studies by systematically and carefully analyzing the linguistic environment of the demonstrative ‘zhe’ in Chinese news commentary discourse. This study demonstrated that the general distribution of the determiner use is almost 7 times as much as the pronoun use, which is differentiated from the genre of English academic writing. The diverse collocation indicates that the demonstrative ‘zhe’ is flexible and active in combining with nouns, which may partially explain or attribute to the frequent use of ‘zhe’ as a determiner in modern Chinese. Furthermore, the anaphoric use, which makes up 71.2% and 92.2% in determiner and pronoun categories, respectively, and often refers back to the abstract concept, activity and proposition, where the long-distance anaphora is common and acceptable. The cataphoric expression displays a preference toward the short distance antecedent. Although the preliminary conclusions are based on empirical data, some limitations should also be mentioned. First, the annotation scheme should be more accurately verified with more abundant data, as well as incorporating data from other genre, so as to further quantify and verify the preliminary conclusions. Second, the length of the antecedent can be explored together with the position of the antecedent, so as to obtain enhanced clarity and understanding of the cognitive rules associated with human language. Third, other para-linguistic features can also be included in future studies, such as gesture, facial expression and prosody of the participants. In closing, the demonstrative ‘zhe’ is so frequently used that extensive and significantly enhanced systematic research is required to foster the progressive development of language acquisition and natural language processing.

**References**


A Quantitative Study of the Deaf Students’ Lexical Development in Written Language

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[Abstract] The present study has built a written Chinese Corpus of deaf students’ compositions from the primary, junior and senior high school stages and a transcribed sign language corpus from the conversations of deaf adults. By examining multiple quantitative measures of lexical richness, including the h-point, entropy, hapax-token ratio and function words frequency, the characteristics of the lexical development of deaf adolescents are investigated and compared with transcribed sign language. The results demonstrate that there is an overall language maturity and stability in the senior high school stage, but instant and inconsistent changes occur in the early learning stages.

[Keywords] deaf students; lexical richness; quantitative measures; corpus

Introduction

Unlike hearing people, communications of deaf people are fulfilled by sign language and written language, as well. Natural sign language was formed in the deaf community and has its own morphological syntactic system. Deaf people can “speak” language through body gestures and facial expressions within their own community, while written language helps them communicate with hearing people and get in touch with the general society better. However, because of the lack of auditory input and the difficulty in abstract expressions in written language, the acquisition of written language by deaf children is far slower than their hearing counterparts (Bishop, 1982; Swisher, 1976). Various research around the world on deaf people’s language abilities have found that the reading comprehension skills of deaf students who graduate from high school still remain at about the fourth grade level or below (Alvarado, et al., 2008; Hermans, et al., 2010; Yang, 2008).

The stagnant situation in the literacy development for the deaf lies mainly in the misconception or the deficiency of vocabulary and syntactic knowledge (Miller, 2010). Previous and current results of different studies conclude that 1) the vocabulary of deaf students is unbalanced, consisting of more nouns, determiners and verbs, but fewer adverbs, auxiliaries and conjunctions; 2) function words (e.g. prepositions, and pronouns, etc.) are frequently overused or misused; 3) shorter and less complex sentences are produced, which means that deaf students/people have problems in organizing complex (syntactic) structures (Taeschner, et al., 1988; Channon & Sayers, 2007).

Corpus study is one of the important research methods in modern linguistics. By far, corpus-based, or corpus-driven, studies on written language and sign language of deaf students are comparatively uncommon: a majority of current/previous research in the language studies of the deaf are using psychological experiments to examine some cognitive mechanisms in the comprehension and production of written language by the deaf. But few attempts have been made with the adoption of a corpus of written language and sign language to seek the quantitative linguistic characteristics in the deaf (e.g. Schembri, et al., 2013; Zhang, et al., 2014).

The aim of this study is to observe developmental changes in lexical richness and to find out some quantitative connections between the written and sign language of the deaf, as well as to discover more
evidence in the possible language levels achieved by students when they step into adulthood. By adopting quantitative approaches, the lexical development and language acquisition regularities of deaf students are explored by comparing writings of deaf students of different learning stages and their transcribed sign language, as well as texts from the 4th grade textbook. The study employs lexical measures of h-point, entropy, hapax ratio and function word frequency. With the calculated data, we analyzed the lexical development characteristics of deaf students’ written language. Inspired by the phenomenon observed in the study, we may find better solutions tackling the difficulties for deaf students in learning written language and for teachers in how to better access the language. Last, but not least, the study also aims to shed light on the general process of language acquisition.

Methodology

Corpus Introduction

In this paper, we collected Chinese compositions by students from the 4th to 12th grade at one special education school (those that were observed were from 10 to 18 years old with at least profound loss of hearing, and whose Intelligent Quotients are from average to above average). We also videotaped the deaf adults’ conversations and transcribed 32 of their conversations into written form. In addition, we collected 20 texts from Mandarin textbooks for general 4th grade students at elementary schools. All the collected corpora were built with a part-of-speech annotation. Given that samples of texts collected from both the 5th and 6th grades were limited, we combined these two grades together as one and randomly picked texts from other grades, from the transcribed sign language corpus and from the textbook corpus as samples. The ultimate text size of each sub-corpus was balanced with text length (counted by word tokens) varying from 7264 to 9846, and the average length counted was 8906.

Lexical Measurements

Vocabulary has been a vital part in language teaching. Words are systematic in nature and convey primary semantic and grammatical functions, making them become the most fundamental and most important in the whole language system (Hudson, 1994). Although vocabulary is not the only factor affecting writing ability, lexical mastery is definitely closely related to writing ability (Laufer, 1994). The process of vocabulary learning is continuous: from the simple lexical knowledge to a complicated one and from a small to a large vocabulary. In the continuous learning progress in Chinese writing, we expect a gradual growth of word productivity and vocabulary, which suggests an improvement in writing ability. The exploration of lexical measurements on the writing language of deaf students will not only shed light on their lexical development, but also -provide a rough sketch of the students’ mastery of syntax. We used the data capture tool Antconc 3.4.4. and the quantitative text analysis analyzer QUITA to fulfill this corpus-based lexical analysis. By employing these two tools, H-point, entropy, hapax-token ratio and function words frequency were counted and computed.

H-point. H-point was introduced into linguistics by Popescu (2006). It refers to the point where the rank-frequency sequence equals with the word frequency. The point is proved to separate the autosemantics, which are seldom occurring words, from the more frequently occurring synsemantics. In the rank-frequency list, it is the point at which r=f i. If there is no r=f(j), then it is defined as h=f(i)r i-f(j)r j+r i+r j+f(i)f(j). As Popescu (2006) has stated, in the rank-frequency presentation, the words before the h-point are usually words with more syntactic semantic meaning. H-point has been considered as a valid index for the lexical
richness of the texts. Popescu further argued that a smaller \( h \) means that a smaller proportion of words frequently occur and there is a higher proportion of infrequent words and hapax legomena.

**Entropy.** Originally used in thermodynamics and information theory, entropy in corpus linguistics is used as an indicator of lexical richness as well (Zhang 2014). Given the occurrence of any word in a text is \( p_r \), then the Entropy of the text is calculated as:

\[
H = - \sum_{r=1}^{V} p_r \log_2 p_r
\]

The lower the entropy of a text, the lower its lexical richness are. It was proved by Zhang (2014) that entropy has advantages over TTR in that it not only includes frequency information of each constituent, but also relative frequency difference between constituents.

**Hapax-token ratio.** A hapax legomonon is a word type with a token count of 1. In the word frequency distribution curve, they form the long tail. Researchers have found that hapax legomena will indicate some characteristics of a text (Plag, et al., 1999). Hapax-token ratio can be a reliable indicator of the number of neologisms, of authorship and of the synthetism/analytism of language and also of vocabulary richness (Popescu, 2008; Lindquist, 2007). It is hypothesized that a highly synthetic language, which contains more complex words, will form more hapax legomena. On the contrary, in a highly analytic language whose number of forms is small, hapax legomena are smaller as the repeated words occur more. Although there are not many previous studies taking this index as a measure of lexical richness, we believe it is also a valid measurement to witness the dynamics of lexical development in the deaf.

**Frequency of function words.** Since the above measurements do not consider the impact of word class on language characteristics, the frequency of function words hereby is introduced. Ure (1971) has defined the proportion of the content or lexical words as lexical density. The measure is used in stylistic studies to distinguish formal or written language from the informal or oral one (Hudson, 2009). Combined studies have found that the deaf language in their sign and written form is characterized by the weaknesses of use in function words (Taeschner, et al. 1988; Channon & Sayers, 2007), which helps to structure the sentence and contain more syntactic meaning. Therefore, we believe that the proportion of function words may be a more direct index to observe the possible syntactic development for the deaf studies instead of lexical density.

**Results and Discussion**

**H-point**

Figure 1 presents the h-point development in different stages. As can be seen from the figure, the h-point in the primary stage is generally the smallest, with the h-point of the 4th grade counted by 33 and the 5th & the 6th grade by 34. Approaching to the junior stage, the h-point goes intensively higher to 39 and then there is a dramatic, but inconsistent, decrease along the grade. The developmental trajectory is parallel in the junior and senior stages but the average h-point of the junior stage (MD=37.3) is approximately 3 points lower than the average of the senior stage (MD=34.5). Compared with our baseline h-point of transcribed sign language and textbook data, it is observed that the h-point of transcribed sign language (H-point=38) is also high in number, which is almost close to the level of the deaf corpora in the junior stage. In contrast, the h-point of the textbook corpus is 35, approximate to the level of the senior stage. The h-point of the 3rd grade in the senior high school corpus approaches the textbook level of about 34.3.
Based on the previous assumption, it is evident that the lower the lexical richness, the higher the h-point is. H-point in the primary stage is the lowest, which seems to indicate that students have a large lexical diversity. Yet, the lexical diversity decreases in the junior stage but increases again in the senior stage. We believe that the non-linear development is consistent with the regular patterns of lexical acquisition. Fischer (2003) has stated that the cognitive development follows a spiral pattern, with a general tendency of increasing but with some fallbacks within the learning course. Learners’ vocabulary will explode in a short amount of time when they first learn new words but falls after a period of learning due to the low frequency of usage for some learned words, in addition to the failure of recalling the previous vocabulary. With the accumulation of knowledge and the repeated review of the vocabulary, learned words are chewed and mastered to an automatic level. Meanwhile, students are continually learning new vocabulary during their review of learned words, contributing to an increase of the vocabulary into the next stage, thus, making the lexical development in a spiral rise.

**Entropy**
The entropy was calculated and the result is shown in Figure 2. Different from the h-point development, the age boundary among different learning stages is clear and entropy displays an average growth along with the learning course. The smallest entropies occur in the primary stage, with an average of 8.6. A slight increase occurs in the junior stage ($MD=8.9$) but the changes in this stage are unstable. In senior high school, there is a linear development in data and in the last year of the senior stage, the entropy is approaching the textbook level, of which the entropy is about 9.6. The entropy of transcribed sign language is 9.2 and it equals the average result of the senior stage, which is still lower than the textbook level.

*Figure 1. The H-Point Development in the Three Stages*

*Figure 2. The Entropy Development in Deaf Writing*
The overall increase in entropy seems to indicate a lexical development throughout learning stage. But the changes, to some extent, differ from the h-point result. The development of entropy seems to have stronger relations to language learning. Although, inconsistency occurs in the primary and junior stages, a tendency of increase is clear. Fischer’s assumption about language learning is proved to be tenable in this index which states that students’ vocabulary improvement is inconstant. Despite the inconstancy in the previous two stages, lexical richness seen from the entropy measurements shows a continuous and fast development in senior high school. Still, students’ lexical level is near, but still lower, than the textbook baseline before they graduate. The lexical richness of transcribed sign language data is lower than the Mandarin Chinese written forms.

**Hapax-Token Ratio**

Hapax-token ratio was calculated and the result is shown in Figure 3. Similar to entropy development, there is also a general ascending trend in the three stages in terms of hapax-token ratio, but the trend is not distinct in the early stage. Although the boundary is clear in the presentation of the primary, junior and senior stage, changes are small in the early two stages, with an average ratio of 8.5% in the primary stage and 10.1% in the junior stage. Remarkable increase is spotted in senior high school, averaging around 13.7%. Hapax-token ratio extracted from the textbook is 16.9%, which is higher than that of deaf students’ composition corpora. The ratio for the transcribed sign language corpus is 10.3%, which is tremendously close to the junior stage level.

![Figure 3. Hapax Token Ratio in the Three Stages](image)

Hapax-token ratio reveals the formation of new words. The low percentage of infrequent hapax legomena in the early stage of the deaf students’ compositions and in the transcribed sign corpus may indicate a limited vocabulary. More repeated words are in use for students of the early stages and in sign language as well. Coming to the senior stage, more new and complex words are mastered by students in productive writing, enriching the proportion of hapax legomena.

**Function Words Usage**

Figure 4 shows the utilization of function words in the deaf language. Still the gaps among the three learning stages are observed. Function words are rarely used in the primary stages, with an average of 11.88%. After the rise of frequency in the junior year, function word usage falls steadily in the second and third year in the junior stage and goes up continuously approaching the senior years. The transcribed sign language corpus shares a similarly low proportion of function words, with a ratio of 12.7%. In contrast, the employment of function words (MD=16.8) in the senior stage is close to the textbook level (17.1%).
Figure 4. Function Word Usage in the Three Stages

We believe the variations in the usage of function words can be explained by deaf students’ syntactic development. At the beginning of the learning stage, deaf students load their writing with long chains of content words, with inadequate cohesive and syntactic competence. During their course of learning, they learn to use more function words, with a great improvement in the cohesion and grammar, as well as diversified syntactic forms. In addition, the lack of using function words in the early period may be influenced by the absence of function words in sign language. Such suggestion is likely to be proved by the similar function words ratio when comparing conditions in the primary stage and the transcribed sign language corpus. The conditions of using function words are improved greatly in the senior stage and gets close to the 4th grade textbook level, implying a syntactic maturity. Moreover, instability of development is found in the early two stages as has been observed in the above measurements.

Conclusion

This paper has conducted a comparative study on the deaf students’ lexical development by using multiple measurements. Adopting methods like H-point, entropy, hapax-token ratio and function words frequency, we were able to get a more panoramic view of students’ written language development, and certain characteristics were discovered that shed light upon special education.

In general, although deaf students’ written language development lags behind that of hearing people, their language ability approaches maturity with age and grade growth and the performance becomes steady in their senior grades. However, results from some lexical measurements suggest that the gap of language capacity still exists between deaf students and their hearing counterparts. Meanwhile, we find a significant inconstancy in the early lexical and syntactic development as all four measures have reflected which may imply an instable cognitive development. Research in second language acquisition proves that the learners’ language development follows some particular patterns and goes through certain stages. It is dynamic and also varies in development from different levels of linguistic features (Ellis, 1897). The development of language is not staircase-like, but instead with the coexistence of ebb and flow, growth and decline, during which, the changes are also affected by many other factors (Larson-Freeman, 2006). We may infer that certain instability in the initial language learning is a natural course in the deaf students’ written language acquisition. In addition, it is possible that sign language, as the first language for the deaf students, is playing a role in the development of their written language. The measures in the study all indicate a low lexical richness in the transcribed sign language corpus presented by small function words usage and quantities of repeated words, commonly at, or even below, the level of junior stage.
In conclusion, quantitative measurements used in this study provide a new and powerful methodology in the discovery of regular patterns in language development. From the pedagogical stance, we suggest that special education teachers should have certain knowledge of the mechanism and processes of deaf students’ written language learning. There’s no need to be anxious about the instability of performance in students’ learning. Instead, timely and proper guidance, inspiration, and continuous follow-up review will better support the students as they go through the early stages, thereby achieving a more satisfying feedback.

References


Musical Lyrics Translation: The Reconstruction of a Multimodal Textual Gestalt

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[Abstract] Adopting the concept of gestalt, this paper views the translation of musical lyrics as the reconstruction of a multimodal textual gestalt which is organically composed of such semiotic systems as words, musical notation, and theatrical performance. It suggests that a musical translator should try to meet three-dimensional requirements and follow “the Holistic-balancing Principle”; that is, ensure the overall balance of fidelity, singability and performing effectiveness on the macro level of the entire target text by judging their comparative importance and making adaptations flexibly and properly.

[Keywords] musical; lyrics translation; multimodal text; gestalt

Introduction
The musical, a vibrant theatrical form in western countries, was introduced into China over a decade ago. In recent years, more and more classical western musicals, such as Mamma Mia!, Cats, Avenue Q, and How to Succeed in Business without Really Trying, have been staged in China with Chinese cast members performing the dialogue and lyrics in Chinese. Most of these shows have attracted large audiences and turned out to be great successes. In the production of these Chinese versions, one significant, yet quite challenging, task is the translation of musical lyrics, which cannot be translated in the same way as poetic texts. However, due to the relatively late start of the translation practice, musical lyrics translation has received scant attention in translation studies, both at home and abroad.

The study of musical lyrics translation needs to draw upon analyses in many disciplines including psychology. As Max J. Friedländer stated, “[a]rt being a thing of the mind, it follows that any scientific study of art will be psychology” (as cited in Gombrich, 1977, p. 3). Musical lyrics belong to a special text type closely related to art, and thus psychology is also necessary in the study of musical lyrics translation. For this reason, this paper draws on the concept of gestalt to examine the requirements and the fundamental principle of musical lyrics translation.

Gestalt: From Psychology to Translation Studies
Gestalt theory is a theory of mind arose in Germany in the early twentieth century as a reaction against atomistic psychology, emphasizing the study of experience and behavior as wholes rather than independently functioning, disparate parts. As a psychological term, a gestalt (Gestalt, a German word meaning pattern, form, or configuration) is a perceptual configuration or structure that possesses attributes transcending the sum of its constituent elements and that cannot be described simply in terms of its parts (Colman, 2006, p. 316).

Based on the concept of gestalt and experimental analyses of visual perception, Gestalt psychologists maintain that the conscious experience must be viewed as a totality of the dynamic interactions of components of the brain, because the mind forms a global whole with self-organizing tendencies. In the perceptual system, natural wholes are not the sum total of their constituent parts; rather, characteristics of
the whole determine the nature of its parts, prescribing the place, role, and function of each part in the unified whole (Wertheimer, 2008, p. 310). Kurt Koffka, one of the founders and pioneers of the school, summarizes the idea as “the whole is other than the sum of the parts”.

Gestalt theory not only stands revealed as a systematic orientation within psychology, its core concept of gestalt and many of its theoretical principles have also been applied to other disciplines, including translation studies. For example, Snell-Hornby (1988) proposed an integrated approach to translation based on prototypology and the holistic principle of the gestalt, highlighting the dynamic, gestalt-like system of relationships in translation activities. In China, Jiang Qiuxia was the first scholar who established a schemata of image-gestalt actualization to interpret and analyze the aesthetic process of literary translation (Jiang, 1999; 2002). Later on, other translation scholars also adopted gestalt principles to examine the translation of novels (Zhu, 2006), poems (Hu, 2007), and dramas (Chen & Li, 2008). However, all the relevant literature focuses merely on literary works, and none of them particularly looks at texts of much more complicated features such as musical lyrics.

The Text of Musical Lyrics: A Multimodal Textual Gestalt

According to Polish semiotician Tadeusz Kowzan, there are thirteen sign systems at work in theatrical performance, which can be divided into five categories: the spoken text (word, and tone); the expression of the body (mime, gesture, and movement); the actor’s external appearance (make-up, hairstyle, and costume); the appearance of the stage (props, décor, and lighting); and inarticulate sounds (music, and sound) (Kowzan, 1968, p. 73). It indicates that any written theater text contains a network of auditory and visual signs that unfold in time and space, and language is only one part of that network. Hence, in terms of text-typology, theater texts (including musical scripts) belong to “multimodal texts” - texts “involve[ing] different modes of verbal and nonverbal expression, comprising both sight and sound” (Snell-Hornby, 2006, p. 85).

As a form of theatrical performance that combines dialogue, songs, acting, and dance, a musical may overlap with other similar theatrical forms like dramas or operas. But a musical can be distinguished by the equal importance given to the music as compared with other elements. The text of a musical includes not only the spoken “words” of the characters, but also a large quantity of lyrics written for singing. Besides, dancing is also an essential part in musical, adding to “the expression of the body”. In these ways, “music” and “sound” which are “inarticulate” in dramas clearly express themselves in musicals. Accordingly, the basic components of a musical are much more diversified than those of a drama, with the multimodality of musical lyrics manifesting in various semiotic systems including words (verbal signs), musical notation (musical signs) and theatrical performance (theatrical signs)\(^1\).

Koffka argued that a work of art is a gestalt, with all of its constituent parts forming a hierarchical unity of unique qualities (Koffka, 1940, p. 320). Such qualities are especially obvious in the art of the musical, because the story and emotional content of a musical are communicated through the words, music, and all the other theatrical sign systems as an organic whole. Likewise, the multimodality of musical lyrics is not produced by simply adding relevant elements together. Instead, it stems from the

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\(^1\)In the investigations of musical lyrics translation, words (verbal signs) are the object of translation, while musical notation (musical signs) presents the major constraint for translation. Hence in this paper, both are separated from Kowzan’s model of theatrical sign systems, with all the rest of the sign systems referred to as “theatrical signs”.

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organized and meaningful totality formed by those elements through the aesthetic experience of the audience.

Therefore, the lyrics of a musical constitute “a multimodal textual gestalt” organically composed of such semiotic systems as words, musical notation and theatrical performance, and the translation of musical lyrics is not merely the conversion of verbal signs, but the reconstruction of a multimodal textual gestalt in three dimensions – language, music, and performance. Correspondingly, the target text of musical lyrics should meet three-dimensional requirements: fidelity, singability and performance effectiveness.

The Three-Dimensional Requirements of Musical Lyrics Translation

In the linguistic dimension, fidelity is the basic requirement for translating musical lyrics as with other types of translation. First, the substantial meaning of the source text must be retained adequately. Second, the diction of the target text should conform to the style of the musical work, the status and temperament of the characters, as well as their mood while singing. Third, the poetic features such as rhythm, rhyme and rhetoric devices should be modestly reproduced in the target text as far as possible (although it is often too difficult to achieve due to the constraint of music).

In the musical dimension, a translator of musical lyrics must attach great importance to the singability of the target text, which requires the words to be compatible with the pre-existing music and sound natural when sung, bringing auditory enjoyment to the target audience. As the European melopoetic norm requires, a singable lyric displays a prosodic, poetic, and perhaps even a semantic-reflexive match to the music (Franzon, 2008, p. 390). Accordingly, in the translation of musical lyrics, the musical structure and mood conveyed, as well as the singing style of each musical number, should be considered in the first place, and then every line of the lyrics should be matched to the musical score in such micro aspects as syllable count, rhythm, accent, sounds for easy singing, and location of key words. In addition, in the case of English-Chinese translation, a translator needs to pay extra attention to the particular rhyming rules of Chinese song lyrics and the tone change of Chinese characters2 (Sun, 1999; Xue, 2002).

As work in theatre semiotics has shown, it is only in performance that the full potential of a theatre text can be realized (Bassnett, 2002, p. 124). Therefore, in the theatrical dimension of musical lyrics translation, performing effectiveness becomes an essential requirement for the target text. On the one hand, lyrics must communicate effectively on the first encounter in that the singing and the performance on stage is transient, demanding its language to be concise and intelligible for the target audience. On the other hand, a translator needs to highlight the specific function of each musical number, and consider the cultural background and aesthetic expectation of the target audience, as well as the future performing atmosphere in the theatre.

Theoretically, as the product of gestalt reconstruction, a target text of musical lyrics should satisfy all of the aforesaid requirements. However, due to the mutually close relationship among the semiotic systems of words, musical notation and theatrical performance, the three dimensions of translation requirements often cause restrictions for one another. As a result, it’s often too difficult to meet all the three dimensions simultaneously in the practical translating process.

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2Chinese is a typical tone language, and the tone of Chinese characters would possibly change under the influence of pitch change when sung. Once the rising and falling of tones goes against that of pitches, the meaning of phrases may be ambiguous or mistaken.
The first two stanzas of “Jellicle Songs for Jellicle Cats”, the prologue of the classical musical *Cats*, are presented below as an example. In this excerpt, the cats of the Jellicle tribe emerge one-by-one, singing of their unique abilities and special traits to celebrate who they are.

**[Source text]**

**Chorus (Individually):**

- *Are you blind when you’re born?*
- *Can you see in the dark?*
- *Can you look at a king?*
- *Would you sit on his throne?*
- *Can you say of your bite*
- *That it’s worse than your bark?*
- *Are you cock of the walk*
- *When you’re walking alone?*

**Chorus (Tutti):**

- *Because/ Jellicles are/ and/ Jellicles do*
- *Jellicles/ do and/ Jellicles would*
- *Jellicles would and Jellicles can*
- *Jellicles/ can and/ Jellicles do*

Concerning the translation of the individual chorus part (hereafter referred to as Stanza 1), there are two issues when a translator tries to achieve both fidelity and singability. First, the stanza is composed of six “Yes/No” questions, and the last syllable of each line is prolonged according to the note duration. As an illustration, the musical setting for the first two lines is shown in Figure 1. In terms of fidelity, it is important to maintain the sentence structure; whereas in terms of singability, the note duration should also be ensured for keeping the natural pauses of the music. Nevertheless, “Yes/No” questions are typically translated into Chinese as questions ending with softly and quickly articulated modal particles such as “” ([m]) or “” ([ma]), which are unsuitable for singing under notes of long duration. Hence, it’s almost impossible to satisfy the demands of both the sentence structure and the music. Second, each line of the stanza consists of six syllables fitted to the notes of each musical phrase, requiring the target text to be comprised of six Chinese characters as well (since Chinese characters are all monosyllables). However, it is quite challenging to retain all the information conveyed in the source text with such few Chinese characters. Thus, here comes the second issue, one between text contents and musical rhythm.

![Figure 1. Music to the First Two Lines of “Jellicle Songs for Jellicle Cats”](image)

As a response to Stanza 1, the tutti chorus part (hereafter referred to as Stanza 2) lists the positive answers to those “Yes/No” questions, with auxiliary verbs slightly changed and appearing one after another, forming a special sense of beauty. However, if literally rendered into Chinese, these auxiliary verbs will be total nonsense to the target audience, affecting their understanding of the lyrics and their enjoyment of the show. In addition, a stanza with no end-rhymes is not catchy enough during
performance in that Chinese song lyrics prefer dense and unified rhymes, and at least all the even-numbered lines within one complete stanza must end with the same vowel sound (Xue, 2002, p. 88). Consequently, the sentence structure, the performing effectiveness, and the rhyming rules of Chinese lyrics are all contradictory to each other in the stanza.

Such contradictory situations are commonly seen in the translation of musical lyrics. Nevertheless, the task of reconstructing the multimodal textual gestalt is still achievable. According to the Gestalt view, there is a structural correspondence, termed “isomorphism”, between the gestalt patterning of a stimulus and the activity in the brain while perceiving the stimulus. When the physical stimuli in question are considerably changed, yet with their relations kept constant, the Gestalt qualities remain about the same (Koffka, 1935). A paradigmatic example is melodic constancy, according to which a tune is recognizably the same when played in a different key without using any of its original tones. In a similar vein, although the text of the musical lyrics has “considerably changed” in terms of verbal signs, the gestalt of the source text can still be reconstructed as long as the translating process abides by a fundamental principle called “the Holistic-balancing Principle”.

The Holistic-Balancing Principle of Musical Lyrics Translation

A major aspect of Gestalt Theory is that the mind understands external stimuli as whole rather than the sum of their parts. While appreciating a work of art, human beings also start from viewing it as an integrated whole, and then perceive its elements through relevant sense organs, seeking the kernel of connection between all the elements, and finally experiencing the overall feeling transmitted from them (Arnheim, 1954). This process consists of two indispensable steps: the step of discovering “forms” and the step of discovering “themes”. The former is a common process of general cognition, while the latter is regarded as the ultimate purpose of aesthetic activities by Rudolf Arnheim, the proponent of Gestalt theory and the first one to apply it to art.

The success or failure of a theatre work depends largely on the aesthetic experience of the audience. In the performance of a musical, the lyrics are sung by different characters in various ways such as a solo, ensemble and chorus, accompanied by music and dance of diverse styles, as well as splendid stage design and fast-changing scenes. Hence, the audience is often too busy to attend to all the “forms” in both auditory and visual sense, and they can discover the dramatic “theme” of the musical only by experiencing the overall feeling transmitted from the combination of these formal elements.

Likewise, while appreciating musical lyrics, the target audience is stimulated not by independent dimensions of language, music, or performance, but by the integral gestalt constructed in those dimensions. In addition, their reaction to the stimuli is not provoked by the superposition of individual modalities involved in the text. Rather, it is because these modalities “have achieved an optimal ordered state in a system” (Arnheim, 1986). Also, the key point of reconstructing the textual gestalt of musical lyrics is not adding the aforesaid three-dimensional requirements together, but ensuring them “to create a state of balance” (Arnheim, 1943, p. 73).

Low (2005) proposed an approach to song translation called the “Pentathlon Principle”, including five criteria that need to be balanced: singability, sense, naturalness, rhythm and rhyme. According to him, the success of a translation should be judged by means of an “overall aggregate, calculated on all five of the criteria” (2005, p. 203). Similarly, while translating musical lyrics and restructuring the gestalt, a translator also has to constantly judge the comparative importance of the three-dimensional requirements, and make adjustments of their proportions flexibly and properly, so as to guarantee their
overall balance on the macro level of the entire target text. This is the fundamental principle of musical lyrics translation, which can be referred to as “the Holistic-Balancing Principle”.

In the above-mentioned example, the only way of solving those issues is to consider the three dimensions of translation requirements holistically and make adaptations accordingly to strike a balance. The Chinese version of *Cats* was staged in 2012 with a prologue beginning with the following lyrics.

[Target text]
合唱 (依次进入):
谁的目光闪烁 (shuo)
能把黑夜看破 (po) ?
站在国王眼前
谁敢从容不迫 (po) ?
谁能时刻警惕
利爪从不留情 (qing) ?
谁敢抬头昂首
独自走在风中 (zhong) ?
合唱 (全体):
那就/竖起耳朵/听/杰里科说 (shuo)
杰里科/就是/全能的我 (wo)
睁大眼睛看杰里科做 (zuo)
杰里科/就是/神奇的我 (wo)

[Back-translation\(^3\)]
Chorus (Individually):
*Whose eyes can twinkle*  
*To see through the night?*
*Standing in front of a king*
*Who dare to be calm and at ease?*
*Who can be alert at any time*
*With paws never showing mercy?*
*Who can hold the head high*
*While walking alone in the wind?*

Chorus (Tutti):
*Then be all ears for what Jellicles are saying*  
*Jellicle is the almighty me*
*Open your eyes to see what Jellicles are doing*

*Jellicle is the amazing me.*

Comparing the target text with the source text, one can easily find that the translator has made remarkable modifications to the text. In Stanza 1, the six “Yes/No” questions have been changed into four

\(^3\)This back-translation is my own.
WH-questions beginning with the question word “whose” or “who”; hence, each line ends with a syllable that can be prolonged to match the note duration and keep the musical rhythm. In the first two questions, the character “烁” (shuo) end-rhymes with “破” (po) and “迫” (po), making the lines closely connected. In the last two questions, although the ending characters “情” (qing) and “中” (zhong) differs in vowel sound, the lines still sound natural when each line of Stanza 1 is sung individually by different cats and thus, each question has an independent existence. In addition, the vowel sound of the last character “中” sounds similar with [əә] in “alone”, the last word of the source text. In this way, the form of the source text has been partially retained in the target text. Despite the fact that some of the contents in the stanza has been deleted or altered, the substantial meaning remains, showing cats’ distinguishing abilities of night sight and agility as well as their special characters of composure, vigilance, and nobleness. Consequently, the requirements of fidelity, singability, and performing effectiveness have been generally balanced in the target text of Stanza 1.

For the next part, the translator has almost recreated the whole stanza. Given that the “Yes/No” questions in Stanza 1 have been removed, it is unnecessary to rigidly follow the original sentence structure of answering those questions. Therefore, the first and third lines of Stanza 2 have been replaced by two imperative sentences, inviting the target audience to watch the show carefully. Hence the two stanzas link up naturally and the distance between the actors and the audience is reduced. In the second and fourth lines, the two declarative sentences directly point out the identity and particularity of Jallicle cats, implying that the musical is about the story of a cat tribe called Jallicles. In these ways, the three dimensions of translation requirements are duly balanced. In the linguistic dimension, not only the major purpose of introducing Jallicles cats has been achieved, but the sentence structures of the entire stanza have also been greatly diversified. In the theatrical dimension, the performing effectiveness of the prologue has been improved to a large extent. In the musical dimension, the caesuras of the target text perfectly fit the rhythm of the music as those of the source text do, and every line of the stanza end-rhymes with the same vowel sounds uo or o as the first four lines of Stanza 1, making the two stanzas form a harmonious whole, and thus the entire excerpt, as a gestalt, can be sung fluently and naturally to the music.

It should be emphasized again that a translator of musical lyrics always needs to consider the three-dimensional requirements comprehensively and make adjustments flexibly and appropriately, no matter what he or she deals with is a single line, a short stanza, a complete musical number, or even the entire musical work. In the target text of a musical, some parts may highlight the requirement of fidelity, whereas some other parts may give priorities to singability or performing effectiveness. As long as the three dimensions are ultimately optimized to reach a state of balance on the macro level, the target text can be regarded as a successful reconstruction of the multimodal textual gestalt.

**Conclusion**

Adopting the concept of gestalt, this paper views the text of musical lyrics as a multimodal textual gestalt organically composed of such semiotic systems as words, musical notations and theatrical performances, and thus, to translate the lyrics of a musical means to reconstruct the gestalt holistically. It has argued that, with this task in mind, a musical translator should try to meet three-dimensional requirements,

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4 The vowels uo and o rhyme with each other in Chinese poems and lyrics, because they are similar in sound when pronounced.
5 For economy of space, the musical score of Stanza 2 has not been attached. The caesuras corresponding to the pauses of the music have been marked by slashes (“/”) in both the source text and the target text.
namely fidelity, singability and performing effectiveness, and follow “the Holistic-Balancing Principle”, that is, to ensure the overall balance of the three requirements on the macro level of the entire target text by constantly judging their comparative importance and making adaptations flexibly and properly.

Placed at the intersection of translation studies, literary studies, musicology, semiotics and cultural studies, etc., musical lyric translation is a challenge for any scholarly approach. What should have emerged from this paper is that musical lyric translation is a worthy subject of investigation that calls for interdisciplinary cooperation. In addition, it is also hoped that the paper will draw attention from more scholars and spark their interest in this newly emerging and most neglected area.

References
Discourse Analysis on Terrorism in Mainstream Media

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Abstract Terrorism has become a heated topic in both the academic field and daily life ever since the 9.11 terrorist attacks. In China, Xinjiang is on the frontier in fighting against terrorism, thus becoming a focus in the mainstream media. This study attempts to explore the features of terrorism discourse communication in the mainstream media—People’s Daily—since 1949, under the analytical framework of Chinese Discourse Studies. The subjects, content and channels of the terrorist discourse are examined respectively. The historical development and changes in terrorism discourse are discussed as well in this study. The author also intends to reveal the strategies applied in guiding the public opinion in the mainstream media on terrorism discourse from a cultural point of view.

Keywords terrorism; Chinese Discourse Studies; Xinjiang; People’s Daily

Introduction
Terrorism is a heated topic globally in both the academic field and daily life. A contagion of fear has swept through the Chinese population ever since the ‘7 • 5’ terrorist event that happened in the Xinjiang Uygur Autonomous Region in 2009. According to Military Affairs Eve, among the 12 terrorist attacks labeled in China since the second decade of the 21st century, 11 have been committed by terrorists from Xinjiang (http://www.jqgc.com/jmda/44901.shtml). In China, Xinjiang has become the frontier in fighting against terrorism. The Annual Report on China’s National Security Studies of 2014 (Liu, 2014) states that terrorism, top of the non-traditional security issues, severely threatens the national security. The studies on terrorism in Xinjiang have been carried out from the perspectives of national security (Zhen, 2009), counter-terrorist cooperation (Gong & Mulati, 2010) and features of terrorist activities (Zhang, 2003). There are also researches on terrorism from the angles of ethnicity (Hu & Yang, 2010), religion (Li, 2010), ideology (Wang & Hu, 2010) and disciplines like law, psychology and communication (Bai, 2009; Zhao, 2012; Wang, 2012). The studies on terrorist discourse communication are mainly critical discourse analysis on certain events (Han, 2010; Chen, 2011). Diachronic study on terrorist discourse in mainstream media is rare in China.

Methodology
This study attempts to explore how terrorist discourse develops through the mainstream media. People’s Daily has been chosen to represent mainstream media because it possesses the longest history of publication and has the largest circulation in China. An historical and cultural perspective has been applied to study terrorist discourse of Xinjiang in People’s Daily since 1949, under the analytical framework of Chinese Discourse Studies (CNDS). The subjects, content and channels of the terrorism discourse and their historical changes have been analyzed. The news texts were collected from the electronic database of People’s Daily, and categorized into 4 periods to probe the development and the changes of the discourse. The four periods are the early period of foundation of the PRC (Oct. 1949-April
1966), the Cultural Revolution period (May 1966-Nov. 1978), the Reform and Opening-Up period (Dec. 1978-June 2009), and the post-7·5 period (July 2009-Oct. 2014), respectively.

The Definition of Terrorism in Xinjiang
There is no identical definition of terrorism. However, there are some shared features, like organized violence against unarmed personnel for political purpose. In Xinjiang, there are three security threats from home and abroad, namely, terrorism, separatism and extremism. These threats are interrelated to one another. They are manifested in the form of religious extremism, with regional separation as the ultimate goal to destruct social security by violent terrorist activities. Such threats can be traced back to the days before liberation of China. The two trends of thoughts, Pan-Islamism and Pan-Turkism initiated abroad, were to blame in influencing and penetrating the ideology of some local ethnic people since the 1930s. Thus, terrorism in Xinjiang can be defined as the violent activities conducted by religious extremists under the influence of Pan-Islamism and Pan-Turkism, with separation as their political goal, to cast terror among the public. Based on these features, the discourse of terrorism in Xinjiang can be considered as the discourse of separatism and anti-separatism. In this study, the reports on terrorist events, counter-terrorist measures, public condemnations and regional stability maintenance have been collected for later analysis.

Data Analysis

General Condition of Terrorist Discourse in Mainstream Media
The general condition of terrorism in Xinjiang can be viewed from the number of the reports on the terrorist issue in Table 1. There have been 7479 reports about Xinjiang in People’s Daily from Oct. 1949 through Oct. 2014. The total number of the reports related to terrorist discourse is 254, occupying 3.4% of the total. Except for the culture revolution period, terrorist discourse exists in the rest of 3 historical periods, and there is a dramatic increase in terrorist reporting in the post 7·5 period. Of all the terrorist discourse, the post 7·5 period takes up to 88.1%, which indicates that the phenomenon of terrorism in Xinjiang has intensified and thus, has been of a focal agenda in mainstream media.

Table 1. The Distribution of Terrorist Discourse of Xinjiang in People’s Daily in 4 Historical Periods

<table>
<thead>
<tr>
<th>Periods</th>
<th>Early foundation</th>
<th>Cultural revolution</th>
<th>Reform and opening-up</th>
<th>Post 7·5</th>
<th>Total number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Number of reports about Xinjiang</td>
<td>1798</td>
<td>469</td>
<td>4184</td>
<td>1028</td>
<td>7479</td>
</tr>
<tr>
<td>Number of reports about terrorism</td>
<td>9</td>
<td>0</td>
<td>20</td>
<td>225</td>
<td>254</td>
</tr>
<tr>
<td>Percentage of terrorist discourse</td>
<td>0.5%</td>
<td>0%</td>
<td>0.48%</td>
<td>21.9%</td>
<td>3.4%</td>
</tr>
</tbody>
</table>

Changes of Terminology on Terrorism
The ways to address terrorist discourse have not remained the same along the 65 years of history of the People’s Republic of China. In the early period of its foundation, terrorist separatist acts were called bandit behaviors and counter-revolutionary riots. In the 1980s and 1990s, the violent terrorist activities were treated as ordinary criminal offenses and violent crimes. It was not until the 21st century that terms like serious crimes of violence, terrorist activities, and terrorist attacks came into being. From the changes of the terms in their linguistic forms, we can see that the cognition of the government towards the terrorist issue has changed over time. In the early period of foundation, the terms were full of a class conflict characteristic. Then in the reform and opening-up period, the methods of addressing this issue
stress the legal nature of the crimes. In the 21st century, the Chinese government adopted a global conception, and ‘terrorism’ became a household word in China. Along terrorist discourse communication, the conception has shifted from a political, to a legal, and then on to a national security matter.

**Diachronic Comparison on Subjects of the Terrorist Discourse**

What should be noticed is that it is not identical to the ethnic constitution of the separatists in Xinjiang after liberation. In the early 1950s, the separatists were mainly Kazakh herdsmen in the northern part of Xinjiang, and led by Osman, Yolbos and Junimhan. However, the counter-separatism war in Xinjiang has shifted to a fight against the Uygur separatists influenced by Pan-Islamism and Pan-Turkism in the southern part of Xinjiang since the late 1950s.

During the early days of China’s foundation, the terrorism discourse was about suppressing the bandits (who attacked the locals and tried to separate Xinjiang from newly built China). The subjects of the discourse were mainly provincial and local officials, the headquarters of the military area, the People’s army, public security organizations (that practiced the tasks of suppression), the masses (who condemned the crimes conducted by the bandit gangs but only at the public trail), and the foreign consular officials (who plotted and sponsored local riots to separate Xinjiang while they were working there). In this period, officials at different levels made up the majority of the subjects; the masses were there, but were rather quiet, comparatively speaking, in the media, and the bandits, and the foreign plotters were passively involved and talked about in the discourse.

During the reform and opening-up period, the subjects involved were the local and central government, functional departments, the systems of public security, the Procuratorate and the People’s courts in Xinjiang, and the information offices (spokesmen). In the 21st century, the subjects involved became diversified. The specialized organizations like the Counter-Terrorism Research Center (2000), the National Counter-Terrorism Co-ordination Group (2001), the Counter-Terrorism Bureau under the Ministry of Security (2002), and the National Counter-Terrorism Working Group (2013) were set up successively. They took part in the communication of counter-terrorist discourse of Xinjiang either directly or indirectly. So the subjects involved during this period in the mainstream media were mainly the functional body of the government at different levels. What the mass public learned from the media was that the government and the department of social security at all levels were playing their roles in the war of counter-terrorism.

In the post 7 • 5 period, the participants in terrorist discourse not only became even more diversified, but also increased drastically in quantity. The voices were from Xinjiang, in land provinces, and abroad. Central government, State Council, state departments and the National People’s Congress took immediate action in disposing and instructing the counter-terrorism tasks in Xinjiang. The local government, administrative departments, and the system of public security, Procuratorate and the people’s courts at different levels in Xinjiang actively participated in maintaining social stability. The information offices notified the public about the events and the post treatment in a timely manner. All walks of life in China expressed their anger, and condemned the violent behaviors of the terrorists both individually and unitedly in various occasions. There was a special group of speakers who were made up of 10,000 regional experts, local carders, university students and preaching teams. They preached to local residents about ethnic policies, policies on religion, ethnic unity, the spirit of Central Forums on Xinjiang work, and the remarkable changes that took place in Xinjiang to fight against the terrorism, separatism and extremism in the ideological domain. During this period, the condemnation voices were also from foreign
governments, international organizations, regional security experts and Chinese overseas, which made the regional terrorist discourse of Xinjiang an integral part of the international counter-terrorist discourse.

**Diachronic Comparison on Content of the Terrorist Discourse**

In the early period of foundation, the content of the terrorist discourse was about the practice of encirclement and suppression against counter-revolutionary bandits, the announcement of the victories of such practices, and the public trail of the bandit gangs. The concrete crimes committed by the bandits were not revealed to the public until the public trials when the victims accused the bandits of their numerous crimes. Once the encirclement and suppression was finished, the terrorist discourse ceased abruptly, and there was no further report on terrorism in Xinjiang from 1951 to 1982 in the mainstream media. In this period, the reporting on counter-terrorist achievement outnumbered the announcements on terrorist cases which were all plotted and sponsored by foreign powers. The public condemnation and anger directly pointed to the foreign schemers and bandit chiefs. The opinion of the mainstream media played a significant role in leading public opinion on the terrorist issue. Xinjiang, as a region and ordinary people, especially the Uygurs, were free from the prejudice in this matter at this stage.

During the reform and opening-up period, the achievements made in the counter-terrorist war were the major content of the discourse before 2008. Then three terrorist events and two other attempted terrorist cases in 2008 were announced. The intensity of the terrorist reporting in 2008 made the terrorist issue a serious matter among the public for the first time after 1951.

During the post 7 • 5 period, 13 terrorist attacks were announced in *People’s Daily*. Security arrangements, cross-border cooperation, public condemnation, and a productive outcome of stability maintenance of the region were major components of terrorist discourse. In-depth analysis on the historical reasons and international environment of the terrorist activities were also constituents of the discourse to advise the public on the current situation. Rumor, as a by-product of terrorist discourse, appeared and aroused unstable and negative emotions among the general public. In this period, counter-terrorist measures, stability maintaining actions and their corresponding effects played a significant part in terrorist discourse. The prominent agenda setting of the security issue in Xinjiang built a negative image of the region and the residents of the land among the general public.

**Diachronic Comparison on Communication Channels of the Terrorist Discourse**

Conference, media, public trail are the shared means of communication of the terrorist discourse during all the periods. Art troupe performances, and loudspeaker vans emerged as other means in the reform and opening-up period. The communication channels in these periods were simple.

In the post 7 • 5 period, statement, diplomatic channel, foreign media, internet, microblog, we-chat platform, open letters, initial written proposals, sermons, songs, photo exhibitions, white papers, blue papers, pamphlets, laws and regulations were diversified means in communicating counter-terrorist discourse. The public had multi-access to the terrorist discourse. In this period, these channels also made it possible for the masses to be personally involved in contributing to the discourse itself.

Foreign media played a role in the terrorist discourse in this period. The large proportion of the western mainstream media ignored the true nature of terrorist activities in China, but criticized Chinese ethnic policies in the name of human rights, which presented their double-standard on terrorism. Some foreign media reported fairly and truthfully on terrorist attacks that happened in China. What is comforting is that media has been playing an active role in building a platform for dialogues between
Chinese and western governments on defining the nature of terrorist attacks in China. For instance, changing attitudes (under the stress of facts) of the American government towards terrorist attacks in Kunmin can be seen in the mainstream media.

Illegal publications were also common means to conduct brainwashing among some of the local residents throughout the periods. In the 21st century, the terrorists were trained to take advantages of modern means of the media in order to publicize their terrorist ideology, like illegal tapes, video, digital materials, e-mails and internet. Laws and regulations were issued and measures were taken by local and central governments to restrict and prohibit these kinds of illegal propaganda.

**Reporting Strategies on Terrorism in Mainstream Media**

By studying the mainstream media texts diachronically, the author has found out that before the 21st century, reports on terrorist cases were rather brief in the mainstream media. It was not until the 21st century that the background, the development, the oversea connections and the strategies of the terrorism in Xinjiang were introduced and the overseas terrorist organizations connected were exposed at full length; the number of terrorist attacks plotted abroad and committed in Xinjiang from 1990 to 2001 were mentioned for the first time. From these numbers, we acknowledged that only a very small proportion of terrorist attacks were reported in the mainstream media. No specific description on the terrorist attacks was included in the reports, and no personal information about the criminals was mentioned in this period either. Such reporting strategy was designed to keep public panic to a minimum.

It was not until 2008 that specific information like locations of the terrorist attacks, names and birthplaces of the terrorists were exposed in the mainstream media. From the reporting texts since 2008, we can see that the Chinese media was making a great effort to bridge the gap to meet the requirement of the advanced western media, and started to attach importance to revealing facts, even though they were unpleasant, to fulfill its obligation of informing the public.

After 2009, there was a tendency of selecting Muslim victims, and a balance in choosing ethnic interviewees to condemn the vicious crimes. This was to indicate that the terrorism in Xinjiang should not be connected with ordinary Uyghur people and with ordinary religious activities, and thus, achieve Chinese traditional ideology – harmony – within the society.

**Conclusion**

Generally speaking, data indicates that the situation of terrorism in Xinjiang becomes intensified. The terrorist discourse scatters in People’s Daily in the early 1950s. It was not until the 1980s and 1990s that the terrorist discourse reappeared in the mainstream media. In the 21st century, terrorist activities in Xinjiang became rather dense, and regional terrorist discourse integrated as a part of international terrorist discourse. The subjects involved in terrorist discourse became diversified as time went on. Especially in the post 7 • 5 period, leaders of central authorities visited Xinjiang frequently to guide and monitor the regional security work. Specialized counter-terrorist organizations were set up to guarantee the social security. Two hundred thousand local officials and ten thousand local public forces/resources were involved in maintaining regional stability. The general mobilization of the region represents the responsibility and the determination of the government in this counter-terrorist war.

The content of terrorist discourse is enriched, and it develops from media announcements, public trail, and local security arrangements to deepen the exploration of the matter. The majority of the reporting has been positive and encouraging. Condemnations from both home and abroad, the
achievement made in this counter-terrorist war, the introduction of the vast and fast changes taking place in Xinjiang, the publicizing of favorable ethnic policies and harmonious ethnic relationships, and the practice of normal religious activities in the region have instilled hope and positive energy into the general public.

A variety of means of media were applied by both justice forces and terrorist organizations to formulate their respective ideologies and conceptions. The government spared no effort in making use of various means of communication to maintain social stability. The regional, national, and even international, channels of communication were involved in terrorist discourses.

In the 20th century, People’s Daily emphasized more on its function of social coordination in constructing terrorist discourse. In the 21st century, the mainstream media has paid attention to achieving and balancing its functions of public information and social coordination in communication.

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Learning Styles Among Non-Native Speakers: A Comparative Study of Chinese and Iranian EFL Learners’ Perceptual Learning Styles

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[Abstract] The purpose of the study is to investigate and compare EFL learners’ perceptual learning style from two distinct cultures. The total sample of the subjects included 331 EFL learners (46.5% were Chinese and 53.5% were Iranian) who filled out the Perceptual Learning Style Preference Questionnaires (PLSQ). Descriptive and inferential statistical analysis was run and the results showed that Iranian EFL learners prefer visual and auditory styles, while Chinese EFL learners prefer tactile and kinesthetic style preferences.

[Keywords] learning style; perceptual preferences; Iranian; Chinese

Introduction
Today, the teacher-centered approach has been replaced by a learner-centered approach, so the role and responsibility of the individuals tend to be more important and have changed from passive to active. This change leads to learners’ autonomy in its strongest form, i.e., the ability to conduct, monitor, evaluate, and check their learning and its processes. In learning a language, to become autonomous, learners experience special training such as language learning strategies training. Language learning strategies are closely linked to learning style (Brown, 2007). Another trend is to become aware of the learners’ learning styles. “Aptitude and attitude, concepts, assumptions and beliefs, which in turn affect learning style, which itself, as many researchers in the field maintain, affects choice of learning strategy” (Hurd, et al., 2001, p. 346). Individual differences such as language aptitude, motivation, creativity, self-esteem, anxiety, learner’s belief, and learning styles have an impact on second language acquisition (Dörnyei, 2005). Learning style is viewed from a different perspective by Dörnyei, who put learning styles in the classification of individual differences. “Among various IDs that exist, learning styles appear to be especially significant due to the way they mediate between personal characteristics and learning outcomes” (Tight, 2010, p. 799). In a more “student-centered approach, researchers have explored the relationship of learning style to second language acquisition” (Rossi-Le, 1989, p. 1). Different students learn in many different ways (Price, 1977, p. 3). Matching the learning conditions to learning style, preferences lead to success rather than a single type of instruction (Tight, 2010, p. 799). In addition, students who are taught by their own styles score higher on tests and factual knowledge, have better attitudes, and are more efficient (Price, 1977, p. 3).

All over, one of the preliminary stages for teachers to teach and learners to learn is understanding the language learners’ learning styles. For example, some learners are auditory and some are visual learners; therefore, the medium for instruction to these groups can be to use audio for the former group and to study charts for the latter group. Learning style has been defined as “cognitive, affective, and physiological traits that are relatively stable indicators of how learners perceive, interact with, and respond to the learning environment” (Keefe, 1979, p. 4). According to Dunn, et al. (1990), at least 21 components of learning style have been identified and most individuals have between 6 and 14 elements that make up their strong style preferences.
Dunn (1990) mentions that 3/5 of learning style is determined by genetics and the other 2/5 is determined by external factors (as cited in Rhoads and Gough, 2005). External factors such as nationality (Griffiths, 2008), culture (Nelson, 1995), teaching style, kind of tasks, and educational system or context (Semeijn & Velden, 1999), also affect the individual’s learning style. This means that learners have different learning styles not merely in the genes that they received from their parents, but because of the different experiences that each of them gained during their lives. This is what Kinsella (1995) called respectively “nature and nurture”. Guild (1994) commented that most researchers believe that learning styles are a function of both nature and nurture (p. 3). “Each child has a personal learning style that results from innate tendencies and environmental experiences” (Fierro, 1997, p. 1). Many educators emphasize the role of culture in learning style (Dunn, et al., 1990; Elaison, 1995; Hyland, 1993; Melton, 1990; Nelson, 1995; Oxford, et al., 1992).

For example, in contrast to the Iranian society that features competitiveness, especially among students in academic settings (Naserieh & Sarab, 2013), Chinese learners are from a cooperative (i.e., collectivist) culture in which the group is constant for a much longer period of time (Nelson, 1995). When considering all the different types of learning styles, one must also consider culture (Fierro, 1997, p. 7).

Rossi-Le (1995) accentuated the role of perceptual learning style in the learning process that is neglected especially in English learning in adults. Also, very little study has been done to identify Iranian learners’ learning styles (Bidabadi & Yamat, 2010).

Not only due to the paucity of research on learning style preferences of both Chinese and Iranian EFL learners at university level, but also because learning styles are context-depended (Naserieh & Sarab, 2013), the purpose of this article is to determine and compare Iranian and Chinese EFL learners’ perceptual learning styles from two distinct educational settings and contexts.

**Research Question**

Is there any significant difference between perceptual learning style of Chinese and Iranian EFL learners?

**Review of the Related Literature**

While research on learning style goes back to five decades ago, the origins can be traced back much further (Cassidy, 2004). Although its research has many ups and downs, it has a long and varied history (Sternberg and Grigorenko, 1997). The movement of learning style from psychology to language learning was done by Witkins, who brought the concepts of field dependent and field independent in 1962 (Wintergerst, et al., 2001). Before Witkins, Jung (1923) coined a theory of psychological types by which two attitudes (extraversion and introversion), two perceptual functions (intuition and sensing) and judgment functions (thinking and feeling) were introduced (Sternberg & Grigorenko, 1997). Brown (2007) defines learning styles as “consistent and rather enduring tendencies, or preferences within an individual” (p. 119).

Reid (1995) presents all the learning styles under the categories of cognitive style, sensory learning styles and affective/temperament styles. Sensory learning styles include perceptual learning style, environmental style, and sociological style. One of the subcategories of sensory preferences is perceptual learning style (Dörnyei, 2005; Reid, 1995). Perceptual learning style “concerns the perceptual modes, or learning channels through which students take information (Dörnyei, 2005, p. 139). The learning style that deals with an individual’s perception is called perceptual learning style. There are five types of perceptual learning style (Table 1).
1. Auditory learners: learn more effectively through the ear (hearing)
2. Visual learners: learn more effectively through the eyes (seeing)
3. Tactile learner: learns more effectively through touch (hands-on)
4. Kinesthetic learner: learns more effectively through concrete complete body experience (whole-body movement)
5. Haptic learner: learns more effectively through touch and whole-body involvement (Reid, 1995).

Table 1. Activities that Learners With Different Sensory Preferences Like
(Dörnyei, 2005; Felder & Henriques 1995; Kinsella, 1995; Kroonenberg, 1995; Reid, 1987; Oxford & Alderson, 1995; Pritchard, 2009; Tight, 2010)

<table>
<thead>
<tr>
<th>Perceptual Learning Styles</th>
<th>Activities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visual</td>
<td>Reading, studying charts, seeing images, looking at concrete objects, and perhaps even imagining mental pictures, diagrams, graphs, maps, posters and displays, timelines, films, demonstrations, colorful highlighting schemes, handout and various visual aids</td>
</tr>
<tr>
<td>Auditory</td>
<td>Audio tapes, Lectures, Conversations, Oral directions, Discussion, role-plays, and recitation</td>
</tr>
<tr>
<td>Hands-on (kinesthetic and tactile)</td>
<td>Working with tangible objects, media, and collages, physical activity, field trips, manipulating objects and other practical, first-hand experiences. Such learners generally find it helpful to do things like tap their pencil, walk around, underline, or even ride a stationary bike while studying, making posters</td>
</tr>
</tbody>
</table>

Rational for Comparing Chinese and Iranian Students’ Learning Styles
Joy and Kolb (2009) mentioned that the GLOBE study empirically arrived at ten cultural clusters – Anglo, Latin Europe, Nordic Europe, Germanic Europe, Eastern Europe, Latin America, Sub-Saharan Africa, Middle East, Southern Asia and Confucian Asia. According to Ho (1991) and Biggs (1996), as cited in Wang (2010), “Confucian Heritage Cultures (CHC) is the term used to refer to China, including Hong Kong and Taiwan, Japan, Korea and Singapore where Confucian values are prevalent to varying degrees (p. 57)”.

Historically, many studies in East Asia have been parts of the Chinese culture sphere. That is to say, China, Japan, South Korea, Taiwan, Hong Kong, and … are those countries that were influenced by Confucius heritage culture. Thus, in this research, one context is China and the other is Iran, the former is influenced by the Confucius and the latter by religion “Islam”.

Bagheri (2003) declared that there is no philosophy of education in Iran. He seeks the elements and framework for the philosophy of education in Islamic thoughts which are the core and basis of the Iranian culture. Although the philosophy of education rendered changes during the past, currently religion shapes it in Iran.

Generally, these two countries were chosen among these two educational philosophies because not only they are completely different, but also they each represent the culture of majority (i.e. e., each is a sample of the countries where a culture is shared or is similar).

Current Perspective
Rossi-Le (1995) accentuated the role of perceptual learning style in the learning process that is neglected, especially in English learning of adults. Moreover, few studies have been conducted to identify the Iranian learners’ learning style (Bidabadiand & Yamat, 2010). “When considering all the different types of
learning styles, one must also consider culture” (Fierro, 1997). Not only due to the paucity of research on learning style preferences of both Chinese and Iranians EFL learners at the university level, but also because learning style is context-dependent (Naserieh & Sarab, 2013), the aim of the study is to investigate and compare Iranian and Chinese EFL learners’ perceptual learning styles. This study aims at finding out the perceptual modalities of Chinese and Iranian EFL learners. It is a comparative study in the case of Chinese and Iranian EFL learners, i.e., to compare sets of data taken from both groups of Chinese and Iranian EFL learners.

**Method**

**Subjects**

Three-hundred and thirty-one Chinese (154) and Iranian (177) EFL learners, who study English as their second language, at Zhejiang University and Azad University of Tehran (Central Branch) took part in the study. Their native languages are Chinese and Persian. They study English as a major at the universities. Both the bachelors’ and masters’ degrees are chosen. The subjects were chosen from these majors: English translation, literature, teaching, linguistics, and applied linguistics.

**Instrument**

Perceptual Learning Style Preference Questionnaire – This scale was developed by Joy Reid in 1987. She designed the survey to study the learning styles of ESL learners. The questionnaire consists of 30 items designed to elicit the six perceptual learning style preferences. The questionnaire is five Likert-point scale questions by which learners respond from strongly disagree (1) to strongly agree (5).

**Procedure**

The participants were chosen randomly from two universities in China and Iran during two years’ study. Then they were given the questionnaires. The time for responding to the scale was 15 minutes.

**Results**

The mean scores for auditory and visual modalities of Iranian EFL learners fell into the major category, while the mean scores of the other perceptual learning styles fell into minor categories (see Table 2). This shows that Iranian EFL learners prefer activities that involve both reading and listening.

<table>
<thead>
<tr>
<th>Type</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditory</td>
<td>18.16</td>
<td>4.017</td>
<td>8.00</td>
<td>25.00</td>
<td>Major</td>
</tr>
<tr>
<td>Visual</td>
<td>18.22</td>
<td>3.657</td>
<td>9.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Kinesthetic</td>
<td>17.76</td>
<td>4.000</td>
<td>5.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Tactile</td>
<td>17.20</td>
<td>4.243</td>
<td>7.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Group</td>
<td>15.58</td>
<td>5.516</td>
<td>5.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Individual</td>
<td>17.68</td>
<td>4.449</td>
<td>5.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
</tbody>
</table>

Note: 12.5 or less = Negligible; 12.5 to 18 = Minor; 18 and above = Major.

The mean score for learning style preference of the tactile sense of Chinese EFL learners fell into the major category, while the mean scores of the other perceptual learning styles fell into minor categories (see Table 3). This shows that Chinese EFL learners prefer activities that involve working with tangible objects and manipulation.
Table 3. Descriptive Statistics of Learning Style Preferences of Chinese EFL Learners (N=154)

<table>
<thead>
<tr>
<th>Type</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>Minimum</th>
<th>Maximum</th>
<th>Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Auditory</td>
<td>17.35</td>
<td>3.019</td>
<td>10.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Visual</td>
<td>17.24</td>
<td>2.908</td>
<td>6.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Kinesthetic</td>
<td>17.95</td>
<td>3.228</td>
<td>10.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Tactile</td>
<td>18.09</td>
<td>3.602</td>
<td>9.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Group</td>
<td>15.73</td>
<td>3.915</td>
<td>6.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
<tr>
<td>Individual</td>
<td>17.25</td>
<td>3.925</td>
<td>7.00</td>
<td>25.00</td>
<td>Minor</td>
</tr>
</tbody>
</table>

Note: 12.5 or less= Negligible; 12.5 to 18= Minor; 18 and above =Major.

An independent-samples t-test was conducted to check whether there was a difference between the groups in terms of the scores related to the auditory learning style preferences. The result of the t-test revealed a significant difference in scores in favor of Iranian (M = 18.16, SD = 4.02) when compared with Chinese learners (M = 17.35, SD = 3.02), t (329) = 2.11, p = .036. This indicates that Iranian participants were more oriented toward auditory learning styles than their Chinese counterparts (Table 4). Moreover, an independent-samples t-test was run to check whether there is a difference between the groups in terms of the scores related to the visual learning style preference. The result of the t-test revealed a significant difference in scores in favor of Iranian (M = 18.22, SD = 3.65) when compared with Chinese learners (M = 17.24, SD = 2.90), t (329) = 2.71, p = .007. This indicates that Iranian participants were more oriented toward visual learning styles than their Chinese students. Another independent-samples t-test was run and the result showed significant difference in scores in favor of Chinese (M = 18.09, SD = 3.60) when compared to Iranian learners (M = 17.24, SD = 4.24), t (329) = -2.06, p = .040. This shows that Chinese students prefer more tactile style than their Iranian counterpart.

Table 4. Independent Sample t Test for Learning Style Preferences According to Different Nationalities, (N= 331)

<table>
<thead>
<tr>
<th></th>
<th>Iranian (N=177)</th>
<th>Chinese (N=154)</th>
<th>t</th>
<th>df</th>
<th>Sig. (2-tailed)</th>
<th>95% Confidence Interval of the Difference</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>M</td>
<td>SD</td>
<td>M</td>
<td>SD</td>
<td></td>
<td>Lower</td>
</tr>
<tr>
<td>Auditory</td>
<td>18.16</td>
<td>4.017</td>
<td>17.35</td>
<td>3.019</td>
<td>.036</td>
<td>.055</td>
</tr>
<tr>
<td>Visual</td>
<td>18.22</td>
<td>3.657</td>
<td>17.24</td>
<td>2.908</td>
<td>.007</td>
<td>.269</td>
</tr>
<tr>
<td>Kinesthetic</td>
<td>17.76</td>
<td>4.000</td>
<td>17.95</td>
<td>3.228</td>
<td>.630</td>
<td>-.973</td>
</tr>
<tr>
<td>Tactile</td>
<td>17.20</td>
<td>4.243</td>
<td>18.09</td>
<td>3.602</td>
<td>.040</td>
<td>-1.736</td>
</tr>
<tr>
<td>Group</td>
<td>15.58</td>
<td>5.516</td>
<td>15.73</td>
<td>3.915</td>
<td>.779</td>
<td>-1.171</td>
</tr>
<tr>
<td>Individual</td>
<td>17.68</td>
<td>4.449</td>
<td>17.25</td>
<td>3.925</td>
<td>.362</td>
<td>-.489</td>
</tr>
</tbody>
</table>

Discussion

Our finding shows that Iranian EFL learners preferred auditory and visual styles, while Chinese EFL learners preferred tactile style. That is to say, Iranian EFL learners favored more audio tapes, lectures, oral directions, discussion, reading, studying charts, seeing images, and role play, while Chinese EFL learners favored making models and making something for class as projects.

The finding of the current study is consistent with Li’s (2012) work. He used the Perceptual Learning Style Preferences Questionnaire for investigating only Chinese students’ learning styles. Learners were from various majors such as International Business, International Communication, management, finance, International studies, and Applied linguistics. The results showed that the learners favored tactile, kinesthetic, and visual learning styles.
The finding is in line with Reid’s (1987) work. She explored perceptual learning style preferences among 43 university-affiliated English programs in the United States. Chinese learners who studied in the United States favored style preferences that were respectively kinesthetic, tactile, auditory and visual learning. Melton (1990) explored Chinese students’ perceptual learning styles and the results showed that Chinese students preferred kinesthetic, tactile, and individual learning style preferences. Chu (2013) explored the effect of perceptual learning styles and learning strategies on college students’ spoken English proficiency. By the use of the Perceptual Learning Style Preference Questionnaire, the strategy inventory for language learning, and a standardized spoken English proficiency test, the results showed that 174 non-English sophomore students preferred mostly tactile and kinesthetic styles.

The results of these studies were dissimilar to the study by Naserieh and Anani Sarab (2013) who explored the perceptual style among Iranian graduate students by using the PLSQ. The questionnaire was translated to Persian. Participants in the study included 138 students from diverse faculties. The findings revealed that the participants favored kinesthetic, tactile modality and group learning style.

The findings of the studies were also dissimilar to the study by Seyfooni and Zarei (2011) who explored the relationship between the learning styles and multiple intelligence of 94 Iranian English majors. By giving the learners the adapted version of the Perceptual Learning Style Preferences Questionnaire (PLSPQ), the results showed that the most preferred learning style was kinesthetic, followed by the auditory and visual styles.

Rossi-Le (1995) studied 147 adult immigrants’ (Chinese, Laotian, Vietnamese, Spanish, Cambodian, Japanese, Polish, and Korean) perceptual learning styles. By the use of PLSPQ, she found major learning style preferences for tactile and kinesthetic modes and group learning. The finding of this study also showed that Chinese immigrant students demonstrated very strong learning style preferences for visual learning, possibly because of the pictorial nature of their written language.

Conclusion
The purpose of this study was to investigate and compare Iranian and Chinese EFL learners’ perceptual learning styles. All the participants that were studied were English majors (translation, literature, linguistics, second language acquisition, and applied linguistics) at the university level. Iranian EFL learners prefer visual and auditory styles, while Chinese EFL learners prefer tactile and kinesthetic style preferences. Since learning style awareness predicts success in language learning and promotes it (Halbach, 2000), it is important to become familiar with the students’ learning styles. The researchers suggest ideas for further research:

1. The study explored only Iranian and Chinese EFL students. Not only should more ethnic groups from different countries participate in the study, but also countries with ESL contexts should be chosen.
2. The area of learning styles is too vast and other learning styles based on Curry’s model can be investigated.
3. Another study can be conducted for understanding both the teachers’ and learners’ learning styles.

References


Discursive Use of *ma* in Chinese News Commentaries

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[Abstract] The discursive usage of *ma* (吗) as an important interrogative particle in Mandarin Chinese has been neglected. This paper conducts a quantitative investigation on the *ma*-sentences in a Chinese news commentary corpus, and finds strong correlations between their semantic/pragmatic meanings and their text/paragraph locations. As “*ma*” is nearly always followed by a question mark in written Chinese, its strong questioning connotation always elicits an expectation for answers/solutions. Thus, the Question-Answer (or Problem-Solution) structure is frequently employed as a key device for the intended argumentative purposes of the commentary writer.

[Keywords] Mandarin Chinese; interrogative particle; “*ma*”; discourse corpus; rhetorical structure theory

Introduction

*Ma* (吗) as an important Chinese interrogative particle has been discussed in the literature regarding its origin, phonological changes, syntactic functions, and semantic meanings. However, most discussions have focused on isolated sentences, many of which have been based on the linguist’s intuitive examples. The few empirical studies on the discursive use of *ma* have superficially investigated its frequency distributions in daily conversations, literary works, and popular science articles (Lan, 2013), without paying adequate attention to the role *ma*-sentences play in natural written monologue.

This paper, therefore, intends to make use of a discourse corpus to investigate the discursive use of *ma*-sentences in news commentaries. The following three research questions are asked:

a) How are *ma*-sentences distributed in Chinese news commentaries?

b) What is the typical usage of *ma*-sentences?

c) Is there any statistical correlation between the locus of *ma*-sentences and their discursive uses?

Through detailed semantic/pragmatic annotation and statistical analysis, we find that the *ma*-sentences often appear in titles, as well as the beginnings and endings of paragraphs in Chinese news commentaries. They usually ask interrogative questions in the titles and paragraph openings to prompt answers in the following text, but also may ask a series of rhetorical questions to bring up opposition or call up readers’ retrospections at paragraph endings. There are statistical correlations between discursive locations of both *ma*-sentences and their immediate upper constructions to their rhetorical usages.

The following three sections report the methodology, results, and discussion of this study. A short conclusion is offered at the end of the paper.
Literature Review

Previous Study on “ma”-Sentences
Previous studies on ma-sentences differentiated question types in Chinese with three major criteria: formal, i.e., whether the question has characteristic words or structures; semantic, i.e., whether the question has certain transformational correspondence with a declarative sentence, or whether the question is true or fake; and pragmatic, i.e., how certain the questioner is about the issue questioned. Such criteria help us understand the multiple characteristics of ma-questions, but they are not truly concerned about their discursive usage, i.e. the roles they play for the communicative purposes of the speaker/writer.

Discourse Relations and RST
Rhetorical Structure Theory (RST) (Mann & Thompson, 1988) views natural texts as roughly trees and captures textual structures in terms of how one span of text supports another for the writer’s communicative purposes in a set of Rhetorical Relations (RRs). Using schematic representations, RST is flexible with regard to the size of the text spans being related to one another: RRs can be applied between spans within a clause, between clauses, or between lengthy spans of text made up of multiple sentences and even paragraphs up to the whole text. Over the years, organized efforts have also been made to collect consistent RST analyses for statistical investigation. There are English, German, Spanish, Portuguese and Chinese discourse corpora annotated fairly homogenously with rhetorical relations (Carlson, et al., 2003; Stede, 2004; Taboada & Mann, 2006; Yue, 2008). These annotated discourse corpora have assisted the study of discourse markers and typical communicative schemas (Ford, 1994, 2000; Spenader & Lobanova, 2009; etc.) in theoretical linguistic studies, as well language engineering applications.

Methodology

Corpus Data
We used the 400 texts in the Caijingpinglun Corpus (Yue, 2008), which will hereafter be referred to as CJPL400. The CJPL400 corpus has over 750,000 word tokens, and has rich linguistic information useful in this study on ma: the texts are representative of Chinese news commentaries; they have been cleaned, tokenized and POS-tagged for further processing; and they have been annotated with rhetorical structure trees in 50 Chinese rhetorical relations of 10 clusters (namely, BACKGROUND, CAUSATION, CONDITION, CONJUNCTION, CONTRAST, DISJUNCTION, ELABORATION, JUSTIFICATION, MEANS, TOPIC-TRANSITION, and OTHERS). In the SOLUTIONHOOD cluster, in particular, there are Question-Answer and Problem-Solution relations.

Annotation
Systemic annotation is necessary so that linguistic analysis could be made explicit, openly examined and carefully replicated. A lot of work remained to be done before we could actually carry out a quantitative study on the discursive usage of ma. In this project, data were retrieved and further processed in the following steps:

- First, we retrieved all the sentences with a ma from CJPL400, and assigned a unique identity for each and every token of ma. Sentences were defined as stings between selected punctuation marks (the usual period, question mark, exclamation mark, and paragraph-endings, as well as colon and semicolon taken in CJPL as Elementary Discourse Unit delimiters), and will thereafter be used as equivalents to EDUs.
• Retrieved and transformed the positional information of all the ma-EDUs: paragraph id (title, first-p, mid-p, last-p), sentence/EDU id (sole, first-s, mid-s, last-s).
• Retrieved all the EDUs with a ma from CRST, together with their rhetorical relation tags (name, nuclarity and spans) from CJPL corpus, and transform the data to an excel file, under the variables RR, RRunuc, and RRspan.
• Retrieved all the Immediate Upper Discourse Units with ma (thereafter IUDUs of ma), together with their rhetorical relation tags (name, nuclarity, and span range) from the CRST corpus, and transformed the data to the excel file, under the variables RA, RAnuc, and RAspan. The values of the six retrieved variables in a discourse (sub) tree is illustrated in Figure 1 for Example 1:
• Grouped all the RRs and RAs into larger semantic clusters. Since most RRs and RAs belong to the ELABORATION group, they were further divided into two sub-groups: ELABORATION with Elaboration, Restatement, and Evaluation relations; and SOLUTIONHOOD with Question-Answer and Problem-Solution relations.
• Annotated all the ma-sentences for the following variables: sentence type (omitted, simple, complex); question type (not-a-Q, suspicion/doubt, interrogation, strong negation), answer type (no-answer, implied, delayed, immediate).
• For a few ma-s used within an EDU (i.e. between commas, or within parentheticals), added their corresponding RRs in the excel file.

Example 1

3<duan ID=2> 去年夏天，一位越南女记者曾在柏林向我抱怨说：“中国货太便宜啦，把越南的市场几乎都占了，到处都是'中国制造'！” 5笔者当时回敬她：“这又有什么不好吗？ 7世界在享受'中国制造'带来的便宜时，应想到中国如何辛苦才对啊！”</duan>

Translation: Last summer, a Vietnamese female journalist complained to me: “Chinese goods are so cheap that they have almost occupied the Vietnamese market. There is ‘Made in China’ everywhere!” I argued back then: “What’s wrong with that? The world should appreciate Chinese for their hard work when enjoying the inexpensiveness of ‘made in China’.”

Figure 1. Sample Rhetorical Sub-Tree from CRST (CJPL1995119.2)
**Statistical Tool**

SPSS 20.0 was employed for correlation tests. Since many of the linguistic variables are nominals, Lambda coefficient was used. And since it was not yet clear whether Variable A influences Variable B or vice versa, symmetric correlation was assumed between the variables.

**Results**

There were, altogether, 129 tokens of *ma* retrieved from CJPL400, scattered in 70 articles. Among them, 121 tokens appeared in questions marked with (/or shared with) a question mark. Two (20) appeared in quotations (or Chinese bookmarks), and 6 others at the end of titles/subtitles. Table 1 presents the frequency distribution of *ma* in the corpus.

**Table 1. Distribution of *ma* in CJPL400 Texts**

<table>
<thead>
<tr>
<th>Para/S</th>
<th>Only-S</th>
<th>1st-S</th>
<th>Mid-S</th>
<th>Last-S</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title/1st-p</td>
<td>10</td>
<td>2</td>
<td>3</td>
<td>18</td>
<td>7.75%</td>
</tr>
<tr>
<td>Mid-p</td>
<td>23</td>
<td>15</td>
<td>42</td>
<td>105</td>
<td>17.83%</td>
</tr>
<tr>
<td>Last-p</td>
<td>0</td>
<td>1</td>
<td>3</td>
<td>6</td>
<td>0.00%</td>
</tr>
<tr>
<td>Total</td>
<td>33</td>
<td>18</td>
<td>48</td>
<td>30</td>
<td>129</td>
</tr>
</tbody>
</table>

**Correlation Between “*ma*-EDU Location and RR**

The RR distribution in descending order of all the *ma*-EDUs is shown in Table 2: the top 2 RRs are SOLUTIONHOOD (41.1%) and CONJUNCTION (13.2%).

**Table 2. Rhetorical Relations “*ma*-EDUs Play in CJPL400 Texts**

<table>
<thead>
<tr>
<th>RR</th>
<th>Para/S</th>
<th>Title/1st-P</th>
<th>Mid-P</th>
<th>Last-P</th>
<th>Total</th>
<th>Only-S</th>
<th>1st-S</th>
<th>Mid-S</th>
<th>Last-S</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOLUTIONHOOD</td>
<td>9</td>
<td>44</td>
<td>0</td>
<td>53</td>
<td>30</td>
<td>8</td>
<td>11</td>
<td>4</td>
<td>53</td>
<td>7.0%</td>
</tr>
<tr>
<td>CONJUNCTION</td>
<td>1</td>
<td>12</td>
<td>4</td>
<td>17</td>
<td>0</td>
<td>1</td>
<td>8</td>
<td>8</td>
<td>17</td>
<td>.8%</td>
</tr>
<tr>
<td>ELABORATION</td>
<td>0</td>
<td>15</td>
<td>0</td>
<td>15</td>
<td>0</td>
<td>2</td>
<td>9</td>
<td>4</td>
<td>15</td>
<td>0.0%</td>
</tr>
<tr>
<td>JUSTIFICATION</td>
<td>3</td>
<td>11</td>
<td>1</td>
<td>15</td>
<td>2</td>
<td>2</td>
<td>7</td>
<td>4</td>
<td>15</td>
<td>2.3%</td>
</tr>
<tr>
<td>CONTRAST</td>
<td>2</td>
<td>11</td>
<td>0</td>
<td>13</td>
<td>0</td>
<td>3</td>
<td>5</td>
<td>5</td>
<td>13</td>
<td>1.6%</td>
</tr>
<tr>
<td>CAUSATION</td>
<td>1</td>
<td>6</td>
<td>0</td>
<td>7</td>
<td>0</td>
<td>0</td>
<td>3</td>
<td>4</td>
<td>7</td>
<td>.8%</td>
</tr>
<tr>
<td>BACKGROUND</td>
<td>2</td>
<td>4</td>
<td>0</td>
<td>6</td>
<td>0</td>
<td>1</td>
<td>4</td>
<td>1</td>
<td>6</td>
<td>1.6%</td>
</tr>
<tr>
<td>CONDITION</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>2</td>
<td>0.0%</td>
</tr>
<tr>
<td>TOPIC-TRANSITION</td>
<td>0</td>
<td>1</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>0.0%</td>
</tr>
<tr>
<td>Total</td>
<td>18</td>
<td>105</td>
<td>6</td>
<td>129</td>
<td>33</td>
<td>18</td>
<td>48</td>
<td>30</td>
<td>129</td>
<td>14.0%</td>
</tr>
</tbody>
</table>

A quick look by the naked eye finds that *ma*-EDUs in the first paragraphs are usually used in the SOLUTIONHOOD relation, but never used when they are used in the last paragraph of a commentary text. *Ma*-EDUs in the last paragraphs are never used in the ELABORATION or CONTRAST relations. In the mid-paragraphs, CONJUNCTION appears most often. The symmetric Lambda coefficient between
the text location of *ma*-EDU and its rhetorical function (RR) reported by SPSS is 0.040, sig=0.042, indicating a correlation between the two variables.

*Ma*-EDUs in single-sentence paragraphs are mostly used in SOLUTIONHOOD. In multi-sentence paragraphs, *ma*-EDUs are mostly used in SOLUTIONHOOD at the opening of a paragraph, and in CONJUNCTION at the closing of a paragraph. The symmetric Lambda coefficient between the paragraph location of *ma*-EDU and its rhetorical function (RR) reported by SPSS is 0.229, sig=0.001, indicating a correlation between the two variables.

**Correlation Between “ma”-IUDU Location and RA Function**

Table 3 reports the RA distribution of *ma*-EDUs (or the RR of *ma*-IUDU) in CJPL400. These IUDUs are mostly SOLUTIONHOOD (19.4%), ELABRATION (19.4%) and CONTRAST relations (14.0%). Seven percent (7%) of the *ma*-IUDUs serve as root of the discourse tree, or, in other words, they cover the whole text.

The symmetric Lambda coefficient between text location of *ma*-IUDU and the RA function reported by SPSS is 0.141, sig=0.002, indicating a correlation between the two variables. The symmetric Lambda coefficient between the paragraph location of *ma*-IUDU and the RA function reported by SPSS is 0.108, sig=0.018, indicating a correlation between the two variables.

**Table 3. RA (Rhetorical Relations of the Immediately Upper Discourse Unit) of ma-EDUs in CJPL400 Texts**

<table>
<thead>
<tr>
<th>RA</th>
<th>Title/1st</th>
<th>Mid-P</th>
<th>Last-P</th>
<th>Total</th>
<th>Only-S</th>
<th>1st-S</th>
<th>Mid-S</th>
<th>Last-S</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>SOLUTIONHOOD</td>
<td>8</td>
<td>16</td>
<td>1</td>
<td><strong>25</strong></td>
<td>4</td>
<td>4</td>
<td>11</td>
<td>6</td>
<td>25</td>
</tr>
<tr>
<td></td>
<td>6.2%</td>
<td>12.4%</td>
<td>.8%</td>
<td><strong>19.4%</strong></td>
<td>3.1%</td>
<td>3.1%</td>
<td>8.5%</td>
<td>4.7%</td>
<td>19.4%</td>
</tr>
<tr>
<td>ELABORATION</td>
<td>0</td>
<td>23</td>
<td>2</td>
<td>25</td>
<td>6</td>
<td>1</td>
<td>11</td>
<td>7</td>
<td>25</td>
</tr>
<tr>
<td></td>
<td>0.0%</td>
<td>17.8%</td>
<td>1.6%</td>
<td>19.4%</td>
<td>4.7%</td>
<td>.8%</td>
<td>8.5%</td>
<td><strong>5.4%</strong></td>
<td>19.4%</td>
</tr>
<tr>
<td>CONTRAST</td>
<td>1</td>
<td>15</td>
<td>2</td>
<td>18</td>
<td>2</td>
<td>1</td>
<td>8</td>
<td>7</td>
<td>18</td>
</tr>
<tr>
<td></td>
<td>.8%</td>
<td>11.6%</td>
<td>1.6%</td>
<td>14.0%</td>
<td>1.6%</td>
<td>.8%</td>
<td>6.2%</td>
<td><strong>5.4%</strong></td>
<td>14.0%</td>
</tr>
<tr>
<td>JUSTIFICATION</td>
<td>0</td>
<td>14</td>
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<td>15</td>
<td>2</td>
<td>2</td>
<td>7</td>
<td>4</td>
<td>15</td>
</tr>
<tr>
<td></td>
<td>0.0%</td>
<td>10.9%</td>
<td>.8%</td>
<td>11.6%</td>
<td>1.6%</td>
<td>1.6%</td>
<td>5.4%</td>
<td>3.1%</td>
<td>11.6%</td>
</tr>
<tr>
<td>CAUSATION</td>
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<td>13</td>
<td>0</td>
<td>13</td>
<td>3</td>
<td>2</td>
<td>4</td>
<td>4</td>
<td>13</td>
</tr>
<tr>
<td></td>
<td>0.0%</td>
<td>10.1%</td>
<td>0.0%</td>
<td>10.1%</td>
<td>2.3%</td>
<td>1.6%</td>
<td>3.1%</td>
<td>3.1%</td>
<td>10.1%</td>
</tr>
<tr>
<td>BACKGROUND</td>
<td>0</td>
<td>9</td>
<td>0</td>
<td>9</td>
<td>4</td>
<td>0</td>
<td>3</td>
<td>2</td>
<td>9</td>
</tr>
<tr>
<td></td>
<td>0.0%</td>
<td>7.0%</td>
<td>0.0%</td>
<td>7.0%</td>
<td>3.1%</td>
<td>0.0%</td>
<td>2.3%</td>
<td>1.6%</td>
<td>7.0%</td>
</tr>
<tr>
<td>ROOT</td>
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<td>0</td>
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<td>9</td>
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<tr>
<td></td>
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<td><strong>7.0%</strong></td>
<td>7.0%</td>
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<td>0.0%</td>
<td>0.0%</td>
<td><strong>7.0%</strong></td>
</tr>
<tr>
<td>CONJUNCTION</td>
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<td>8</td>
<td>0</td>
<td>8</td>
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<td>4</td>
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<td>8</td>
</tr>
<tr>
<td></td>
<td>0.0%</td>
<td>6.2%</td>
<td>0.0%</td>
<td>6.2%</td>
<td>0.0%</td>
<td>3.1%</td>
<td>3.1%</td>
<td>0.0%</td>
<td>6.2%</td>
</tr>
<tr>
<td>TOPIC-TRANSITION</td>
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<td>7</td>
<td>0</td>
<td>7</td>
<td>3</td>
<td>4</td>
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<td>7</td>
</tr>
<tr>
<td></td>
<td>0.0%</td>
<td><strong>5.4%</strong></td>
<td>0.0%</td>
<td><strong>5.4%</strong></td>
<td>2.3%</td>
<td>3.1%</td>
<td>0.0%</td>
<td>0.0%</td>
<td>5.4%</td>
</tr>
<tr>
<td>TOTAL</td>
<td>18</td>
<td>105</td>
<td>6</td>
<td>129</td>
<td><strong>33</strong></td>
<td>18</td>
<td>48</td>
<td>30</td>
<td>129</td>
</tr>
<tr>
<td></td>
<td>14.0%</td>
<td>81.4%</td>
<td>4.7%</td>
<td><strong>100.0%</strong></td>
<td><strong>25.6%</strong></td>
<td>14.0%</td>
<td>37.2%</td>
<td><strong>23.3%</strong></td>
<td><strong>100.0%</strong></td>
</tr>
</tbody>
</table>

**Discussion**

Corpus data report that the rhetorical functions of both *ma*-EDU and *ma*-IUDU (i.e. RR and RA) are statistically correlated with *ma’s* location in the commentary, and that a large portion of both RR and RA are in SOLUTIONHOOD relations (41.1% and 19.4% respectively). We speculate that such correlations exist mainly because *ma* has a strong questioning connotation, and that the question-answer scheme is a typical part of the argumentative structure (Liao, 1988). There are at least three supporting evidences:
First of all, 93.9% of ma tokens in CJPL400 are used with a question mark, taking up 13.7% of all 845 question marks. The remaining 6.1% of ma tokens are used in titles or parentheses where the question mark can be legitimately omitted. Since the question mark in written text indicates a questioning tone, the high percentages demonstrate that ma-sentences in CJPL400 are nearly always used in questions.

Second, of the 41.1% (53/129) of ma-EDUs in SOLUTIONHOOD relations, 7 are in the title or opening paragraphs with an elaborated answer covering the rest of the text as the author offers his viewpoint to the reader. Forty-four (44) are in the middle of the text, usually followed by an immediate answer, and sometimes further elaborated with justifying evidence. When there is no immediate answer, the strong correlation between ma and the question intonation calls on the reader’s attention to expect a delayed answer. If such an answer is not supplied in the following text, the pending status would cause much anxiety for the reader. Consequently, he would retrospect and ask himself whether he is expected by the author to give his own answer. This is exactly what the author wants the reader to do, as one major purpose of an argumentative essay is to motivate the reader to take actions accordingly.

Thirdly, when ma-sentences in the middle of texts do not involve SOLUTIONHOOD relations, they are often used as rhetorical negations for CONTRAST (11/76), indicating an opinion change in the text (cf. Ford, 2000). The ma-sentences found in CONTRAST relation serve as attention-getting devices, for counterarguments are always helpful in debate. Attention-getting may also be the reason why many ma-sentences at the end of paragraphs (8/30) are used in a CONJUNCTION series – so as to make the questions more impressive and the argument more prominent. If an unanswered question is left at the end of a commentary, it is used to express the author’s doubt or suspicion, as a euphemistic criticism or indirect suggestion to the administration. For instance, Example 2 raises a doubt on the banks for taking sufficient mend-ups. The lingering doubt may effectively evoke the reader’s actual negation.

**Example 2**

<duan ID=15>只是不知道，我们的银行珍惜储户的激励吗？清楚自己的社会角色吗？（尚德琪）</duan> (end of text)

Translation: <duan ID=15>Except that we don’t know the following: Will our banks value the depositors’ encouragement? Do they understand the social roles they are supposed to play? (By Shang Deqi) </duan> (end of text)

While news commentaries as argumentative essays are monologues in appearance, they are dialogic in nature – apart from excerpts of narrative dialogues or imaginative talks going on in the texts, there are also dialogues between author and reader. Through the use of ma-questions, the author gets the reader actively involved in a dialogue across time and space, as if being asked on the spot. The reader will actively await a solution to the problem, or work out one himself. Thus, the questioning connotation of ma and the argumentative purpose of the author have jointly determined its strong interactive role in the text.

**Conclusion**

This paper studied the discursive role ma-sentences play in natural texts, and has found that their locations in both text and paragraph have statistical collocations with their discursive roles. Such usage might be due to the strong interrogative connotation of ma, and/or to the frequently used SOLUTIONHOOD relations (‘Question-Answer’ and ‘Problem-Solution’) in Chinese argumentative essays. Hopefully this quantitative study will offer new insight to ma as an interrogative particle.
References


Lan, J. (2013). The research on the succession of interrogative sentences with ma. MA, Huazhong Normal University.


Cultural Discourse Study on the South China Sea Disputes: The U.S. Intervention on the South China Sea Disputes

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[Abstract] As a non-claimant major power outside the region, the United States’ increasing geopolitical interests in the region has a great impact on the security dynamics in the South China Sea. After declaring a “Return to Southeast Asia”, the U.S. policy change on the South China Sea issue has complicated the disputes. This study attempts to analyze the U.S. “freeze” proposal on the South China Sea and China’s response with a cultural-discursive approach. The case study aims at exploring cultural discourse practices on both sides, and its possible implications for better communication and managing differences on the South China Sea issues.

[Keywords] Cultural Discourse Studies; territorial disputes discourse; “freeze” on South China Sea; “dual-track” approach

Introduction
The South China Sea (SCS) dispute has become a potentially deadly flash point in Southeast Asia due to the rising tensions between the PRC and other countries claiming their “sovereignty” of this area since 2009. The year 2009 also marked when the United States (U.S.) began shifting its strategic focus back to Asia (Obama, 2009). In August 2012, the U.S. Department of State made a statement that “as a Pacific nation and resident power, the U.S. has a national interest in the maintenance of peace and stability, respect for international law, freedom of navigation, and unimpeded lawful commerce in the South China Sea”. A few Asian countries hope to take advantage of the U.S., especially its military power, to strike a so-called strategic balance with China. Since 2009, closer military links have emerged among Washington, Hanoi, and Manila to build a military coalition and strengthen their regional hub-and-spoke security alliances.

As a non-claimant major power, the U.S. has colluded with regional claimant states such as the Philippines and Vietnam to stir up tension and disputes in the SCS in recent years as part of its rebalancing strategy. Its increasing involvement in the SCS disputes complicates the situations and, at the same time, reduces the potential probability for a peaceful settlement. In August 2014, U.S. Secretary of State John Kerry called for a “freeze” on all so-called “provocative acts” in the South China Sea at the ASEAN foreign ministers meeting in Myanmar. While Chinese Foreign Minister Wang Yi said at the China-ASEAN (10+1) Foreign Minister’s Meeting that China will resolutely safeguard its sovereignty and maritime rights in the South China Sea, dismissing any ill-intentioned proposals that would interfere with the efforts to resolve the disputes and further complicate regional situation. In the meantime, Wang underlined a “dual-track” approach in resolving the South China Sea issues, which indicates that relevant disputes should be addressed by countries directly concerned through friendly consultation and negotiation. China does not approve of exaggerating or even playing up the so-called tensions in the South China Sea, and calls for vigilance against any hidden motives.

The rhetoric confrontation is heightened in line with the rising tensions in the South China Sea. Within this context, there are increasing amounts of researches on the South China Sea issues from geopolitical, international relations, and legal perspectives; however, the SCS issues have not drawn much
attention in discourse study, which can also be seen as cultural discourse event where use of language plays a central role, inseparable from broader historical, cultural and especially power-saturated relations. International territorial disputes discourse may be analyzed into non binary, but multifarious, complex and dialectic components, before they are examined historically and interculturally. This study attempts to analyze how China responded to the U.S. “freeze” proposal on the South China Sea issues with a cultural-discursive approach. The empirical case study aims at exploring cultural discourse practices from both sides, and its possible implications for better communication and managing differences on the South China Sea issues.

**Cultural Roots of Difference between Chinese and Western Discourse**

Chinese traditional culture has a profound influence not only on China’s foreign policy, but also on Chinese discourse. Chinese classic wisdom, such as “speech rituals,” “speech humanity,” “speech loyalty,” “speech truthfulness” of Confucianism and “universal love,” and “no attacking” of Monism are absorbed into and represented in contemporary Chinese discourse (Chen, 2015).

The Chinese cultural tradition since the pre-Qin Dynasty upholds societal morality, and more specifically, “He” (harmony out of diversity), as the highest principle for Chinese people to pursue long-lasting peace and stability in international relations, is also the core value in Chinese discourse. The most important moral principle and goal of contemporary Chinese discourse is to seek, create and keep social and societal harmony. What is more, philosophies such as “Ren” (benevolence), “Zhongyong” (moderation through choosing the middle point and/or keeping balance), and a holistic and inclusive worldview “Tianxia”, that is, “all-under heaven” (ontologically, Chinese culture sees all things in the universe, from nature to man as an interconnected and unified whole) are deeply rooted in Chinese people’s minds, which are also reflected in contemporary Chinese discourse. In summary, anchored in the wider Confucian, collectivist culture, the ulterior goal and overarching principle of discourse and communication is to achieve a harmonious state of the social world (Chen, 2001), instead of the attainment of the individual, self-centered ego. Chinese discourse is up against any cultural centrism and hegemony, using cultural harmony and prosperity as the basic criteria to evaluate contemporary Chinese discourse.

Differing from Chinese holistic and relational thinking, the Western pattern of thinking since Plato, Aristotle, Hegel and Descartes to present day has mainly been binary and polarizing, dividing everything into two separable, different and opposing parts and often giving privileges to one over the other (Shi-xu, 2014, p. 71). In the Western culture, the individual self is taken to be the most important value; so to communicate is primarily to achieve one’s own goals and to persuade the audience (Shi-xu, 2014). When dealing with interpersonal relations, the Western culture emphasizes argument between differing opinions as the norm (Feng, 2013). Thus, a confrontational discourse is a salient feature in Western discourse practices.

**Cultural Discourse Studies Paradigm**

Mainstream discourse analysis, in many respects, is Westcentric. As such, it is not only unhelpful for multicultural scholarship and intellectual prosperity, but it is also not applicable to a culturally sensitive discourse event. For example, if applying a Western individual-reason-based functionalist approach to a Chinese discursive event, one may miss the essential Chinese characteristics of communicating for others and for harmony. Moreover, Western discourse analysis methodology, influenced by the traditions of
Western structuralism linguistics and communication theory, focuses on observable forms of discourses in meaning construction; nevertheless, the meaning of contemporary Chinese discourse continues to go beyond observable forms to construct meaning. In order to understand and explore the implicit, indirect and holistic forms of Chinese discourse, the researcher must extend the analytic focus from the forms of the text/talk to the entire discursive event, to explore the relations between all relevant constituents, and the whole discourse event.

Under this backdrop, a new paradigm in discourse research is emerging: Cultural Discourse Studies (CDS). This new paradigm endeavors to illuminate and critique cultural hegemony, deconstruct and neutralize Westcentrism in current discourse scholarship, (re)construct culturally conscious and critical frameworks to analyze multi-cultural discourses. The ultimate goal of CDS is to facilitate intercultural inclusiveness and mutual understanding, as well as contribute to human cultural coexistence, peace and prosperity.

In CDS, culture is conceived holistically as a system of world view, concepts, symbols, representations, values, rules and patterns of action, and social relations, etc., which are consistently changing. Discourse is defined as an historically and interculturally embedded discourse event, or activity, in which participants interact with particular purposes and consequences through particular mediums. Methodologically, CDS analyzes a series of interrelated categories, which include: Subject; Content/form/relation; Medium; Purpose/effect; and Culture and History, to describe, interpret and evaluate discursive events. These categories should be examined and evaluated holistically and dialectically, drawing on local, native cultural and scholarly knowledge and taking global perspectives at the same time, while using cultural harmony and prosperity as basic criteria (Shi-xu, 2010; 2014).

Data Collection and Research Method
In order to comprehensively study the Chinese and U.S. discourse, data were taken from as diverse mediums as possible between July 2014 and September 2014 surrounding the “freezing” proposal and the “dual-track” approach on the SCS disputes from both the Chinese and the U.S. sides. Data included background data (for understanding the whole situation of the discourse event and for knowing how much data will be needed, etc.), first-hand data (data directly related to the discourse event under study), secondary and complementary data (i.e. indirect data for support, reference, comparison, etc.) ranging from governmental press conferences, media coverage, and academic studies to non-governmental organization reports, etc.

Analysis and Appraisal of the SCS Disputes as Cultural Discourse
In this section, the author presents the empirical findings in terms of the discursive categories, dimensions and standards from the U.S. and China’s perspectives, as well as characterizing and critiquing the American and Chinese discourse categories of subject, content and medium from a historical and intercultural conscious viewpoint.

Discourse Subject Analysis and Evaluation
Analyzing the discourse subject includes evaluating speaking/hearing actors, real or potential, for studying who is (not) speaking/listening, in what social position, in what capacity (e.g. as official or unofficial) and interactions among discourse subjects, etc. Chinese discourse subjects on the South China Sea issues during this time period included: Chinese foreign minister Wang Yi, Chinese foreign ministry spokesperson Hua Chunying, other related authorities (e.g. Chinese ambassador to U.S. Cui Tiankai,
Deputy Director-General of the MFA Department of Boundary and Ocean Affairs Yi Xianliang, etc.), academic scholars of maritime law, foreign affairs, international relations (e.g. Professor Shen Dingli, Distinguished Research of China Institute of International Studies Jia Xiudong etc.), supporting voices from overseas (Singapore Foreign Minister Shunmugam Jayakumar) and media journalists and commentators.

The U.S. discourse subjects include: President of the United States Barack Obama, Secretary of State John Kerry, Department of State spokesman, officials from the Department of State for the Bureau of East Asian and Pacific Affairs (e.g. Daniel R. Russel, U.S. Assistant Secretary of State for the Bureau of East Asian and Pacific Affairs), other related American and oversea senators, officials and researchers, scholars of international relations, maritime affairs, and security analysts supporting the United States SCS proposal and its Asian alliance Philippines, etc. Comparing discourse subjects from both sides, we found that:

1. Compared with the United States, Chinese overseas supporting discourse subjects have not been emphasized, undermining the effects of Chinese communicative action. While the U.S. fully utilized external voices to reinforce its claims, the U.S. voices were also represented in foreign media, which provided an alternative access to the relevant U.S. discourse; such culturally external medium forms served as additional channels of communication of/for the U.S.

2. There are diversified discourse subjects from both sides; governmental and non-governmental subjects coordinated to express their national stances and claims on the SCS issues, employing a diversity of medium and platform. Compared with the U.S., Chinese multiple discourse subjects have not fully utilized their different statuses and characters to interpret the discourse event from different perspectives. Furthermore, interactions between discourse subjects is mainly in the form of scholars who specialized on the SCS issues together with journalists and commentators interpreting the government’s proposal, while maintaining an almost unanimous expression. Closer interaction between discourse subjects from the governmental, academic and media levels were expected to facilitate international communication of Chinese discourse.

**Discourse Content Analysis and Evaluation**

Discourse content analysis focuses on verbal, as well as non-verbal, actions and their constituted social relations, for studying what is (not) said, what is (not) done, how it is said and done, how it is responded to, and what kind of social relationship emerges as a result, etc. There are mainly 5 types of Chinese discourse content: Asserting its irredentist claims in the SCS; refuting the U.S. proposal’s unconstructiveness; promoting a “dual-track” approach; close and sound relations between ASEAN and China; and using Chinese traditional wisdom to tackle the SCS tension, etc. On the other hand, the U.S. discourse contents mainly contain: Warning against Chinese assertive SCS behavior; questioning China’s historic rights in the SCS; defending U.S. proposal and stance in the SCS disputes; and moral appeal, etc.

The U.S. discourses construct America as an “arbiter”, who does not recognize Chinese historic perspective and criticize Chinese behavior in the SCS assertive and aggressive, representing typical Western dualistic thinking and individual reasoning. While Chinese discourse contents present its irredentist claims in the SCS from both historical (highlighting recognizing historical rights as presupposition) and legal perspectives. Discourse of promoting “dual-track” approach symbolizes contemporary Chinese discourse’s anti-hegemonic feature and underlines the Chinese tradition of
maintaining harmony and achieving equilibrium in international relations. Emphasis on China and ASEAN’s coexistence and harmony, shared interests, as well as a common destiny embodies Chinese holistic worldview and dialectic thinking (Shi-xu, 2014). Further, China increasingly has resisted the American government’s hegemonic practice of using the SCS issues and so-called “China’s threat” to contain China, on the one side, and, on the other, actively tries to contribute to peaceful settlement of the SCS issue, for example by promoting a “dual-track” approach as a viable way in resolving the SCS disputes reflect the equilibrium principle of contemporary Chinese discourse, which values creating and maintaining a harmonious social and societal relationship as the most important principle of social communication (Shi-xu, 2010). However, China should also learn from the U.S. diversified expression and discourse strategies; for example, be specific in counter-measurement when necessary, and be more balanced in terms of discourse content so as to be more adaptable to the international communication.

**Discourse Medium Analysis and Evaluation**

Studying what discourse mediums (languages, conventional and new media, channels of communication (legal, and governmental, etc.), time, and place, etc. are (not) used, how they are coordinated, and their effects and consequences of communicative action is important, because flexible application of different communicative mediums has significant effects on the outcomes of communicative action. A first observation is that, both China and the U.S. have utilized a range of forms of communication channels to respond and refute the other side’s accusations and questions, ranging from the ASEAN foreign minister’s meeting, press conference, and internal and external media coverage to express China’s respective claims. The unique U.S. medium includes *The Caucus Brief*, which is a daily publication of The Congressional China Caucus, an official caucus of the United States House of Representatives, which investigates China’s global reach and the consequences of its growing international, economic, and political influence on U.S. interests. During August 2014, *The Caucus Brief* frequently reprinted articles on Chinese SCS actions from *The National Interest, and The Diplomat*, etc. In comparison, Chinese authority has not established a counterpart blog or similar medium platform. What is more, China did not hold a special background briefing on Chinese official participation in ministerial meetings with the ASEANs and others as the U.S. State Department did.

A second observation is in regard to language use: China has, on the whole, mainly communicated in the Chinese language, rather than bilingually, whether in conventional media or new media – English is used only marginally, chiefly in the form of news articles. So the language barrier restricted China’s channel of communication and understanding with the U.S. and the world. As the Chinese main international media platforms, *China Daily, Global Times*, Xinhua News Agency and CCTV-9 do not have sufficient coverage on the issue. What is more, compared with American different kinds of think-tanks and foundations specialized on national defense and foreign affairs (e.g. Center for Strategic and Budgetary Assessments, and the Center for Strategic and International Studies, etc.), Chinese think-tanks have only begun in their development, so therefore it is hard for Chinese-related think-tanks to make their voice heard on the international platform.

**Discussion**

Cultural discourse studies take a holistic view of discourse, as opposed to the Western binary ontology of discourse as divisible from context, society, mind, and culture, etc. (Shi-xu, 2014). Under a culture-based paradigm of discourse studies, we should study the changes, processes, and (moral) directions of change of discourses from historical and intercultural viewpoint. Deeply influenced by the Confucian culture
tradition, China is committed to resolving the territorial disputes through peaceful means, constructing win-win relations with the claimant states. Since 1949, China has compromised more frequently than it has used force in its territorial disputes, offering concessions in seventeen territorial disputes (Fravel, 2007). China is not seeking hegemony in the Asian region, but rather advocating that all parties consolidate the foundation for development, adhere to the principle of equality, strengthen mutual trust and intensify cooperation under the guidance of a new and unified security concept, in an effort to create a regional security environment characterized by peace, development, cooperation and win-win results (Liu, 2014). Equal dialogue between the U.S. and China is established on mutual understanding of each other’s thinking patterns and value systems. China consistently insists on indisputable sovereignty on territorial disputes for example, and reflects the principle of rectification as a Chinese discourse strategy, which means that in order to concord with what was meant, language has to be correct; otherwise, if what is said does not concord with what was meant, what is to be done cannot be effected. Therefore, under this rectification principle, China tends to iterate their claims clearly at the beginning, but is still willing to negotiate how to resolve disputes based on mutual understanding afterwards. Adopting the cultural discourse analysis methodology, we try to break up the current cultural monologue and hegemony in discourse and communication studies, fostering dialogue and coming up with discourse strategies to communicate more effectively in the future. After comparing different discourse categories, we found that:

The U.S. utilizes “China’s threat” as the main argument which has worsened and complicated the SCS disputes. The U.S. exaggerated the maritime tensions in the region and could complicate the ongoing efforts by relevant parties to calm down the waves in the South China Sea. By stoking the flames, Washington is further emboldening countries like the Philippines and Vietnam to take a hardline stance against China, raising suspicion over the real intention of the United States and make an amicable solution more difficult to reach.

China and the ASEAN countries are very well capable of effectively managing and properly handling specific disputes and maintaining overall peace, stability and cooperation within the region, and the two sides have already found a path for resolving the South China Sea issue. It is a painful fact that the U.S. has left too many places in chaos after it has stepped in, as what people are witnessing now in Iraq, Syria and Libya. The South China Sea should not be the next area left in chaos.

Chinese discourse practices are conducive to regional unity and harmony; nevertheless, China can also learn from the U.S. discourse strategies, enhancing their agenda setting ability and employing more international platforms and new media to communicate their claims and stances on the SCS issues, while increasing openness and transparency by clarifying and being more specific about China’s intentions and actions on the SCS issues in the meantime.

**Conclusion**

In summary, adopting an historically grounded and culturally conscious approach to the discourse of SCS disputes, this study analyzes the U.S. “freeze” proposal on the South China Sea disputes and China’s response with a cultural-discursive approach. Qualitative analysis and assessment show that China has made significant efforts to promote its international discourse right, and tried to interact with the U.S. in a more active way. China has reiterated unshakable sovereignty in the SCS while underlining a “dual-track” approach in resolving the South China Sea issues using a range of discourse strategies. However, compared with the U.S. discourse, Chinese discourse is still mainly internally oriented, so therefore, in
order to make China’s SCS claims understood by the international community, more efforts should be made in improving international communication capability.

Different discourses propel intercultural dialogue. The Chinese dialectic view of discourse and holistic worldview are not contradictory to, but, complementary with Western binary ontology of discourse. With better intercultural communication and understanding, the South China Sea disputes are manageable, and both the United States and China can play constructive roles in the Asia-Pacific region jointly.

Acknowledgements
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References
Development of Chinese Students’ Critical Thinking through the Learning Community in a College English Classroom

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Abstract Critical thinking is fundamental to higher education and is presented to students as an integral part of their learning at university (Moore, 2011). Considering its present development plight, China’s College English should be reformed centering on the nurturing of students’ critical thinking. Based on Wenger’s “Community of Practice” theory (1998), this paper designs a classroom learning community within Andriessen’s (2004) design cycle. The model will generate a series of teaching interventions to stimulate the formation of a learning-promoting social infrastructure, thereby promoting the development of students’ critical thinking in the College English classroom.

Keywords classroom learning community; community of practice; critical thinking; College English

Introduction
Critical thinking is fundamental to higher education and is presented to students as an integral part of their learning at university (Moore, 2011). College English, the English course for non-English majors, is an integral part of China’s higher education. According to its curriculum requirements, College English is not only a language course that provides basic knowledge about English, but also a capacity enhancement course that helps students broaden their horizons and learn about different cultures in the world (Ministry of Education, 2007). Yet, recently the required credits for this course have been getting lower all over China (Cai, 2011). The phenomenon that students are apt to be narrow in vision and thought in College English due to “the absence of critical thinking” (Huang, 1998) has now promoted the exploration of critical thinking development in College English.

The development of critical thinking is a social process (Brookfield, 2012). Today, the concept of a learning community has been a prominent feature in many educational contexts, and the practice of learning community has become an international movement (Retallick, Cocklin & Coome, 1999). Developing a learning community to promote students’ critical thinking in the College English classroom is a new research field of theoretical and realistic significance. It is especially necessary with regard to the present development plight in China’s College English.

Core Concepts

Critical Thinking (CT) and Its Cultivation
Researchers define CT from different angles. In this paper, CT is defined from the combination of the following two concepts: one is from the Delphi Report. According to this report, CT can be divided into two inseparable dimensions, namely cognitive skills and affective dispositions. Cognitive skills are “purposeful, self-regulatory judgment which results in interpretation, analysis, evaluation, and inference, as well as explanation of the evidential, conceptual, methodological, criteriological, or contextual considerations upon which that judgment is based” (Facione, 1990, p. 11). With affective dispositions, people are aware when to use some skills, and willing to try to use them. Dispositions include being realistic,
enlightened, analytical, systematic, exploratory, self-confident, mature and creative, etc. The other takes in the sociocultural perspective defined by Dam & Volman (2004). They think the definition of CT cannot only be confined to CT itself, but also contains the acquisition of key abilities to critically participate in community and social practice. These abilities include knowledge, skills, and willingness to use these knowledge and skills. The goal of CT cultivation is to guide students to identify, analyze, and understand the inner logic of what they are learning, and strengthen their overall understanding of the content as a whole (Paul & Elder, 1999). That is to say, the cultivation of CT in higher education means to cultivate college students to be willing, and able to use cognitive skills such as interpretation, analysis, evaluation, inference, interpretation and self-adjustment, to have a purposeful judgment on the internal logic of a certain intellectual content field.

**Community of Practice**
This study adopts Wenger’s (1998) definition of “Community of Practice (CoP)”, consisting of three dimensions, namely mutual engagement, a joint enterprise and a shared repertoire. These three dimensions are interconnected and dynamic. “Mutual engagement” means members of the community keep a tight relationship of participating in an activity together. “Joint enterprise” refers to community members’ understanding of the ongoing things in the community. They need to agree on the goal of the community and involve in with willingness so that negotiation can take place. “Shared repertoire” refers to the resources created by community members’ negotiation in pursuing the joint enterprise.

**CT Cultivation and College English**
Does any intellectual content exist in College English? The answer to this question will define the relationship between College English and CT cultivation. The answer is “Yes”. On the basis of the fundamental question in foreign language education, “How do individuals and groups use words and other sign systems in context to intend, negotiate, and create meanings?” (Swaffar, 1999, p. 157), language use itself is the intellectual content. The main task of the CT cultivation in College English teaching should be to foster students’ willingness and ability to recognize, analyze and comprehend the connection between linguistic forms and perspectives, and thus strengthen their overall understanding of the three main parts of College English – “knowledge and practical skills of the English language, learning strategies and intercultural communication” (Ministry of Education, 2007).

**To Cultivate CT in College English through a Classroom Learning Community**
A classroom learning community is the right carrier for CT cultivation in the College English classroom. The theoretical basis of CT cultivation will be explained first, and then an effective classroom learning community will be designed and introduced.

**The Cultivation of CT Based on the Community of Practice**
According to L. S. Vygotsky, human activities happen in sociocultural environment with language and other symbol systems as mediation. From a sociocultural perspective, these activities are best to be viewed under a cultural and historical environment. This theory lays a foundation for the social construction of CT (Schunk, 2004). Many scholars following Vygotsky agree that thought is a kind of sociocultural activity, which results in the development of various educational communities for the organization of social cognitive activities. Among them, the community of practice is considered as the dominant analyzing tool to understand cognition. “Learning as social participation” (Wenger, 1998, p. 4); here, participation refers
to being active participants in the practices of social communities and constructing identities in relation to these communities.

CT has skill as well as disposition dimensions, and its cultivation must be associated with a certain knowledge domain. The development of CT is linked to the key experience in the classroom. The classroom is the main place for foreign language teaching, a community of practice, and a classroom learning community. Only by combining the development of students’ CT with the building of a classroom learning community, can students develop a common goal to promote individual, as well as collective knowledge and abilities, develop their intelligence, thus shaping their common identities and sense of belonging.

The Design and Its Content

This study adopts Andriessen (2004)’s Model of Design Circle (Figure 1) as a guide to design a College English classroom learning community as an environment for cultivating CT. This study argues that the community should consist of different teaching interventions, which are directly related with the three principles developed by Wenger’s Community of Practice. The following is an explanation for the model and its practical application in this study.

![Andriessen’s Model of Design Circle](image)

**Domain.** Two aspects have to be considered in terms of the “domain” of the design cycle: the type of the problem that the intervention must solve, and the context in which it takes place. The type of problem is: College English must strengthen the cultivation of student’s CT to get College English out of the current plight. The context is College English in Chinese higher education.

**Requirements.** There are four types of requirements for effective interventions in this design cycle, namely functional requirements, limitations, operational requirements, and limiting conditions.

(a) **Functional requirements.** Functional requirements are the desired end results and related to the defined problem. The requirement in this study is that the system must be able to generate an effective classroom learning community to promote the development of the students’ CT. Wenger (1998) stresses that learning cannot be designed. What can be designed is the social infrastructure to promote learning. He puts forward three modes of belonging, namely engagement, imagination and alignment. “Engagement”
means members are actively involved in mutual processes of meaning negotiation; “imagination” means members create images of the world and see the connections through time and space by extrapolating from their own experiences; “alignment” means members coordinate their energy and activities in order to fit within broader structures and contribute to broader enterprises. Engagement, imagination and alignment are the components of the infrastructure of learning. To design learning is to provide support for engagement, imagination and alignment.

(b) Limitations. According to Wenger’s (1998) arguments on CoP, CoP is obviously regarded as a learning environment constructed by society. This means that understanding how an effective learning environment is constructed will be beneficial for the design of CoP. Due to limited research time, the functional requirements are based on Wenger’s three basic infrastructure models only.

(c) Operational requirements. Operational requirements are based on the “convenience” of users. Students need to understand which mechanism in the intervention will lead to the desired results and the teaching management department must understand how CoP can contribute to current College English curriculum reform.

(d) Limiting conditions. Limiting conditions are conditions that must be met. For students, they are very concerned if this course can really play a role in their intercultural communication and benefit their further study. For the current College English education system, time for intervention is limited, and the existing assessment requirements must be taken into account.

The Design of The System. Two aspects must be considered here. One is target design, which refers to the various teaching interventions as part of CoP. The other is process design, which is about how the design can be put into implementation.

(a) Target design. According to the basic factors included in Wenger’s three modes of belonging, by judging if each teaching intervention is feasible in theory and achievable in practice, we propose seven teaching interventions for an effective CoP.

i. The teacher interprets to students and teaching management department the arrangement of the teaching intervention, develops potential CoP members and convinces them of the added value that CoP can produce.

ii. Start CoP. First, the teacher explains why intervention is needed and suggests possible domains to start, then organizes class discussions and guides students to realize the importance of CT cultivation and decides the learning schedule.

iii. The teacher shares with the students stories of language learning to create a shared understanding and reflection space. This may help new members to better integrate into the group, prompt them to reflect on their own practice, and help build “alliance” and “imagination”.

iv. Strengthen the vitality of collaborative learning group. Team members discuss to arrange deadlines and places, etc. for each critical thinking task. Use of evaluation rubrics, including clear suggestions on how to think, and standards for how to judge the quality of thinking, etc. make students aware of the importance of self-assessment in the process of learning, help students form collective understanding of completing critical thinking tasks in high quality. In this way students are led to think together with group members.

v. Establish online discussion groups. This is actually associated with the target through what Wenger (1998) calls “alignment”. Students can see how what they are doing can make contributions to the joint enterprise.
vi. Hold seminars on practical cases. Practical cases can be obtained from the participants’ personal experiences. This helps participants associate the local practices with wider (overall) practices. This is also a reflection in action.

vii. Evaluate CoP. The teacher regularly organizes students to reflect on the classroom practice and its relationship with the real activities outside. These activities can develop “imagination”, one of the social supports to learning mentioned by Wenger.

**(b) Process design.** This system is designed to last for one semester. The implementation of the system is synchronized with the contents of common College English classes. However, the specific content of each class will be different from the general teaching process. This system aims to develop students’ CT through the construction of a classroom learning community. It emphasizes the combination of critical thinking activities with linguistic learning tasks. Following are 7 specific considerations for the 7 teaching interventions respectively.

i. The teacher explains the possibility to build a CoP and its possible added value through PPT.

ii. The teacher shows students the content of “College English Curriculum Requirements” and guides students to understand the role of CT in this course. Have group discussions on the arrangement of learning schedule.

iii. The teacher and students share their own stories of foreign language learning to arouse students’ awareness of the importance of CT.

iv. The teacher helps students form a collaborative mechanism through providing guidance and evaluation rubrics, etc.

v. This intervention aims to enhance the alignment of local practices by setting up a public mailbox, building study groups beyond the boundary of classes, etc.

vi. The teacher inspires students to find real cases in their daily lives and discuss cases together.

vii. The teacher helps each group reflect on their learning process by asking questions. These will help students recognize their strengths and weaknesses in the collaborative tasks, and help them become independent lifelong learners.

**Assessment.** This design is based on a comprehensive consideration of “domain” and “requirements” of Andriessen’s (2004) design cycle. The anticipated target of the teaching interventions is to influence three major factors in CoP learning, namely intervention, imagination and alignment. From its comparison with the basic conditions supporting intervention, imagination and alignment, we can see that in theory the design of seven teaching interventions meet most of the requirements. In fact, most of the teaching interventions lead to a more comprehensive and overlapping result.

**Implications and Conclusion**

CT cultivation is a field of theory as well as practice. Since the 1980’s, CT cultivation has become a major education discourse, but its influence on education practice is relatively weak. This is because there is little study on the application of the concept in specific educational environments. This study explores the nature, content and ways to cultivate CT in a College English course in Chinese colleges/universities. Based on sociocultural theory, especially Wenger’s “Community of Practice”, and by using Andriessen (2004)’s design cycle model, this study builds a classroom learning community for the College English course to develop students’ CT. The study provides basic knowledge for the teachers lacking in practice of cultivating CT to better understand the theories behind it, its focuses and development channel. Therefore, this study
provides guidance for College English teachers and gives implication for College English curriculum makers and foreign language teacher training.

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References
Validation of the Mini-Lecture Part of TEM-8 in Testing Listening Competence

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[Abstract] This paper investigates the reliability and validity of mini-lecture tests in testing listening competence and test takers’ attitudes towards this test form. It first analyzed mini-lecture tests based on the framework of test method facets and communicative language ability proposed by Bachman. Then an experiment was conducted among 33 junior English major students. Each week the students were asked to finish one set of mini-lecture tests. After the last test, students were required to complete a questionnaire inquiring their strategy attitudes towards this test form. The test takers’ scores on mini-lectures were analyzed using SPSS to investigate the inter-test reliability, and were found that when the test with the least participants (year 2012) was excluded, the Cronbach’s Alpha was increased to 0.714. Later, the average scores of the 2010 test and the 2011 test were compared to participants’ performance on general listening classes by calculating their correlation coefficient to investigate the mini-lecture tests’ criterion and construct validity, and it was found that the tests were valid in general. A checklist was compiled and all test items of the three mini-lecture tests were classified jointly to investigate the tests’ content validity.

[Keywords] mini-lecture; TEM-8; validation; reliability; correlation

Introduction

Language tests are frequently used as criterion measures of language abilities in second language acquisition research such as TEM in China. The most important consideration in designing a language test is its usefulness. Validity is the most important quality of test interpretation or use (Bachman, 1997). According to Henning (2002), content validity is concerned with whether the content of the test is sufficiently representative and comprehensive for the test to be a valid measure of what it is supposed to measure. The test should be so constructed as to contain a representative sample of the course.

Test for English Majors (TEM) consists of two levels: TEM 4 (Grade 4) and TEM 8 (Grade 8). The purpose of developing such a battery of tests is to check the implementation of the English Teaching Syllabus for English Majors of Institutions of Higher Learning (ETSEMIHL) and to bring about beneficial washback effects on teaching and learning. In this sense, TEM 8 is a criterion-referenced test. Being used as an indicator of the test-taker’s English proficiency and communicative language ability, the test can be classified as a proficiency test as well (Zou, 1999). The mini-lecture, the first section of Listening Comprehension, Part I, TEM 8, consists of 10 items with each gap counting for 1 point. In this section, test takers are required to a) listen to a 900-word lecture at the speed of 150 words per minute on the topic selected from the test syllabus only once; while listening, they are required to take notes which will not be marked, but are needed to complete the second task: the gap-filling task; and b) fill in grammatically and semantically acceptable words, which may require a maximum of three words, into the gaps. The test takers may refer to their notes. This paper investigates whether the mini-lecture part of TEM 8 is a valid form of testing the listening competence from the perspective of content relevance &
coverage, criterion-relatedness, and construct validity. The reliability of the mini-lecture and the students’ attitudes toward this part are also explored.

**Listening Abilities**

As communication is vital to human existence in contemporary society, listening is probably the most important prerequisite to human communication. Feyten (1991) claimed that more than 45% of an adult’s time is listening, indicating the tremendous importance of listening competence in overall language ability. Listening ability was formerly considered to depend principally on aural abilities including phoneme discrimination, recognition of stress and intonation patterns, and retention of what has been heard (Buck, 2001). Listening tests, thus, typically included discrete-point items designed to test these abilities, based on short spoken texts. Wang (2009) mentioned that since the 1970s there has been a shift towards the use of longer passages of contextualized discourse such as the mini-lecture. According to Zou (2005), listening was classified into three kinds of abilities on the basis of understanding levels. Level A was the micro-linguistic meaning comprehension. Level B referred to the listening skill of covering direct meaning comprehension. Level C, the highest level, referred to indirect meaning comprehension. And the mini-lecture test belongs in Level C. This kind of classification enabled the test designers to choose different listening skills to test different test takers at different levels of listening ability.

**Test Method Facets**

The framework of test method facets was proposed by Bachman (1997). The framework consists of five aspects, namely testing environment, test rubric, the input, the expected response and the relationship between input and response (Bachman, 1997). The testing environment includes familiarity of the place and equipment, time of testing, and physical conditions, etc. The test rubric specifies the procedures that test takers should follow when taking the test. Input consists of the material contained in a given test task, which test takers are expected to process in some way and to which they are expected to respond. The material is described in terms of format and nature of language, such as length and topic. The expected response consists of language use or the response we are trying to make according to the instructions. The relationships between input and expected response in testing can be classified into three types: reciprocal, nonreciprocal and adaptive (Bachman, 1997). Two distinguishing characteristics are interaction and feedback. Examining content relevance requires the specification of test methods (Bachman, 1997). This study will adopt this framework but some modifications will be made referring to the testing syllabus of mini-lecture.

**Previous Research on the Validity of Listening Tests**

Among the previous studies which investigated the validity of different types of listening tests, some may offer us inspiration in dealing with this study. Breeze and Miller (2008) conducted a study which explored the predictive validity of the IELTS Listening Test for student performance on English-taught courses at a Spanish university. Small positive correlations were detected between numerical listening scores and final grades in the courses. Moderate to large correlations were found between the IELTS Listening band scores and self-report data obtained from the questionnaires. Sawaki and Nissan (2009) investigated the criterion-related validity of the Test of English as a Foreign Language Internet-based test (TOFEL iBT) listening section by examining its relationship to a criterion measure designed to reflect language-use tasks: listening to academic lectures. Substantial correlations were obtained. What is more, there were
also studies which aimed at investigating the validity of different types of English tests held in mainland China. He (2005) designed a research with its purpose to get at the testee’s listening comprehension ability. The paper elaborated on a competence-based listening construct and probed into ways to realize construct validity in listening tests. Deng (2007) conducted a study which explored the construct validity of the Listening Comprehension (LC) test of CET-4 with the triangulation approach and combined the research methods of a questionnaire and immediate retrospection. Liu (2010) analyzed sixteen conversations, fifteen passages, forty-two news broadcast, five mini-lectures and four interviews in TEM listening comprehension from 2005 to 2009 in terms of input, expected response and the relationship between input and expected response. Her results indicated that the content validity of TEM listening comprehension from 2005 to 2009 was very high.

The Present Study

Few researchers touched upon the mini-lecture section in TEM 8, let alone analyzed its validity or made comments and suggestions on its further revisions. Thus, the purpose of this research is to examine three questions: a) How is the mini-lecture a valid form of testing listening competence from the perspective of content relevance & coverage, criterion-relatedness and construct validity? b) How is the reliability of mini-lectures? c) What are students’ attitudes toward the mini-lecture?

Participants

Thirty-three English major students in their sixth semester from Zhejiang University were selected as the participants. All participants are native Chinese speakers, and would take the TEM 8 in the next year. Their English proficiency is supposed to be good enough for completing the mini-lecture tests.

Materials and Instruments

Testing papers. Three formal sets of mini-lecture testing materials were selected from previous TEM 8 tests, namely TEM 8 2010, TEM 8 2011 and TEM 8 2012 to ensure the timeliness and authenticity of the experiment. The very beginning part in each audio recording which may reveal the sources of the tests was carefully cut out to prevent the participants from preparation in advance.

Testing syllabus of the TEM 8 (mini-lecture section). One of the aims of this paper is to examine whether the mini-lecture test in TEM 8 corresponds to the requirements of its testing syllabus. After the inception of TEM 8 in 1991, the new existing testing syllabus of TEM 8 was published in 2004.

Questionnaire. To elicit more information regarding the participants’ strategies for and attitudes towards the mini-lecture tests, a 10-item questionnaire was collaboratively designed by all members of our group.

Procedures

The experiment lasted for six months, including the three successful experiments and three failures. Participants were tested once every week. Altogether they were tested three times. Before the administration of the first test, a brief introduction to the test was made and after the third test, test takers were required to complete the questionnaire.

The scoring procedure should also be taken into consideration. The answers to the items can either be the exact words which appear in the recording or other words that are both grammatically and semantically acceptable, but all within the limit of three-word length. To minimize the threats of
subjectivity, three researchers scored all participants’ answers independently to guarantee inter-scorer reliability of scoring. The score of each item was set down on the condition that the scores given by all three scorers were identical. Otherwise the three scorers would have a discussion. If they still did not achieve an agreement, the answer would be submitted to the other two scorers for a final assessment.

**Results and Discussions**

**Data Collection**

The experimental period lasted for six weeks, and three parallel mini-lecture tests were administered. Altogether 33 English majors in the third year participated in our study. Thirty-one students (93.9%) finished the mini-lecture of year 2011. Sixteen of them (48.5%) took two mini-lecture tests (Year 2010 & 2011). Only eleven of them (33.3%) took part in all three mini-lecture tests. Fewer students participated in the second and third tests due to all kinds of reasons, making the data analysis more challenging. Reliability and validity of mini-lecture tests were examined via SPSS.

**Reliability of Mini-lecture Tests**

First of all, the inter-test reliability is explored using the Coefficient alpha model developed by Cronbach (1951). By computing the 11 valid sets of data in SPSS using Cronbach’s Alpha model, the reliability is calculated (Cronbach’s Alpha = 0.509). The reliability is not high, but acceptable. Deleting any one of the three mini-lecture tests, a different reliability can be obtained, which is shown in the following table.

<table>
<thead>
<tr>
<th>Test Year</th>
<th>Cronbach’s Alpha if Test-Deleted</th>
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<tbody>
<tr>
<td>2010</td>
<td>-.186</td>
</tr>
<tr>
<td>2011</td>
<td>.421</td>
</tr>
<tr>
<td>2012</td>
<td>.714</td>
</tr>
</tbody>
</table>

It is not difficult to find out that when the 2012 test is deleted, the inter-test reliability increases. In other words, according to the test results, the 2010 test and the 2011 test are of similar difficulty, while the 2012 test is a bit different in difficulty from the other two. The same conclusion can be drawn from the inter-test correlation matrix which is shown in Table 2 below.

<table>
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<tr>
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<th>Mn10</th>
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<th>Mn12</th>
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<tbody>
<tr>
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<tr>
<td>Mn11</td>
<td>.556</td>
<td>1.000</td>
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</tr>
<tr>
<td>Mn12</td>
<td>.269</td>
<td>-.086</td>
<td>1.000</td>
</tr>
</tbody>
</table>

From the above table, the 2012 test is negatively correlated with the 2011 test and is not significantly correlated with the 2010 test. One of the biggest reasons could be the lack of insufficient amount of data of the 2012-year mini-lecture test. Or possibly the 2012 mini-lecture test was not well-designed. But due to the insufficient data, this doubt cannot be testified. The negative correlation between the 2012 test and the 2011 test also prompts us to exclude the 2012 data when analyzing mini-lecture test’s construct and criterion validity using participants’ performance. Further analysis needs to be conducted between the
2010 data and the 2011 ones to demonstrate that the two tests are of equal difficulty. Paired sample t-test is computed in SPSS (\( t = -1.551, p = .137 \)) between the 20 valid sets of scores of the 2010 mini-lecture test (4.88 ± 1.51) and the 2011 mini-lecture test (5.75 ± 2.52). The p value shows that the two sets of tests are not significantly different in terms of difficulty. Therefore, it is acceptable and more convincing to calculate every participant’s average score and to compare these average scores with their performance in general listening classes.

**Criterion & Construct Validity.**

In order to investigate the criterion validity, the correlation coefficient between the average of first two mini-lectures (Year 2010 and 2011) and the score of Advanced Listening I (see Table 3) was observed. Listening I, a required course which the participants took in the second year, is aimed to develop students’ comprehensive listening skills, including getting both the gist and details of listening materials. The evaluation criterion of this course, consisting of an in-class group presentation (30%), six gist summaries of BBC broadcasts (30%), and a final (multiple-choice listening comprehension exercises and two gist summary exercise, altogether account for the rest 40%), is deemed to be a balanced set with a complete coverage. It is therefore hypothesized that if there is a positive correlation between the average score of first two mini-lecture tests and the score of Advanced Listening I, the criterion validity could be verified.

**Table 3. Average of Two Mini-Lecture 2010 & 2011 and Score of Advanced Listening I**

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<td>3</td>
<td>83</td>
<td>2.5</td>
<td>82</td>
<td></td>
<td></td>
</tr>
<tr>
<td>6.25</td>
<td>86</td>
<td>7</td>
<td>82</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 4 demonstrates the descriptive statistics of the score of Advanced Listening I and the average of first two mini-lectures. The mean score is 84.500 (\( SD = 7.301 \)) for the first two mini-lectures and 5.313 (\( SD = 1.652 \)) for Advanced Listening I.

**Table 4. Descriptive Statistics**

<table>
<thead>
<tr>
<th>Listening I score</th>
<th>Mean</th>
<th>Std. Deviation</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Average of first two mini-lectures</td>
<td>5.313</td>
<td>1.652</td>
<td>20</td>
</tr>
</tbody>
</table>

Pearson bivariate correlation coefficient (see Table 5) between the average of first two mini-lectures and the score of Advanced Listening I was examined via SPSS. The average scores of first two mini-lectures are positively edge-correlated with the Advanced Listening I score, \( r = .426, p = .078 \).
Table 5. Correlations Between the Mini-Lecture Scores and Advanced Listening I Scores

<table>
<thead>
<tr>
<th>Advanced listening score</th>
<th>Advanced Listening I score</th>
<th>Average of mini-lecture 2010 &amp; 2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>Person Correlation</td>
<td>1</td>
<td>.426</td>
</tr>
<tr>
<td>Sig. (2-tailed)</td>
<td></td>
<td>.078</td>
</tr>
<tr>
<td>N</td>
<td>26</td>
<td>18</td>
</tr>
<tr>
<td>Average of mini-lecture</td>
<td>Person Correlation</td>
<td>.426</td>
</tr>
<tr>
<td>2010 &amp; 2012</td>
<td>Sig. (2-tailed)</td>
<td>.078</td>
</tr>
<tr>
<td>N</td>
<td>18</td>
<td>20</td>
</tr>
</tbody>
</table>

The data shows that the score of mini-lecture tests and that of Advanced Listening I is positively correlated (correlation coefficient $r = .426$), and the correlation is marginally significant ($p = .078$). Thus our hypothesis is basically verified. One possible reason is the limited data involved in the statistical analysis. Another reason could be that there are still some problems with the mini-lecture test designs, as are suggested by some subjects in the questionnaire.

**Content Validity**

As Bachman (1997) demonstrated, whether a test is relevant to and covers a given area of content or ability is therefore a necessary part of validation. There are two aspects to this part of validation: content relevance and content coverage.

**Content relevance.** The investigation of content relevance requires “the specification of the behavioral domain in question and the attendant specification of the task or test domain” (Messick, 1980). While it is generally recognized that this involves the specification of the ability domain, what is often ignored is that examining content relevance also requires the specification of the test method facets.

**Domain of listening ability.** Based on Zou (2005)’s classifications of listening skills, 11 abilities were divided into three levels, as shown in Table 6. Among those items, six items belong to level B, occupying 54.54%; one item belongs to level A, and takes the percentage of 9%; the other three items belong to level C, amounting to 27.27%. TEM 8 is regarded as the highest proficiency level test for English learners in China. It is reasonable that tests like TEM 8, which belongs to senior-level of English proficiency test, should have almost 91% of higher levels of listening skills. Thus, it is reasonable to conclude that those items of TEM 8 mini-lecture from the year 2010 to 2012 are valid enough. According to the 11 abilities that will be measured in the mini-lecture of TEM 8, it is necessary to elicit that in each item, what kind(s) of abilities had been tested.
The Abilities to Be Measured in the Mini-Lecture of TEM 8

The students/test takers should be able to –

**Level A:**
Micro-linguistic meaning comprehension
- a. spell the words (especially difficult words) correctly.

**Level B:**
Direct meaning comprehension
- b. identify the purpose and scope of the lecture;
- c. identify the topic or the main idea of the lecture;
- d. identify the topic sentence, transition sentence;
- e. identify the attitude of speaker toward subject matter;
- f. identify and recall details, e.g. exemplifications, time, location, amount, etc.;
- g. recognize the makers of cohesion;

**Level C:**
Indirect meaning comprehension
- h. make conclusions/summary/inductions;
- i. use logic and make deductions from the given information;
- j. deduce meaning of unfamiliar lexical items from context;

Table 7. Abilities Tested in Mini-Lecture 2010 & 2011 & 2012

<table>
<thead>
<tr>
<th>Item No.</th>
<th>2010</th>
<th>2011</th>
<th>2012</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>h, i</td>
<td>h</td>
<td>f</td>
</tr>
<tr>
<td>2</td>
<td>f, a</td>
<td>h</td>
<td>f</td>
</tr>
<tr>
<td>3</td>
<td>i</td>
<td>f</td>
<td>f, h, i</td>
</tr>
<tr>
<td>4</td>
<td>f</td>
<td>f</td>
<td>c</td>
</tr>
<tr>
<td>5</td>
<td>f, h</td>
<td>a, c</td>
<td>h</td>
</tr>
<tr>
<td>6</td>
<td>f, h</td>
<td>f, h</td>
<td>h, i</td>
</tr>
<tr>
<td>7</td>
<td>b, e, i</td>
<td>i</td>
<td>c</td>
</tr>
<tr>
<td>8</td>
<td>f, h</td>
<td>i, b, e</td>
<td>f, h</td>
</tr>
<tr>
<td>9</td>
<td>f, h</td>
<td>h</td>
<td>f</td>
</tr>
<tr>
<td>10</td>
<td>h, i</td>
<td>h</td>
<td>h, i</td>
</tr>
</tbody>
</table>

Further explanations are needed based on Table 7. First, it is obvious that not all the items listed in Chart 1 have been covered in the three years’ mini-lectures of TEM 8. Among all the 11 items, item f (identify and recall details, e.g. exemplifications, time, location, amount, etc.; level B), item h (make conclusions/summary/inductions; level C), and item i (use logic and make deductions from the given information; level C) have been tested through all the three years. In 2010, item h was tested 6 times, which ranked the highest in this year. In 2011 and 2012, item h was tested 5 times respectively, both ranking the highest. It indicates that the abilities to make conclusions/summary/inductions are the first priority of mini-lecture section. The second highest item is item f (identify and recall details; level B) which suggests that details are always the key points of tests. They can manifest the listening skills from various aspects. Though it belongs to the second level, sometimes it can be very difficult for the test takers to identify and get the complete correct answers. Item i—use logic and make deductions from the given information; level C – is the third highest item that has been tested through the three years. Its requirements for the test takers are comparatively higher, since it not only requires the test takers to understand what is given, but also be able to deduce the meaning behind the words. Third, items that belong to level C were tested altogether 25 times; items that belong to level B were tested for 21 times; however, items a – belong to level A – were tested for only 2 times. It is not difficult to conclude that the mini-lecture section of TEM 8 for those three years (from 2010 to 2012) is comparatively difficult in listening comprehensions and has a high content validity in terms of the degree of difficulty concerning the domains of listening skills that test takers should adopt.
Test method facets. Test method facets are another important factor that should be taken into consideration when exploring content validity. Previously, we briefly discussed the framework of test method facets proposed by Bachman (1997). It is necessary to modify the framework according to the reality of TEM 8 mini-lecture assessment with the reference of the testing requirements of TEM 8. In this part, the revised framework will be introduced. The newly revised framework in this study is listed in Table 8 below. In the framework the facets of the input, expected response and the relationship between input and expected response of mini-lecture test will be discussed.

Table 8. A Revised Framework for Test Method Facets of Mini-Lecture Section

| A. Facets of the input: Length/ Vocabulary/ Speed/Topic |
| B. Facets of the expected response: Type of response/ Length of response/ Vocabulary |
| C. Relationship between input and expected response |

A. Facets of the input

**Length.** According to the testing syllabus of TEM 8, the text length of the mini-lecture is more or less 900 words. Calculated by Microsoft Office Word, the lengths of the mini-lectures are 957, 961 and 921 words, respectively for 2010, 2011 and 2012 tests (see Table 9). It is safe to say the length of mini-lecture texts meets the requirements of the syllabuses.

Table 9. A Summary of Facets of the Input of Mini-lecture

<table>
<thead>
<tr>
<th>Test</th>
<th>Words</th>
<th>Speed</th>
<th>Topic</th>
</tr>
</thead>
<tbody>
<tr>
<td>2010</td>
<td>957</td>
<td>116.1</td>
<td>Paralinguistic Features of Language</td>
</tr>
<tr>
<td>2011</td>
<td>961</td>
<td>129.7</td>
<td>Classifications of Cultures</td>
</tr>
<tr>
<td>2012</td>
<td>921</td>
<td>120.7</td>
<td>Observing Behavior</td>
</tr>
<tr>
<td>Average</td>
<td>946.3</td>
<td>122.2</td>
<td>---</td>
</tr>
</tbody>
</table>

**Vocabulary.** The testing syllabus of TEM 8 points out that all words do not exceed the vocabulary scope required by the teaching syllabus. With a thorough check of the words in the three mini-lectures from 2010 to 2012, we only found that “paralinguistic” in the 2010 test, “polychronic” and “monochronic” in the 2011 test were beyond the scope of the TEM 8 vocabulary teaching syllabus. However, these words are further explained in great detail and students can resort to their lexical knowledge, for example, *para*, *poly* and *mono* are prefixes. Generally speaking, the vocabulary in the mini-lecture section conforms to the requirements of TEM 8 testing syllabus.

**Speed.** The speed of the listening comprehension part (including the mini-lecture section) in testing syllabus is around 150 wpm. As Table 9 shows, the average speed of the mini-lectures of the three years is 122.2 wpm, about 28 words fewer than that of the requirement. Here, it is essential to point out that the statement of the criterion of the length is not so precise. The range of deviation is not mentioned in the testing syllabus. It is controversial whether 122.2 wpm is too low a speed compared with the testing syllabus.

**Topic.** The 2010 mini-lecture was about the features of language, and the 2011 test discussed high-context culture and low-context culture. The 2012 mini-lecture looked at how to observe behavior in research. Therefore, the topics of the mini-lectures all belong to English professional knowledge which is consistent with the testing syllabus of TEM 8.
B. Facets of the expected response

The facets of the expected response in the mini-lecture of TEM 8 can be approached from the type and length of response and the vocabulary. Bachman (1997) mentioned two kinds of expected responses: “‘selected response’ and ‘constructed response’”. The mini-lecture section is the only part in TEM 8 whose responses belong to ‘constructed’ responses. The criterion for the expected responses poses a bigger challenge on test takers’ language listening ability. They are supposed to take notes on important details but also have a general picture of the lecture. They are also required to make summaries, inductions, and deductions, etc. from the given information. Generally speaking, the expected responses in mini-lecture conform to the higher requirements of TEM 8 testing syllabus.

C. Relationship between input and expected response

The relationships between input and expected response in testing can be classified into three types: reciprocal, nonreciprocal and adaptive (Bachman, 1997). Of the three types, nonreciprocal language use is that in which there is no interaction between language users, so there is no feedback and the language used does not make any difference to subsequent language use. Listening comprehension test is an example of a non-reciprocal language use. In listening comprehension, test takers cannot interact with speakers in the listening materials. Through analysis we can see the content validity of the mini-lecture in terms of the method facets very high.

Content coverage. The mini-lecture test is valid in terms of content coverage. We underlined the answers to each test item in the original text, and found out that the test items were averagely distributed across the testing materials. The first several sentences were not used for designing test items, while the following parts were used. Thus we can say that the tests are of good content coverage.

Feedback on the Questionnaire

According to the answers of questionnaires, all 19 students could utterly or mostly understand the content of mini-lectures, and most students thought mini-lecture tests could basically reflect their listening competence. However, when asked whether the mini-lecture test was a useful way of improving listening competence, only half of the subjects (9 subjects) said it was very useful or it had a major effect in improving listening ability. Students did express some of the obstacles they encountered, including low note-taking speed (63.2%), incomplete notes, which could not inform them of complete information (42.1%), and illegible handwriting (31.6%). In overcoming these obstacles, students would guess the answers by referring to the context (73.7%) or by referring to the other parts that have already been given in the test paper (63.2%). If students did guess the answers right by logical deduction of the given part, then the test items are not well-designed and are not valid in terms of construct validity.

Conclusion

From the above analysis, we can conclude that the mini-lecture test of TEM 8 is a reliable and valid form of test. When the subjects reach a certain number, the inter-test reliability is high. The criterion and construct validity is also guaranteed, though the correlation between test takers’ performance on the mini-lecture tests and that on general listening courses is not so high. It also has a high content validity, including content coverage and content relevance. From the perspective of test method facets, the mini-lecture highly meets the testing syllabus of TEM 8 in terms of the input, the expected response and the relationship between input and response.
References


A Corpus-based Analysis on Spoken Texts in CET4:
By a Multidimensional Approach

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[Abstract] This study conducts a multi-dimensional analysis on the corpus of spoken texts in CET 4 listening (06-14) for their linguistic and functional characteristics. The results indicate that: 1) all four parts are categorized into the text type of involved persuasion; 2) both the Short and Long Conversation are categorized into the genre of personal letter; Passage and Dictation are the genre of general fiction and prepared speech, respectively; 3) the most salient dimension in Short and Long Conversation is Involved Production and that in Passage and Dictation is Elaboration. Implications in EFL listening instruction and assessment in China are provided.

[Keywords] MD analysis; corpus; spoken texts; CET4 listening

Introduction
In order to ensure the validity of listening tests, it is necessary to investigate the influence of construct-irrelevant factors such as the input on test performance. Such questions as whether the listening material corresponds to the target real-life language use and how test-takers interact with the material cannot be answered without a systematic analysis on the input. Bachman (1990) worked out a systematic framework to study inputs from the perspective of length, propositional content, organizational, pragmatic and sociolinguistic characteristics. Based on that, Bejar, et al. (2000) explored a conceptual framework for TOEFL listening in which text material was studied from the perspectives of format, grammatical, discourse and pragmatic features. Despite the investigation of a variety of aspects of input, there was a lack of interrelationship among them.

Therefore, it is essential to find an integrated and empirical alternative approach to text analysis – multidimensional analysis. MD analysis has been widely applied to the study of registers but never to the texts in listening tests, except in TOEFL (Biber, et al., 2004). Hence, this paper aims to apply MD analysis to a small corpus of spoken texts in CET4 (College English Test Band 4, China) listening (06-14) for a comprehensive knowledge of their linguistic and functional characteristics which would further function as crucial data for the validation of CET4 listening. Specifically, the paper explores the following three questions:
1. What are the salient co-occurring linguistic characteristics in Short Conversation, Long Conversation, Passage and Dictation in CET4 listening respectively?
2. Which kinds of genres and text types are these four parts categorized into respectively?
3. What are the differences and similarities among the four parts in terms of five dimensions?

Multidimensional Analysis
MD analysis is a corpus-driven methodological approach that identifies the frequent linguistic co-occurrence patterns in a language, relying on inductive empirical analysis (Biber, 2010, p. 179). The original Biber MD (1988) analysis investigated 67 linguistic features of 481 spoken and written texts of
contemporary British English and reduced the co-occurrence patterns among them to 5 underlying dimensions. Algeo (1991) reviewed Biber’s (1988) study by summarizing as follows: the first dimension measures the extent to which the participants and the situation are involved in the language of the text; the second dimension studies the extent to which the text narrates rather than explains, describes, or has some other aims; the third dimension explores the extent to which a text identifies its referents completely and explicitly rather than leaving them to be inferred; the fourth dimension probes into the degree of asserting opinions and of argumentation; and the fifth dimension surveys the degree of abstraction.

Many studies have applied the 1988 dimensions of variation to studying the linguistic characteristics of more specialized registers and discourse domains, such as the spoken and written university registers (Biber, et al., 2002), oral proficiency interviews (Connor-Linton & Shohamy, 2001), academic lectures (Csonay, 2004), female and male conversational style (Biber & Burges, 2000), student writing in British higher education (Nesi, 2008). Some other studies undertook complete analyses by using factor analysis to identify the dimensions of variations operating in a particular discourse domain, such as elementary school registers (Reppen, 2001), university spoken and written registers (Biber, 2004, 2006), conversational text types (Biber, 2008), and English spoken and written-to-be-spoken discourse (Gómez & Guerra, 2000).

Materials and Methods

Corpus of CET4 Listening Material
There are four parts in the listening section of CET4: Short Conversation (1 turn) with one question, Long Conversation (5-8 turns) with 3-4 questions, Passage (200-250w) with 3-4 questions, and Compound Dictation (200-250w) with several blanks to fill in. According to the Syllabus for CET (06 edition), there are mainly 4 registers in the listening material: everyday conversation, lessons delivered in English, lectures on general topics, and special English programs in English-speaking countries.

The corpus used was constructed by collecting all the spoken texts in the CET4 listening section from ’06 (when the weight of listening section rose from 20% to 35%) to ‘14. The corpus consists of 144 Short Conversations (4,219 words in total, 34 words on average), 36 Long Conversations (9,140 words in total, 254 words on average), 54 Passages (12,395 words in total, 229 words on average), and 18 Dictations (4,219 words in total and 234 words on average), totaling 30,684 words.

Methods
Through employing Multidimensional Analysis Tagger 1.0 – a program that replicates Biber’s (1988) tagger for the MD functional analysis of English texts, this paper applied the five dimensions to studying the linguistic and functional characteristics of the spoken texts in the CET4. The program first generated a grammatically annotated version of the input texts, then exhibited their dimension features with corresponding scores, and finally plotted them on Biber’s (1988) Dimensions and determined their closest text type and genre.
Results and Discussion

Salient Linguistic and Functional Features of Short Conversation

Table 1. Multidimensional Data for Short Conversation

<table>
<thead>
<tr>
<th>Dimension 1</th>
<th>Dimension 2</th>
<th>Dimension 3</th>
<th>Dimension 4</th>
<th>Dimension 5</th>
<th>Text type</th>
<th>Genre</th>
</tr>
</thead>
<tbody>
<tr>
<td>14.01</td>
<td>- 2.32</td>
<td>- 2.23</td>
<td>2.04</td>
<td>-1.55</td>
<td>Involved persuasion</td>
<td>Personal letter</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interesting variables with the z-scores of magnitude &gt; 2</td>
<td>Word length (AWL)</td>
<td>Emphatics (EMPH)</td>
<td>Second person pronouns (SPP2)</td>
<td>Direct WH-questions (WHQU)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

As Table 1 shows, in terms of dimension score, which was calculated using the z-scores of the variables that presented a mean higher than 1 (Biber, 1988, p. 77), Dimension 1 acquired the highest absolute score, followed by Dimensions 2, 3 and 4, respectively, and Dimension 5 earned the lowest. It suggests that Short Conversation contains the use of more involved production features together than other features. There are four salient co-occurring features: word length, emphatics, second person pronouns and direct WH-questions.

In terms of text type determined, Short Conversation in general shared the co-occurring linguistic features with the highest frequency which signifies the degree of involvement, narrative orientation and abstraction, in common with involved persuasion. In terms of genre determined, Short Conversation was the mostly approximate to the genre of personal letter from the aspect of involved production.

Salient Linguistic and Functional Features of Long Conversation

Table 2. Multidimensional Data for Long Conversation

<table>
<thead>
<tr>
<th>Dimension 1</th>
<th>Dimension 2</th>
<th>Dimension 3</th>
<th>Dimension 4</th>
<th>Dimension 5</th>
<th>Text type</th>
<th>Genre</th>
</tr>
</thead>
<tbody>
<tr>
<td>15.26</td>
<td>- 3.43</td>
<td>- 0.90</td>
<td>-0.75</td>
<td>-1.53</td>
<td>Involved persuasion</td>
<td>Personal letter</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Interesting variables with the z-scores of magnitude &gt; 2</td>
<td>Discourse particles (DPAR)</td>
<td>Direct WH-questions (WHQU)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

As Table 2 shows, in terms of dimension score, Dimension 1 had the highest absolute score, followed by Dimensions 2, 5 and 3, successively, and Dimension 4 had the lowest. It suggests that Long Conversation contains the use of more involved production features together than other features. There are two salient co-occurring features: discourse particles and direct WH-questions.

In terms of text type determined, Long Conversation in general shared the frequently co-occurring linguistic features signifying the degree of involvement and abstraction in common with involved persuasion. In terms of genre determined, Long Conversation was closest to the genre of personal letter from the aspect of involved production.
Salient Linguistic and Functional Features of Passage

Table 3. Multidimensional Data for Passage

<table>
<thead>
<tr>
<th>Dimension 1</th>
<th>Dimension 2</th>
<th>Dimension 3</th>
<th>Dimension 4</th>
<th>Dimension 5</th>
<th>Text type</th>
<th>Genre</th>
</tr>
</thead>
<tbody>
<tr>
<td>-0.33</td>
<td>0.83</td>
<td>2.87</td>
<td>0.91</td>
<td>2.23</td>
<td>Involved persuasion</td>
<td>General fiction</td>
</tr>
</tbody>
</table>

Interesting variables with the z-scores of magnitude > 2

Type-token ratio (TTR)
Conjuncts (CONJ)
Phrasal coordination (PHC)
Split infinitives (SPIN)

As Table 3 shows, in terms of dimension score, Dimension 3 had the highest absolute score, followed by Dimensions 5, 4 and 2, respectively, and Dimension 1 had the lowest. It suggests that Passage contains the use of more context-independent features together than other features. There are four salient co-occurring features: Type-token ratio, conjuncts, Phrasal coordination and Split infinitives.

In terms of text type determined, Passage in general shared the most frequently co-occurring linguistic features in common with involved persuasion. In terms of genre determined, Passage was closest to the genre of general fiction from the aspect of informational production.

Salient Linguistic and Functional Features of Dictation

Table 4. Multidimensional Data for Dictation

<table>
<thead>
<tr>
<th>Dimension 1</th>
<th>Dimension 2</th>
<th>Dimension 3</th>
<th>Dimension 4</th>
<th>Dimension 5</th>
<th>Text type</th>
<th>Genre</th>
</tr>
</thead>
<tbody>
<tr>
<td>2.67</td>
<td>0.10</td>
<td>3.56</td>
<td>2.38</td>
<td>1.48</td>
<td>Involved persuasion</td>
<td>Prepared speech</td>
</tr>
</tbody>
</table>

Interesting variables with the z-scores of magnitude > 2

Type-token ratio (TTR)
Predicative adjectives (PRED)
Phrasal coordination (PHC)

That relative clauses on subject position (TSUB)

As Table 4 shows, in terms of dimension score, Dimension 3 had the highest score, followed by Dimensions 1, 4 and 5, respectively, and Dimension 2 had the lowest score. It suggests that Dictation contains the use of more context-independent features together than other features. There are four salient co-occurring features: Type-token ratio, Predicative adjectives, Phrasal coordination and That relative clauses on subject position.

In terms of text type determined, Dictation in general shared the most frequently co-occurring linguistic features in common with involved persuasion. In terms of genre determined, Dictation highly resembles the genre of prepared speech from the aspect of involved production.

Differences and Similarities Among the Four Parts

Table 5. Multidimensional Data Across the Four Parts

<table>
<thead>
<tr>
<th>Part</th>
<th>D 1</th>
<th>D 2</th>
<th>D 3</th>
<th>D 4</th>
<th>D 5</th>
<th>Text type</th>
<th>Genre</th>
</tr>
</thead>
<tbody>
<tr>
<td>Short conversation</td>
<td>14.01</td>
<td>-2.32</td>
<td>-2.23</td>
<td>2.04</td>
<td>-1.55</td>
<td>Involved persuasion</td>
<td>Personal letter</td>
</tr>
<tr>
<td>Long conversation</td>
<td>15.26</td>
<td>-3.43</td>
<td>-0.90</td>
<td>-0.75</td>
<td>-1.53</td>
<td>Involved persuasion</td>
<td>Personal letter</td>
</tr>
<tr>
<td>Passage</td>
<td>-0.33</td>
<td>0.83</td>
<td>2.87</td>
<td>0.91</td>
<td>2.23</td>
<td>Involved persuasion</td>
<td>General fiction</td>
</tr>
<tr>
<td>Dictation</td>
<td>2.67</td>
<td>0.10</td>
<td>3.56</td>
<td>2.38</td>
<td>1.48</td>
<td>Involved persuasion</td>
<td>Prepared speech</td>
</tr>
</tbody>
</table>
As Table 5 shows, in Dimension 1, Conversations exhibited high scores while Dictation presented a low score and Passage indicated a negative score. It means that in Conversations, the speakers and the situation are involved in the language of the text to a great extent, while in Passage, the focus is mostly placed on the precise and dense delivery of information. In Dimension 2, Conversations exhibited negative scores, while Passage and Dictation presented low positive ones. This means that the purpose of Passage and Dictation is to narrate rather than to explain or describe, to certain extent. In Dimension 3, Conversations exhibited negative scores, while Passage and Dictation presented positive ones. It means that Passage and Dictation texts identify their referents thoroughly and explicitly, while Conversations have many situated references. In Dimension 4, Short Conversation and Dictation exhibited higher scores while Passage and Long Conversation presented a lower and a negative one, respectively. This means that Short Conversation and Dictation have frequent use of linguistic features asserting opinions and arguing for points. In Dimension 5, Conversations exhibited similar negative scores while Passage presented a higher positive score. It means that Passage and Dictation have frequent use of linguistic features marking informational discourse that is impersonal, technical and formal in style.

The result might turn out to be unexpected concerning the categorization of the two types of Conversations into the genre of personal letter. To explain that, Biber’s (2010) study can be referred to. He suggested that no single register can be fully representative of the spoken or written mode and the two modes share some linguistic characteristics in common. In addition, the present study also finds that Dimensions 1 and 3 turn out to be more salient, which is not completely in agreement with the findings of past studies that Dimensions 1 and 2 seem to be fundamentally important across varieties (Biber, 2010).

**Conclusion**

In summary, the above multi-dimensional analysis of the corpus of spoken texts in CET 4 listening (‘06-‘14) shows that: 1) Short Conversation has such salient linguistic features as word length, emphatics, second person pronouns and direct WH-questions; Long Conversation has discourse particles and direct WH-questions; Passage has type-token ratio, conjuncts, phrasal coordination and split infinitives; and Dictation has type-token ratio, predicative adjectives, phrasal coordination and That relative clauses on subject position; 2) all the four parts are categorized into the text type of involved persuasion; both Conversations are the genre of personal letter, Passage acts as the genre of general fiction and Dictation resembles the genre of prepared speech; 3) the most salient dimension is Involved Production in both Conversations, and is Elaboration in Passage and Dictation.

The results enlighten both the instruction and assessment of listening. On one hand, when teaching listening, there are two points that need to be paid attention to. First, teaching individual linguistic elements in isolation is of no benefit; instead, it should be taught with other elements or sections. This means that when teachers analyze the spoken text, they should not focus on explaining the meaning of linguistic elements, but instead guide students to develop the capability of detecting the co-occurring words with high frequency. The second point is to teach usages of words instead of providing sheer descriptions of them. Therefore, a teacher should sustain students’ attention to the co-occurrence linguistic pattern as well as examine if they have grasped the situational, social, and cognitive functions of the pattern. On the other hand, in the assessment of listening, there are also two points that should be paid attention to. First, for testers, MD analysis would be useful not only in selecting proper material for the corpus of English spoken language which Chinese students may probably be exposed to in the context of study, work and daily life, but also for conducting a validation study of listening tests such as how the interaction between input and
personal features influences test performance. Second, for test-takers, while preparing for tests, in intensive listening they should pay attention to the linguistic features collocating and co-occurring frequently and interpret them at both the linguistic and the functional levels in order to achieve better comprehension.

The present study is only a preliminary corpus-based study of part of spoken texts in CET4 listening from the five dimensions identified by Biber (1988). It is limited in both the scale of the corpus and the perspectives selected. Therefore, it is necessary for future study to conduct a complete MD analysis to uncover the possible unique dimensions of the spoken material in CET4 corpus.

References
Variation of the Use of Modal Auxiliaries in Chinese Legislative Texts-
Diachronic Approach

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[Abstract] Modality is a linguistic device widely used in legislative texts, and many scholars have probed into modality from different perspectives. According to F. R. Palmer, modality can be classified mainly into three types, i.e. epistemic modality, deontic modality and dynamic modality. This paper focuses on the diachronic variation of the use of modal auxiliaries in Chinese legislative texts, and the research is based on 68 different Chinese laws which were compiled into three different corpora; all of the legal texts were extracted from three decades for diachronic comparison. The frequencies of some typical modal auxiliaries, like “must”, “will”, “might”, “would”, “should”, “can”, “shall” and their corresponding negation form, are calculated for discrepancy comparisons.

[Keywords] modality; legislative texts; diachronic comparison; frequency; Chinese

Introduction
It’s widely known that in the academia of both linguistics and law, modality is widely used to express possibility, necessity, obligation, permission, command, and prohibition, etc. According to Cheng Le, “In legal settings, epistemic modality deals with the reliability of witnesses, the admissibility of evidence, and the burden of proof, deontic modality defines rights, privileges, obligations, and responsibilities, and dynamic modality relates to mental states such as willingness, physical ability, and legal capacity” (2011). First of all, this paper elaborates on the dominant classification of modality by F. R. Palmer, i.e. epistemic modality, deontic modality and dynamic modality, which forms the most part of the theoretical framework. Then, 68 different Chinese laws were selected for building three different corpora. One important thing must be pointed out here, due to the fact that all of the 68 Chinese laws were originally written in Chinese, an authoritative English translation version was adopted, and all of the 68 laws were selected from three different decades for diachronic comparison. Although the three types of modalities have been investigated by many, the variation of the use of modal auxiliaries has been probed by few. As a consequence, it makes this paper meaningful, because this paper reveals the diachronic variation of the use of modal auxiliaries in Chinese legislative texts. Through the whole process, statistical software called AntConc was used to calculate the hits of different modal auxiliaries, as well as their negation form and their corresponding frequencies.

Literature Review
Modality has been probed into from different perspectives, F. R. Palmer, and M. A. K. Halliday, et al. have given their own definitions of modality and modality types, and later on, many scholars developed the research of modality into different fields. “Modality is one of a number of semantic-grammatical features” (Palmer, 1990). “Polarity is thus a choice between yes and no. But these are not the only possibilities; there are intermediate degrees, various kinds of indeterminacy that fall in between, such as ‘sometimes’ or ‘maybe’. These intermediate degrees, between the positive and negative poles, are known collectively as MODALITY. What the modality system does is to construe the region of
uncertainty that lies between ‘yes’ and ‘no’” (Halliday, 2008). Generally speaking, deontic modality is the most frequently studied modality type; for example, Jean-Christophe Verstraete probed into deontic modality from a scalar perspective (2005), Cheng Le probed into linguistic modality in Chinese legal settings from a semiotic perspective (2011), Elizabeth Closs Traugott probed into modality from a historical perspective (2011), Giuliana Garzone probed into the variation of modality in legislative texts (2013), but he only focused on shall, and all the legislative texts were from the U.K. legislation, etc. In addition, there has also been much work done on epistemic modality and dynamic modality. This paper is based on Chinese legislative texts and probes into the diachronic variation of different modal auxiliaries, which is a brand new research orientation.

Theoretical Framework

**Modality**

Concerning the definition of modality, scholars have their own orientations, according to Heiko Narroq, “one can distinguish at least the following three orientations, namely (i) definitions of modality in terms of “speakers’ attitudes” (Jespersen, 1992 [1924]; Lyons, 1968); (ii) definitions in terms of “actuality”, “factuality”, “validity”, or “realis/irrealis”, that is, if a proposition is presented as “actual”, “factual”, “valid”/“realis” or not (Chung & Timberlake, 1985; Kiefer, 1987; Mithun, 1999); and (iii) definitions in terms of the expression of possibility and necessity” (Narroq, 2005). The above orientations reflect a fact that it’s difficult to define modality, because definitions may vary due to different focus and understanding, despite the differences of the definitions are very insignificant. Moreover, according to F. R. Palmer, modality can be roughly classified into three types, i.e. epistemic modality, deontic modality and dynamic modality. Modal auxiliaries mainly consist of must, will, might, would, should, can, shall, is/are to, and even their corresponding negation form. In the following part of the theoretical framework, the definitions of the three modality types will be explained in detail, and some examples will also be given for better illustration. Details of dynamic possibility and dynamic necessity will not be discussed in this paper, because it’s not quite relevant to the study of legislative texts.

**Epistemic Modality**

The definition of epistemic modality seems much easier and clearer. According to Palmer, “Epistemic modality is the simplest type of modality to deal with. In both its syntax and its semantics, it is the kind of modality that is most clearly distinct from the others and has the greatest degree of internal regularity and completeness. The two basic degrees of possibility and necessity are marked by MAY and MUST respectively. The function of epistemic modals is to make judgments about the possibility, etc., that something is or is not the case” (Palmer, 1990). The above explanation seems quite easy to understand, because we often use may and must in our daily life to make inferences and express the urgency to do something respectively.

**Deontic Modality**

Deontic modality seems to be a little more difficult and problematic to define. According to Papafragou, “Deontic modality is concerned with the necessity or possibility of acts performed by morally responsible agents, and thus with obligation and permission” (1998). To be more exact, “Deontic modality is essentially performative. By using a deontic modal, a speaker may actually give permission (MAY, CAN), lay an obligation (MUST) or make a promise or threat (SHALL)” (Palmer, 1990). Why deontic modality is more difficult and problematic is that the modal auxiliaries like may and must have multiple meanings
and denotations, the meaning and denotation of the modal auxiliary *can* also varies depending on contexts, that is to say, only *shall* carries monosemous modality.

**Dynamic Modality**

According to F. R. Palmer, “Whereas both epistemic and deontic modality appear to relate to the speaker, dynamic modality is concerned with the ability and volition of the subject of the sentence, and is not, perhaps, strictly modality at all” (1990). This makes dynamic modality more mysterious and difficult to deal with, because both its definition and existence are not quite convincing. “Despite some attempts to standardize and unify the usages of modality in legal settings, there still seems to be no consistent usages of modality in legal settings, whether in legislation or in judicial discourse” (Cheng, 2011). As a consequence, the calculation and analysis below are mainly focused on epistemic modality and deontic modality. But dynamic modality will still be elaborated for the completeness of the three kinds of modalities, and dynamic modality can be further divided into dynamic possibility and dynamic necessity. However, it’s rarely used in Chinese legislative texts, so there is almost no convincing example available in the three corpora.

**Methodology**

**Corpus Compilation**

In order to gather enough data, three different corpora were compiled. As everyone knows, all Chinese laws are originally written in Chinese, as a result, an authoritative English translation version of the laws is adopted, which guarantees all of the three corpora are in English. Altogether, 68 different laws were chosen, and in order to carry out diachronic comparison, the 68 laws were chosen from three different decades, which range from the 1980s to the first decade of the new millennium. In the three different corpora, all of the word counts are almost evenly distributed. The 68 different laws cover a diversified range concerning different aspects of the legal society, for instance, criminal law, economic law, environment protection law, and maritime law, etc.

The first corpus consists of 41 laws; all of the 41 laws were enacted or revised from 1980 to 1989, but many of them have expired or been revised. In this corpus, there are about 124,000 English words. The second corpus consists of 10 laws; although the number of laws is less than the first corpus, the total word count is almost the same. There are about 131,000 English words, and all of the 10 laws were enacted or in effect from 1990 to 1999. The third corpus consists of 17 laws, which were mainly enacted or revised from 2001 to 2010, and most of which are still in effect. There are about 125,000 English words in this corpus. In every corpus, the laws cover a relatively wide range – economic law, commercial law, and criminal law, etc. After completing the compilation of the three corpora, calculation and data analysis was carried out.

**Data Calculation**

In this part, some specific modal auxiliaries and their corresponding negation form are listed below for calculation and comparison. Therefore, *must, will, might, would, should, can, shall* and their corresponding negation forms are listed for diachronic discrepancy comparison. However, a problematic fact is that sometimes epistemic modal auxiliaries like *must and may* can be used as deontic modal auxiliaries, and vice versa. As a consequence, no distinction between the two types of modal auxiliaries have been made in the data analysis process, so all of the modals and their negation form are mixed and equally treated.
Table 1. Diachronic Calculation of the Number of Different Modal Auxiliaries in Three Different Corpora

<table>
<thead>
<tr>
<th>Time Period</th>
<th>Must</th>
<th>Will</th>
<th>Might</th>
<th>Would</th>
<th>Should</th>
<th>Can</th>
<th>Shall</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1980-1989</td>
<td>349</td>
<td>28</td>
<td>2</td>
<td>0</td>
<td>34</td>
<td>17</td>
<td>2619</td>
<td>3049</td>
</tr>
<tr>
<td>1990-1999</td>
<td>104</td>
<td>47</td>
<td>1</td>
<td>19</td>
<td>160</td>
<td>32</td>
<td>2235</td>
<td>2598</td>
</tr>
<tr>
<td>2001-2010</td>
<td>38</td>
<td>21</td>
<td>1</td>
<td>3</td>
<td>75</td>
<td>30</td>
<td>2922</td>
<td>3090</td>
</tr>
</tbody>
</table>

All of the three corpora were processed by AntConc respectively, and the above numbers of Table 1 were calculated. All numbers of hits of different modal auxiliaries are listed for further comparison and analysis.

Table 2. Diachronic Calculation of the Number of Different Negation Form of Modal Auxiliaries in Three Different Corpora

<table>
<thead>
<tr>
<th>Time Period</th>
<th>Must Not</th>
<th>Will Not</th>
<th>Might Not</th>
<th>Would Not</th>
<th>Should Not</th>
<th>Can Not</th>
<th>Shall Not</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>1980-1989</td>
<td>12</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
<td>1</td>
<td>108</td>
<td>123</td>
</tr>
<tr>
<td>1990-1999</td>
<td>14</td>
<td>4</td>
<td>0</td>
<td>0</td>
<td>4</td>
<td>0</td>
<td>176</td>
<td>198</td>
</tr>
<tr>
<td>2001-2010</td>
<td>1</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>2</td>
<td>0</td>
<td>198</td>
<td>202</td>
</tr>
</tbody>
</table>

Likewise, all of the three different corpora were processed respectively for the number of hits of the negation forms of modal auxiliaries, and the above preliminary numbers are presented in tables for further comparison and analysis.

Result Analysis and Discussion

Result Analysis

In Table 1, all the diachronic variations are clear. Concerning the number of hits of *must*, in the time period from 1980 to 1989, the number of hits was 349, in the time period from 1990 to 1999, the number of hits was 104, which is about one third of the number of the last decade, and then during the new millennium (2001 - 2010), the number of hits was 38, which is approximately one tenth of the number of the 1980s. In other words, the diachronic variation of the use of modal *must* is in evident decline. *Will* also has gone through some variations. In the time period from 1980 to 1989, the number of hits was 28, then increased to 47 in the next decade, and in the time period from 2001 to 2010, the number of hits decreased to 21, which is approximately the same number as the 1980s, so it’s clear that the variation of the use of *will* has gone through some slight fluctuations.

The number of hits of *might* remained almost the same during the three decades, and all of the numbers are very small, 2 in the first decade, and 1 in each of following decades. Concerning *would*, the number of hits was 0 in the first decade, then it increased to 19 in the time period from 1990 to 1999; there is also fluctuation during the three decades. The number of hits of *should* in the first decade was 34, then it increased to 160 in the next decade, but in the last decade, it decreased to 75, demonstrating that fluctuation also occurred. In the first decade, the number of hits of *can* was 17, in the next decade, the number of hits increased to 32, but in the last decade, it decreased to 30; fluctuation occurred in the variation of the use of *can*, too. The number of hits of the modal *shall* is very intriguing, because *shall* is the most frequently used modal auxiliary among the 7 listed modal auxiliaries. In the first decade, the number of hits of *shall* was 2619, in the next decade, the number of hits decreased to 2235, but in the time period from 2001 to 2010, the number of hits increased to 2922, which was even higher than that of the first decade.
There seems to be some laws governing the diachronic variation of the use of modal auxiliaries, for instance, the tendencies of the variation of will, would, should and can are almost the same, because all the tendencies have gone through fluctuations. To be exact, there is some increase from the first decade to the second decade, then there is some decrease from the second decade to the third decade. The variation of might stays almost the same, but the variation of must declines through the three decades. The variation of shall is contrary to the variation of will, would, should and can; it has gone through a decrease from the first decade to the second decade, then an increase from the second decade to the third decade. From the perspective of total number of hits, in the first decade, it was 3049, but then it decreased to 2598, however, in the third decade, the number of hits increased to 3090, which is almost the same as that of the first decade.

In Table 2, all of the modal auxiliaries are in negation forms, and all of the numbers are much simpler. Concerning must not, the number of hits was 12 in the time period from 1980 to 1989, in the next decade, the number of hits increased to 14, but in the time period from 2001 to 2010, the number of hits dropped to 1. The number of hits of will not was 1 in the first decade, then it increased to 4 in the next decade, and in the last decade, the number of hits dropped to 1. Concerning might not and would not, the number of hits was 0. In other words, all of the legislative texts in the past three decades have not used might not or would not at all.

About should not, the number of hits was 1 in the first decade, then it increased to 4 in the next decade, but finally, it dropped to 2. The number of hits of can not in the first decade was 1, and in the next two decades, there were no hits. Shall not was the most special among the negation forms of the 7 modal auxiliaries, because it had the largest number of hits. In the time period from 1980 to 1989, the number of hits was 108, in the next decade it increased to 176, and in the third decade, the number of hits increased to 198. From the perspective of total number of hits, in the first decade, it was 123, in the second decade, it increased to 198, and in the third decade, the number of hits increased to 202.

Discussion
This paper probes into the variation of the use of modal auxiliaries from a chronological perspective, and the whole research is based on Chinese legislative texts, which contributes to uncovering the secrets of modal auxiliaries which lie in Chinese legislative texts. This paper reveals many variation tendencies of modal auxiliaries in Chinese legal settings, which not only fills the gap of a diachronic research into modality in Chinese legal settings, but also will surely be beneficial to law enactment and linguistic study.

However, this paper is just a tentative study of the diachronic variation of the use of modal auxiliaries in Chinese legislative texts, there are some limitations in the paper, and all of the limitations will be listed in this part for critique.

First of all, in the corpora compilation process, there were word count discrepancies in the three different corpora. Although the discrepancy was very small compared to the corpora, this might affect the number of hits of different modal auxiliaries and their corresponding negation form. In addition, although the total word count in every corpus was almost the same, the number of laws was quite different, and laws types were not very evenly distributed.

Second, some of the modal auxiliaries’ modality types were not well classified, because the modality types of will, would, should, and can may change depending on different contexts. As a consequence, some analysis and assumptions may not be quite valid and reliable, which undermines the authority of this paper.
Conclusion

From the diachronic variation of the use of modal auxiliaries in Table 1, several conclusions can be made. First of all, modal auxiliaries like will, would, should, and can have almost the same variation tendency, the frequency of the use of modal auxiliaries rises from the first decade to the second decade, and then drops from the second decade to the third decade. However, the problem is the modality type of will, would, should, and can are not certain, because their meanings change depending on different contexts, so consequently, their modality types also changes. According to Palmer, “The function of epistemic modals is to make judgments about the possibility, etc., that something is or is not the case. Epistemic modality is, that is to say, the modality of propositions, in the strict sense of the term, rather than of actions, states, events, etc.” (Palmer, 1990). Moreover, “It proves quite easy to establish deontic possibility, marked by MAY and CAN; in particular, the occurrence or potential occurrence of MAY will usually distinguish this kind of modality from the other non-epistemic kinds. Deontic necessity, however, is more problematic. The verb involved is MUST, but there is no clear line between its uses for deontic and neutral dynamic necessity” (Palmer, 1990). Therefore, it’s quite difficult to say whether will, would, should, and can belong to epistemic modals or deontic modals, let alone to judge the variation tendencies.

However, it’s relatively easy to classify the modality types of must and shall. Most of must, if not all, in all of the three corpora, carries epistemic necessity, which makes it an epistemic modal. The frequency of the use of must has gone through continuous decline during the three decades, so it’s clear that in Chinese legislative texts, the use of epistemic modal auxiliaries is dropping. The frequency of the use of deontic modal auxiliary shall has gone through fluctuations, from the first decade to the second decade, the frequency is on decline, but from the second decade to the third decade, the frequency of the use of shall increases. The total use of all types of modal auxiliaries has gone through fluctuations, which means a decline from the first decade to the second decade, then an increase from the second decade to the third decade. The above conclusions are some assumptions based on Table 1 and its data.

From the diachronic variation of the use of the negation forms of modal auxiliaries in Table 2, several different assumptions can be made. First of all, all of the negation forms were not as frequently used as their original forms. Specifically speaking, might not and would not were not used in the three corpora at all; will not, should not and can not were only used a few times, the number of hits was so small that almost no variation can be seen. Concerning must not, in the first two decades, the frequency remained nearly stable, but in the first decade of the new millennium, it declined sharply, which means there was a sharp drop in the use of the negation form of the epistemic modal auxiliary. However, concerning the use of shall not, there was a continuous increase in the three decades, which means the use of the negation form of the deontic modality is increasing through the three decades. All of the above conclusions are based on the three corpora and their corresponding data.

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References

Interrogative Words in Zhuang Folk Tales: A Corpus-Driven Study

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[Abstract] This paper investigates Zhuang interrogative words (IWs) driven by a corpus of Modern Zhuang based on two collections of folk tales with over 44,518 words. After-all the sentences with a question mark were retrieved, 18 IWs were identified in the corpus, 4 interrogative roots were identified as well, with “lawz” and “maz” being most productive and covering a wide range of semantic categories. “Maz” are more capable of expressing interrogation independently. Statistics shows that, “maz” and “lawz” both in sub-corpus Wuming and sub-corpus Ningming; however, “baeq” and “geij” were not found in sub-corpus Ningming, which reveals the heterogeneity of regional dialects.

[Keywords] interrogative words, Modern Zhuang, corpus driven

Introduction

Interrogative words for asking content questions arouse some researcher’s interest. In the World Atlas of Languages (wals.info), there is only one feature investigated on interrogative questions, and that feature is about the syntactic position of interrogative expressions (Dryer, 2005). Since Greenberg’s observation on interrogatives in his general rules (1963), many works have been published (Givón, 1984; Lindström, 1995; Ultan, 1978, Heine, Claudi, & Hünnemeyer, 1991). In the study of the cross-linguistic diversity of interrogative words (Cysouw, 2004), interrogative words have been categorized into three groups – major, minor and incidental – and there is a probe of possible origins of different semantic categories. Focusing on the relations among the members of the set of interrogative forms found in 50 languages within the Theory of Functional Discourse Grammar, J. Lachlan Mackenzie establishes the plausibility of an interrogative semantic hierarchy (2009, pp. 1131-1163).

The previous studies on interrogatives, however, have been qualitative, and many have been based on isolated examples. In this paper, we intend to scrutinize the Modern Standard Zhuang (hereafter MSZ) belonging to the Kam-Kadai family. Zhuang used to have their own ‘square characters’ – the Old Zhuang Script, a system which may belong to the earliest Tai writing system (Holm, 2008). It is now an ethnic language of the second largest population in China. Zhuang consists of two major parts of dialects, Northern Zhuang (N. Zhuang) and Southern Zhuang (S. Zhuang), which follow the same rules of word-formation with distinctive differences in pronunciation and 30% different vocabulary. Based on their distinction in pronunciation and vocabulary, the Zhuang community can be further divided into 12 dialectal areas (Ni, 2010). Nonetheless, N. Zhuang is considered one of the officially recognized minority languages (Lu & Li, 2012, Gerner, 2010, pp. 267-337).

Zhuang is considered as a language in which interrogative phrases occur in the same position as corresponding non-interrogative phrases (Dryer, 2005). Most of the studies on Zhuang published so far are fieldwork reports or introspective syntactic analysis. As to the Zhuang interrogative pronouns, they have been simply mentioned in some general introductory works (e.g. General Introduction of Zhuang) (Qin & Wei, 2006, Luo, 2008), or in a few special researches on Zhuang interrogatives (Ye, 2014, pp. 266-268; Wei, 2011; Nong, 2013), which summarize all the interrogative pronouns in their town in seven categories: people, object, time, location, quantity, reason, quality, state and function of affairs, analyzing the function,
meaning, and morphology of some selected interrogative words. One study focused on the pronouns in the Liutang Zhuang sub-dialect (Lan, 2011), summarizing usages of doubt and non-doubt in Zhuang interrogative pronouns.

Previous studies on the Zhuang interrogative pronoun list have made a preliminary classification based on limited empirical data. None of them were able to conduct either a quantitative research, or a thorough analysis and comparison within the Zhuang interrogative pronoun paradigm. Our method is corpus-driven, comparing the interrogative words between a collection of folk tales in Wuming and a series of stories in Ningming, exploring the following two questions:

1. What are the Zhuang interrogative words, and are there transparent roots in Zhuang folk tales?
2. What are the differences and similarities in distribution of interrogative words in Wuming and Ningming?

The following paper first illustrates the method of our study, then reports the results and discusses the phenomena of the Zhuang interrogative words. The conclusion and our plan for future work is given in the final section.

Methodology

Data

This study first aims to build a Zhuang corpus, converting two collections of Zhuang folk tales, *At Grandfather’s Knee – Zhuang Folk Tales from Wuming*, and *The Stories of Huashan* into machine-readable transcriptions. After compiling the written stories and turning them into electronic forms, we developed a Zhuang corpus of 44,518 words, which is divided into two sub-corpora based on the two collections – sub-corpus Wuming and sub-corpus Ningming, respectively. Materials in this Zhuang corpus are comparatively reliable, for the above materials have been studied by other researches (Guo, 2012).

*At Grandfather’s Knee – Zhuang Folk Tales from Wuming* consists of 36 fairy tales and oral tale stories, which were edited by the joint efforts of Dr. Margaret Milliken and the Guangxi Language Commission. They recorded the Wuming folk stories with the oral tales by elders and 36 oral tales were collected in this book. The collection was published in three languages: Zhuang, Chinese, and English, employing colloquial and straightforward language. Wuming Zhuang belongs to the Yongbei dialect, N. Zhuang.

*The Stories of Huashan* was compiled by Hongbo in 1985, published by the Guangxi Folk Literature Research Institute. Altogether, there were 15 stories are collected. Huashan is a cliff with a number of mysterious frescos located in Ningming County. Ningming Zhuang belongs to the Zoujiang dialect, S. Zhuang.

Data Processing

Data are processed according to the following scheme:

1. Input and save the data (written in/transcribed to standard Zhuang orthography) in separate files in plain text format (.txt);
2. Retrieve all the sentences with a question mark using a corpus manager;
3. Identify and analyze all the substantive questions with an IW;
4. Word tokens are recognized as strings between spaces;
5. Annotate the IW tokens with their morphological features: word/phrase; interrogative root, status of the root.
6. Annotate the IWs with their semantic categories: space (where), time (when), person (who), selection (which), quantity (how much/many), reason (why), manner (how to), and state-of-affairs (how)

The corpus analysis toolkit ANTCONC 3.2.4 (Anthony, 2004) is employed for concordancing and text analysis. Then EXCEL 2010 is used for annotating retrieved IP tokens in their contexts. Normalized frequencies (NF) are calculated per 1000 words in related (sub)corpus this study for comparison. That is, \( \text{NF} = \frac{\text{fsum}}{\text{ttlw}} \times 1000 \).

**Results**

**Overall Distribution**

The overall frequency distribution of these IWs is shown in Figure 1 with descending frequencies in the whole corpus. Eighteen (18) types of IWs have been retrieved. \( \text{Baenzlawz} \) is the highest normalized frequently-used interrogative word (0.72), and \( \text{baeqguh} \) has the lowest standard frequency among the two collections of Zhuang stories. Statistics show that the following 5 interrogative words, \( \text{baenzlawz} \) `how to’, \( \text{bouxlawz} \) `who’, \( \text{gijmaz} \) `what’, \( \text{ngoenzmaz} \) `when’, and \( \text{vihmaz} \) `why’ exist in both the sub-corpus Wuming and sub-corpus Ningming.

**Distribution of Four Interrogative roots**

In general, there were more IW types in the sub-corpus Wuming than in the sub-corpus Ningming. Data also revealed that there were 4 roots of Zhuang interrogative words, \( \text{baeq} \), \( \text{geij} \), \( \text{lawz} \), and \( \text{maz} \). Data shows that these 4 roots can both function as morpheme combinations with another morpheme becoming an interrogative word. \( \text{Beaq} \) and \( \text{geij} \) cannot be retrieved in the sub-corpus Ningming, and \( \text{lawz} \) has with greatest ability of forming interrogative words, which can build 8 IWs in the sub-corpus Wuming, and 7 IWs in the sub-corpus Ningming. The frequency distribution of the 4 roots in the Zhuang corpus are reported in Figure 1, a, b, c, and d.
Discussion

Possible Semantic Changes

Eighteen (18) IWs were identified from the Zhuang corpus. Some of the IWs covered several semantic categories. For instance, followed by a verb, baenzlawz can ask ‘why’, and ‘how to’. When forming a phrase with yiengh ‘state, appearance’, baenzlawz yiengh can interrogate ‘how’. Baenzlawz had a 0.72 normalized frequency which proves that it is used more often than other IWs in Zhuang folk tales; this might explain why this IW can cover more semantic categories. There were only 2 cases of baeqyiengh in Wuming folk tales, but in different word order, as shown in (1) and (2). When used before the predicate verb, baeqyiengh means HOW.TO in the contexts; when used after the predicate verb, baeqyiengh means WHAT in the context.

(1) Baeqyiengh +Verb (=HOW.TO)
   Beizyez , dux de baeqyiengh dik ne ?
   ‘Brother-in-law, how did his horse kick?’

(2) Verb + Baeqyiengh (=WHAT)
   Dwg gangi baeqyiengh de , beixyez ?
   is talk. About what.state that , brother-in-law ?
   ‘Brother-in-law, what did that (bird) talk about?’

In addition, guhlawz can ask ‘why’ and ‘how to’, while guhmaz can ask ‘what’ and ‘why’. Data and examples prove that some of the IWs in Zhuang folk tales are comparatively flexible, developing more semantic usages, and showing some grammatical features.

Four Interrogative Roots

Four roots were found, and all of them are transparent. Among them, lawz, maz, baeq and geij, the first two roots are more capable to form IWs in Zhuang, and more active compared with the last two. Furthermore, the four interrogative roots have strong capacity to form transparent compound IWs; lawz and maz are in the ‘X+R (root)’ scheme. For instance, baenz.lawz=become + what=how, boux.lawz= people-CLF + which= who, gij.maz=indefinite-CLF + what= what, and vih.maz=do for + what= what, etc. In addition, baeq and geij are in the ‘R+X’ scheme, which can be exemplified in baeq. yiengh=how + state=how to,
geij.lai=several + how many= how many/much. Statistics and examples shows that the roots lawz and maz, suggesting the scheme ‘X+R’, develop both in the sub-corpus Wuming and the sub-corpus Ningming. However, baeq and geij were not found sub-corpus Ningming; that is to say, the scheme ‘R+X’ cannot be retrieved from the Zoujiang dialect, S. Zhuang.

Both in terms of type and token, lawz is the most important interrogative morpheme in Zhuang, which can be used to form eight IWs recognized so far. The four IWs, baenzlawz ‘how to’, bouxlawz ‘who’, ngoenzlawz ‘when’, and seizlawz ‘when’ were both found in the two sub-corpora. There were 3 IWs, baenzlawz ‘why’ and ‘how’, and giglawz ‘where’ that appeared only in sub-corpus Ningming. Meanwhile, the other three IWs, guhlawz ‘how to’ and ‘why’, mwnglawz ‘where’, and yienglawz ‘how to’ exist solely in the sub-corpus Wuming. The difference might be due to the heterogeneity of this Zhuang corpus. The data varied in geographic location, speakers and authors. That is, the materials were probably affected by those from different Zhuang dialect areas.

Maz is reported to be collocating with a greater set of verbs to form compounds like guh.maz=do + what=what, or vih.maz=do for + what=what, as compared with lawz, baeq or geij, and one of the examples as in (3).

(3) Guhmaz (WHAT)

\[
\text{Daiq lelex} \quad \text{mwngz guh guhmaz} \quad \text{da} \quad \text{daxcej} \quad ?
\]

\[
\text{peck onomatope, you do do. what PART, elder sister}
\]

‘Peck, peck, peck, what are you doing, elder sister?’

It is worth noticing that Maz can also realize the interrogative function without depending on other words of interrogative meaning. Eleven (11) separate forms were found in this Zhuang corpus; for instance, aeu.maz= get.maz=what, miz.maz=have.maz=what, and diuz.maz=strip.maz=what, as in (4). Maz expressed interrogatory functions independently more often than expressing interrogatory functions with other interrogative words, which might suggest maz are developing into a more independent and flexible stage.

(4) Classifier + maz (WHAT)

\[
\text{Daiq, baenz diuz neix dwg diuz maz da ?}
\]

\[
\text{grandma, then strip-CLF this is strip-CLF what PART ?}
\]

‘Grandma, what is this strip (then)?’

Geij itself occupies the quantity semantic in this corpus. According to previous literature, geij can inquire of quantity, usually expecting an answer with a concrete number smaller than ten (Luo, 2008). However, in the Zhuang corpus, it can be bound with the suffix lai (much/many) to form the compound geijlai, collocations with various nouns or classifier, which can also collocate with a verb, as in (5). Since geij is the only root can ask for quantity, and geijlai cannot be retrieved in sub-corpus Ningming, which might indicate that some other IWs can interrogate quantity in Zoujiang dialect, S. Zhuang.

(5) Geijlai (HOW MUCH/HOW MANY)

\[
\text{Haeux mwngz cix aeu geijlai ?}
\]

\[
\text{rice 2SG then get how much}
\]

‘Then, how much rice do you want to get?’

There were altogether nine cases of baeq used as a free morpheme in substantive questions in our corpus, all restricted from the Wuming folk stories. Baeq was followed by a verb in all cases, most of which obviously ask for manner, as in (6).
(6) Modal/Tense+ Baeq +Verb (=HOW.TO)

\[ Mwngz \ caeg \ mbwn \ mwnz \ ij \ baeq \ guhcaeg \ ye \ ? \]

‘You said you want to steal the sky, but how to steal?’

While seven cases of baeq can be analyzed as ‘how’, there were two other cases, one of them as in (7) appeared quite similar to those analyzed, as asking for a reason in the literature (9). Notice that (8) is a case where baeq was used with an adjectival predicate:

(7) Baeq +Verb (=HOW.TO/WHY)

\[ Nwi \ gou \ caiq \ gaeu \ ndaej \ duz \ he \ , \]

‘En, I catch one again. How can/why you say it does not exist?’

(8) Baeq +Adj (=WHY)

\[ Mwngz \ baeq \ baenz \ biz \ la \ ? \]

‘Why are you so fat?’ (Wei, 2011)

(9) Baeq+ Verb (=WHY)

\[ Qyoengqsou \ baeq \ gwn \ ndaej \ baenz \ vaih \ ? \]

‘Why did you eat so fast?’ (Wei, 2011)

When used as a bound morpheme, baeq were found in two compounds, namely, baeqguh and baeqviengh. Interestingly, baeqguh seems to be grammaticalized as it was followed by a repeating guh in the only two cases retrieved in our corpus, as in (10). Corpus data show that its corresponding phrasal collocation baeqguh is frequently followed by a second verb, as in, or with certain modality as in (11).

(10) Baeqguh+guh

\[ Baeqguh \ guh \ ni \ ? \]

‘How to do?’

(11) Modal/Tense+ Baeqguh (= HOW)

\[ Mij \ mij \ lwg \ ciengx \ , \ ij \ baeq \ guh \ ne \ ? \]

‘(I) don’t have child to bring up, modality-ASP how do INTERJ?’

To sum up, baeq as an interrogative morpheme covers the semantic of manner, reason and possibly what (by baeqviengh).

Some interrogative roots exist only in one particular literary form of materials in this corpus. One possible explanation is that the above four interrogative words are distinctive in Wuming Zhuang and others are in Ningming Zhuang, and can be recognized as a characteristic of oral Wuming Zhuang and Ningming Zhuang. Since the speakers of the two collection of stories are elders, this data might suggest that these four interrogative roots are rather early expressions.

**Conclusion**

This paper reports a corpus-driven exploration of Zhuang IWs, focusing mainly on the interrogative roots and their distribution. Through comparison of the usage of all the interrogative words in a Zhuang corpus based on Zhuang folk tales, 18 interrogative words (IW) were eventually recognized, as well as 4 transparent interrogative roots (baeq, geij, lawz, and maz) used with verbs, nouns, adjectives, and classifiers, following two compounding schemes ‘X+R’ and ‘R+X’. In terms of similarities of distribution,
data showed that baenzlawz ‘how to’, bouxlawz ‘who’, ngoenzlawz ‘when’, seizlawz ‘when’, gijmaz ‘what’, and vihmaz ‘why’ could be found in both of the sub-corpora, Wuming and Ningming. The differences of distribution could be seen from the IWs with roots ‘baeq or geij’, and guhlawz ‘how to’ and ‘why’, mwnqlawz ‘where’, yienghlawz ‘how to’, guhmaz ‘what’, and ngoenzmaz ‘when’, which could solely be retrieved in the sub-corpus of Wuming. However, baenzlawz ‘why’ and ‘how’, and gizlawz ‘where’ could only be retrieved in the sub-corpus Ningming.

This corpus-driven study is of methodological significance, as this is a quantitative study on Zhuang, even in a micro-corpus. The heterogeneity of our corpus data has its merits. Our corpus allowed us to retrieve and analyze each and every token in discursive contexts, and place its usage against a broader picture with frequency distributions and collocations. However, due to limited availability of material, we did not discuss very much about the overall semantic map and language contact on the variation and change of the Zhuang interrogative paradigm. For future work, our corpus is in urgent need of development, and more Zhuang materials are needed to be collected from various ways, such as newspapers, magazines, forums, and books.

References
What is the Shanghai World Exposition about? A Transitivity Analysis of One-Sentence Slogans from the Five Theme Pavilions

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Abstract Linguists of Systematic Functional Grammar believe language primarily serves to scaffold the performance of social activities. This paper, therefore, explores what social performances are invoked in the language of the 2010 Shanghai World Exposition, as reflected in its one-sentence subordinate slogans from five themed pavilions. With Halliday’s transitivity model, this paper attempts to explicate how five sentences have paralleled and sublimed their core slogan – “Better City. Better Life”. As the transitivity model helps to indicate a system of wider social/cultural context and a projection of particular ideologies, this analysis, I believe, will foster a better understanding of cosmopolitan cultures and the social and environmental concerns of today’s world. As a result, systematic functional linguistic investigation reveals that transitivity choices in the respective five slogans cumulatively realize the Shanghai Exposition’s particular city-life theme, which reflects an ideology that the Shanghai World Exposition is a platform to rethink the human-nature relationship.

Keywords Halliday; transitivity analysis; 2010 Shanghai World Exposition; theme pavilion slogans; human-nature relationship

Introduction
Exposition slogans, functioning to reveal information and ideologies, are an integral part for world expositions of any kind. Over two decades, the exposition slogan has been argued as an important value creator and should, therefore, be assigned a top priority in designing any world exhibition pavilions or booths. According to ECC (Expo Coordination Center, Shanghai, China), since the 1939 New York exhibition, World Expos have showcased their meanings increasingly based on a specific slogan in particular cultural significance. ‘Building the World of Tomorrow’ [New York, 1939] (Cosgrove, 2014), ‘Peace through Understanding’ [New York, 1964] (Wikipedia, 2016) and ‘Man and His World’ [Montreal, 1967] (Wikipedia, 2016) are good examples of this. This indicates that the written-slogan became part of the world exposition tradition. While I worked as a Shanghai Expo volunteer, an essay entitled, “The Slogan Makes the Expo” attracted my attention and it suggested the social constructive meanings of slogans, as follows:

How much the slogan can resonate with the Expo participants and the public can make or sabotage the Expo. A successful Expo must have a slogan as its foundation whose treatment is a priority for the whole of the international community. This is why the BIE (Bureau of International Expositions), an intergovernmental organization in charge of supervising and ensuring the quality of Expos, places great emphasis on the theme selection and theme development. (recorded by the author, July 2010)

Though this World Expo slogan speech remains elusive, we could still ascertain to some extent that a slogan which reflects the theme of the Expo is the soul of the world expositions of any kind. Bearing the motif of the city, Shanghai World Expo Slogans can be interpreted as the greatest meta-narratives in our urbanization age. Also, the Shanghai World Expo attracted the most visitors from home and abroad ever
in world exposition history. Regarding its motif, one-sentence slogans in five theme pavilions, which coordinated along with its main core slogan – Better City, Better Life, were made to realize the enchanting signification of the city. The official explanation of the 2010 World Expo slogan stated, “it represents the common wish of the whole humankind for a better living in future urban environment; a central concern of the international community for future policy making, urban strategies and sustainable development” (People, 2009). However, this empty grand narrative seems too far away from telling what this slogan is about and how the city-related themes can realize its function as an embodiment of the whole humankind’s vision on the city. Thus, in order to fully explicate its meanings, a series of sub-/co-slogans were created to underscore the importance of the main slogan for the success of the 2010 Shanghai World Expo. The Shanghai Expo actually designed dedicated slogans in leveled forms as follows:

Figure 1. Hierarchical Classification of Pavilion Slogans in the 2010 Shanghai World Expo

On the exposition site, the slogans are expressed on theme-based pavilions which not only reveal themselves in written language but in multi-modal discourses also. In addition, the above figure indicates that with a perspective on hierarchical slogans, the pavilion will help us better understand messages from the city-centered 2010 Shanghai Expo topics and let us know how pavilions with slogans will foster a differentiated dialogue among each other. However, for the public, the slogan of ‘Better City, Better Life’ pops up in my interviews of asking what theme the visitors get from the 2010 Expo. According to my incomplete on-line survey from 100 college students, only 3% could tell they once heard of the sub-slogans from the 2010 Expo website or the Expo park campaign advertisement. People seldom mention other slogans from the five themed pavilions or the other pavilions, let alone their themes. Also, one-sentence slogans themselves from the five themed pavilions do not yet self-speak their connotative meanings. Therefore, to make the hardly known slogans distinct and understandable, this paper will concentrate on analyzing the five one-sentence slogans from the five themed pavilions, namely, Urbanian, City Being, Urban Planet, Footprint and Future. The themed pavilions are generally acknowledged to be theme-interpreting and they tell the most of the Exposition meanings. Each pavilion has one sub/co-slogans under the core theme ‘Better City, Better Life’. This author will examine them from the perspective of systemic-functional grammar, centering on transitivity analysis.
The following sections will separately address three issues: First, a literature review is presented for an overview of the theoretical knowledge for transitivity analysis. Second, the author conducts a transitivity analysis of five one-sentence slogans for the five themed pavilions. Third, implications are concluded upon based upon the transitivity analysis.

**Literature Review**

The grammatical system of transitivity (Halliday, 1985/1994) forms part of Halliday’s comprehensive theory of *Systemic Functional Grammar* (hereinafter SFG). Within Hallidayan functional grammar, there are three main meta-functions of the language: interpersonal, textual and ideational. They correspond to three broad purposes which are recognized to underlie language use and are each realized by certain aspects of the grammar of the clause. Briefly, Thompson believes Halliday’s reference to ideational meta-function is concerned with “the ways in which speakers choose to represent the world” through their language (Thompson, 2004, p. 86). Also Halliday pointed out that this meta-function comprises two sub-functions: the experiential and the logical. Whereas, the former is predominately concerned with the meaning expressed in individual clauses, the latter relates to the way connections are made between clauses (Thompson, 2004, p. 86). To understand the ideology behind the Shanghai world exposition, this paper only focuses on transitivity analysis of the experiential sub-function, which is the most relevant to this research’s aim.

According to Halliday, the world is experienced as “a flow of events, or [a series of] ‘goings-on’” (Halliday & Matthiessen, 2004, p. 170). Therefore, speakers represent the world as such in the grammar of their speech: a flow of events is broken down by the grammar into individual clauses of “happening, doing, sensing, saying, being or having” (Halliday and Matthiessen, 2004, p. 170). Each clause consists of the following components: a process that occurs, the participants involved in this process and (in some cases) the circumstances surrounding it. The main grammatical system by which this experiential meaning is realized is that of *Transitivity*. A fundamental assumption of SFG is that each of the three meta-functions consists of system networks of available choices. Therefore, in terms of the experiential component, the speaker chooses, either consciously or unconsciously, how to express each clause in terms of what process type to use, how to present the participants and whether to mention any circumstances.

According to Halliday’s transitivity system, there are three main process types realized by the clause in English: material, mental and relational (Halliday & Matthiessen, 2004). First, material processes are processes “of doing” or “of action” (Eggins, 1994, p. 230), which involve an *Actor* (the person/entity who “does the action”) and sometimes also a *Goal* (“the participant at whom the process is directed or to whom the process is extended”). When a *Goal* is involved, the material process may be creative, that is, bring a *Goal* into existence or transformative, whereby the process is “done to” a pre-existing *Goal*. Second, mental processes characterize these processes that occur internally, “in the world of consciousness” (Halliday & Matthiessen, 2004, p. 170). The participants associated with this process are the *Senser*, the conscious being in whose mind the process takes place, and the *Phenomenon*, that which is “sensed” or “thought”. Finally, relational processes describe the way relationships are set up between concepts. They form two subcategories: *attributive* and *identifying*. The attributive type is used to ascribe qualities (or possessions), thus the participants are the *Attribute*, that which is ascribed to the entity, and the *Carrier*, the entity which “carries” the attribute (Thompson, 2004, p. 96). In identifying variety, the method of categorizing the participants that is used in this research is a *Token*, a specific instance and
Value, a general category, since “the function of this kind of process is to identify one entity in terms of another” (Thompson, 2004, p. 98).

In addition to three main processes, a further three subsidiary categories are recognized in the grammar as being intermediate between two of the main process types. Of these, the category that is most relevant to the present study is verbal processes, which are concerned with “saying” and “conveying messages”. The central participant in a verbal process is the Sayer, that is, the entity that conveys the message (Thompson, 2004, p. 99). In addition, there are three other participants that may appear: the Receiver, “the participant at whom the saying is addressed”, the Target, the participant to whom the saying is directed and the Verbiage, a summary of the message (Thompson, 2004, p. 101). One key feature of verbal processes is their ability to project, i.e. where the message is expressed in a reported clause. The two other subsidiary processes are: behavioral processes, which represent processes that are “intermediate between mental and material” because they describe “typically human physiological processes” that seem to involve external evidence of internal processes (Thompson, 2004, p. 103); and existential processes, which represents only that something exists. Unlike in relational or material processes, the participant in an existential process is not represented as being involved in any kind of “going on” (Thompson, 2004, p. 105). Besides those participants, described above, that are linked to particular process types, the transitivity system also recognizes two participants that can appear in connection with a variety of process types: the Beneficiary and the Range. The Beneficiary is one that “benefits from the performance of the process” (Halliday & Matthiessen, 2004, p. 191) and consists of two subcategories: the Recipient, i.e. the participant that receives “goods” and the Client, i.e. the participant that “services are done for”. Finally, in “causative” clauses, whereby one participant is represented as “causing” a process, the “causer” is analyzed in one of three ways, depending on the type of process that is caused: as the Attributor, when the caused process is relational, attributive, Assigner, when the caused process is relational, identifying and Initiator, in all other types of “caused” processes. Altogether, the processes and their related participants form the “experiential centre of the clause” (Halliday & Matthiessen, 2004, p. 176). However, sometimes, regardless of the process type, a clause may also contain one or more “peripheral” elements linked to the process, known as circumstances. These are realized by circumstantial adjuncts and serve to provide additional information about a process such as how, when, why or where it takes place.

Transitivity Analysis and Discussion

The five one-sentence slogans are as following: “Humanity in symbiosis with city and planet (theme of the Pavilion of Urban Planet); The city, like a living being, needs the protection of humanity to remain healthy (theme of the Pavilion of City Being); Overall human development is a prerequisite for sustainable development of cities (theme of the Urbanian Pavilion); Footprints left as a result of people's interaction with cities and the environment (theme of the Pavilion of Footprint); Dream inspires the future of cities (theme of the Pavilion of Future)”.

As above, all five one-sentence slogans in a simple state consist of single clauses. To begin with, this author should identify each clause by first labeling each of its parts. Second, the author will analyze the levels of transitivity. Both of these two steps are conducted in brackets of figure forms. Then, functional slots and fillers are discussed in the subsequent analysis.
Table 1. Labels and Relational Process in the Theme of the Pavilion of Urban Planet

<table>
<thead>
<tr>
<th>Nominal group</th>
<th>Relational Phrase</th>
</tr>
</thead>
<tbody>
<tr>
<td>Humanity</td>
<td>in symbiosis</td>
</tr>
<tr>
<td>Nominal group</td>
<td>Propositional phrase</td>
</tr>
</tbody>
</table>

Transitivity analysis appears of no use here, for the above slogan failed to fulfill the role as a clause. To be specific in systemic-functional terms, it is a noun with two embeddings – a main embedding and a sub-embedding. In other words, it is not a clause in a strict sense but an embedded clause that could also be analyzed. Therefore, in this transitivity theme analysis, the author ignored the detailed process analysis and turned to focus on a brief discussion of the experiential meaning in itself. This means that the noun embedded with propositional phrases in linear way, as we have perceived, can show several levels of meaning within itself: 1) The whole group is potentially an existential process, in which the sentence can be transferred as there is a symbiosis relationship between humanity and cities (or the planet). 2) Two participants with their experiential denotative meaning are combined together with the possible rewording word-symbiosis. In a word, humanity, as well as cities and the planet, should co-exist. Consequently, altogether the built-in or compact phrase is in essence a relational process clause in its experiential meaning realization.

Table 2. Labels, and Mental and Relational Process of Desideration in the Theme of the Pavilion of City Being

<table>
<thead>
<tr>
<th>The city,</th>
<th>like a living being,</th>
<th>needs</th>
<th>the protection</th>
<th>of humanity</th>
<th>to remain healthy.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nominal group</td>
<td>Propositional phrase</td>
<td>Verbal group</td>
<td>Nominal group</td>
<td>Propositional phrase</td>
<td>Propositional phrase</td>
</tr>
<tr>
<td>Sensor</td>
<td>Pro: mental, desideration</td>
<td>Phenomenon</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

With the word “need” as predicator, it is quite clear that this pattern is a mental process under the sub-category of desideration. However, through its presentative meanings, the clause bears a relational process between the city and the humanity. In terms of the desiderate process, first of all, it is distinct to identify the Subject role is filled by a non-human participant in whose justification as a sensor to trigger the process is the essential role of “city” as unparalleled theme in the 2010 Shanghai World Expo. Second, semantically speaking, the following diction like humanity has impersonated the innate humanistic “city” under the circumstances of considering the analogy between human being and cities. For both organisms need to stay healthy, they are ultimately in nature the same in this aspect. Therefore, in one word, the metaphorical expression is to carry out a relational and mental process in which the city is in active state where only care and love from human being’s can fulfill its basic demand for staying good state.

Table 3. Labels, Value and Token of the Relational Process in the Theme of the Urbanian Pavilion

<table>
<thead>
<tr>
<th>Overall human development</th>
<th>is</th>
<th>a prerequisite for sustainable development of cities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nominal group</td>
<td>Verbal group</td>
<td>Nominal group</td>
</tr>
<tr>
<td>Token</td>
<td>Pro: relational, identifying</td>
<td>Value</td>
</tr>
</tbody>
</table>

The structure in the above clause indicates that it is an embodiment of a value-token relational process. Essentially, a value or token analysis will often guide us towards the broader concerns of theme-maker. In this case, first, humanism is put forward in the front, which gives prominence to the frontal ordering of “human development”. The equate relation between city development and human development is separated with a prerequisite in the middle. That is to say, because the general term
“human development” as prerequisite (a logic device) has already been established, then an analogy is identified in term of its specific embodiment “city development”. However, in this case “sustainable development of cities” is also equated to the prerequisite by the “for” embedded propositional phrase. Thus, second, this author can confirm that this theme falls into relational clause that has unfolded a typical equative process. In essence, “human development” is down to earth and “the sustainable development” with a preconditioned logic order.

Table 4. Labels, and Material and Relational Process in the Theme of the Pavilion of Footprint

<table>
<thead>
<tr>
<th>Footprints</th>
<th>left</th>
<th>as a result of</th>
<th>people’s interaction</th>
<th>with cities and the environment.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nominal group</td>
<td>Verbal group</td>
<td>Nominal group</td>
<td>Propositional phrase</td>
<td></td>
</tr>
<tr>
<td>Goal</td>
<td>Pro: material; Intentional</td>
<td>Actor</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 5. Labels, and Behavioral and Relational Process in the Theme of the Pavilion of Future

<table>
<thead>
<tr>
<th>Dream</th>
<th>inspires</th>
<th>the future</th>
<th>of cities.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Nominal group</td>
<td>Verbal group</td>
<td>Nominal group</td>
<td>Propositional phrase</td>
</tr>
<tr>
<td>Behaver</td>
<td>Pro: behavioral</td>
<td>Range</td>
<td></td>
</tr>
</tbody>
</table>

The last slogan belongs to the behavioral process, which is a rather indistinct category in SFG. In this clause, it emphasizes the behavioral process in both mental and material aspects. The verb “inspires” indicates the inherently fuzzy and overlapping nature of the behavioral process. First, “Dream” in itself can’t perform actions or psychological thinking. However, “inspire” shows the initiation as well as the process of the dream’s conduction. Second, its target participant here is the future. In the terms of behavioral process, “the future of the cities” is the range. The lasting action that is performed by the dream brings about effect on the future with inspiration. Therefore, its experiential meaning is that the dreams which are the primary aspiration for the future of the cities. Without dreams, would the conditions or well-beings of cities be deteriorated or elevated? Yes, it all starts with the dreams.

Conclusion

The theme of the 2010 Shanghai Expo is now understandable from a systematic-functional perspective. Along with its sustainable urbanization slogan “Better City, Better Life”, all sub-slogans have been proved to provide a promising glimpse of the green cities of the future. All five sentences have an explicit or
implicit relational pattern. They all are concerned with cities and human beings. In the end, this paper’s transitivity analysis thus shows with the city word, all five slogans have clear schemes or structures, reaching to the future and the relationships between the city and the urban people. Humans and city relations are analyzed within the scheme of Halliday’s process construction, where five main processes are covered (i.e. existential process, mental process, relational process, material process, and behavioral process). On the whole, this kind of analysis considers linguistic form in terms of what it achieves in its cultural context and delays any assumptions about grammatical categories. However, meanings are more contextual and functional determined rather than syntactically shaped. In an era of environmental protection, urbanization is really about the balance between human and nature relations. This concern is enlarged within the 2010 Shanghai Expo context. With this conspicuous social context, potential meanings of harmonious co-existence between human beings and specific cities are gradually revealed under this grammatical-based systemic analysis.

References
The Emotional Expression of the Recitation of Milton's Sonnet XIX

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[Abstract] This paper explores the prosodic features of the recitation of Milton's Sonnet XIX. Three versions found on the Internet were analyzed and compared to see how they matched the textures and commonly-accepted interpretations of the sonnet. This paper shows that analyzing the prosodic features of recitations is an effective way to test to what extent the piece of literature is understood.

[Keywords] prosodic feature; emotional expression; recitation; Milton

Introduction
Milton began to lose his eyesight around 1646 when he was in his late thirties, and he was entirely blind in 1652 at the age of forty-four. “Sonnet XIX” was believed to be written shortly after his total blindness. Although Milton had received a range of medical procedures (Rogers, 2007), the treatments did not forestall the failure of his eyes. As a father and a husband, he could never witness the major changes in his family. These tragedies were all pounding and grinding the poet’s heart (Rogers, 2007). Being blind certainly complicated Milton’s life as a writer. Losing his ability to read and write hurt him deeply (Kelly, 2015).

Milton’s blindness became one of the most influential determinants for his later writings. We could absolutely notice the repeated mention of light (e.g. Paradise Lost, Samson Agonistes) after his total blindness to see what it meant to him (Rogers, 2007). Thus, a proper feeling for the representation of Milton’s own blindness was crucial to any real understanding of his later works, including “Sonnet XIX”.

While Milton’s blindness was certainly caused by physiological reasons, a typical interpretation by people in his time was that Milton was punished by God for his publication of Defense of the English People in 1651 (Rogers, 2007). In Defense of the English People, Milton justified for England the execution of King Charles I and the act of setting up a new government that supported the power of elected representatives. And then in 1652, Milton totally lost his eyesight. In response to this accusation, Milton declared in his Second Defense of the English People in 1654 that his blindness had nothing to do with God (Rogers, 2007).

In public, Milton appeared to be rather proud of being in this state. He believed it was noble to sacrifice his eyes for the liberty of his countrymen (Rogers, 2007). In his “Sonnet XXII”, Milton firmly cleared himself from the deprivation of light by God, instead, he said his eyes simply forgot how to see (Rogers, 2007). In private, he was “articulating here for the doctor the history of his loss of sight and the nature of his condition” in a letter that Milton wrote to his friend (Rogers, 2007). It seemed that Milton had always been eager to regain his sight. The contrast of these two attitudes towards his blindness makes it difficult to set a tone to the recitation of the sonnet. Shall we present the poet as angry, frustrated, and vulnerable, or firm, stern and proud?

In his Second Defense of the English People, Milton claimed, “It is not so wretched to be blind, as it is not to be capable of enduring blindness” (1654). And we see that Milton tried to overcome his hardship, to regain his sight. They did not conflict. The key of his struggling toward the public accusation lied not on the hardships being overcome, but on what the struggle means to the person struggling (Kelly,
And it is reasonable to analyze Milton’s attitude towards his blindness. We will see how the recitations matched the interpretations in this paper.

**Methods**

*The Structure of “Sonnet XIX”*

The longest sentence runs through all the eleven lines of the fourteen-line poem. It elaborates on a train of thought whose underlying structure is “When I consider my blindness… I ask a foolish question (Does God expect a blind poet to continue his work?)…but Patience replies that God does not depend on people’s work or gifts.” These three parts are separated by semicolons in the sonnet. Moreover, we could rearrange the text before the second semi-colon into “I fondly ask ‘Doth God exact day-labor, light denied?’ when I consider how my light is spent ere half my days in this dark and wide world and (how) that one talent, to hide which is death, (is) lodged with me useless, though my soul (is) more bent to serve therewith my Maker, and (to) present my true account, lest he, returning, (should) chide (me).” The analysis and justification of the recitations would depend on the above understanding of the structure.

*Materials and F0 Extraction*

Three available recitations of “Sonnet XIX” were downloaded from the Internet. For the convenience of description, the speakers were named R1, R2, and R3 in the following parts. All the speakers were male speakers. We depend on intonation to analyze emotions expressed. Intonation is defined as the combination of tonal features into larger structural units associated with the acoustic parameter of voice and its distinctive variations in the speech process (Botinis, et al., 2001). Pitch contour is the acoustic manifestation of intonation. Fundamental frequency (F0) is the physical parameter to describe this variation. F0 is also used to convey: 1) linguistic distinctions, such as tones in tone languages and lexical stress in stress languages; 2) prosodic features, such as break and prominence; and 3) paralinguistic features, such as the affective information denoted by the speaker. Typical features involved in the research of emotion with different backgrounds include, prosody features, such as pitch variables (level, range, contour, and jitter), and speaking rate. Until now, F0/pitch still plays the dominant role in the research of emotions in speech.

The sound files in wave format were extracted from the original recordings by Total Recorder directly through the sound board. The analysis is based mainly on global trend of F0 and is in a comparative nature, so this extraction could already meet the need of this analysis. The pitch was extracted by autocorrelation using the speech analysis software PRAAT (Boersma & Weenink, 1996). Errors, such as octave jumps and detection of periodicity in unvoiced speech segments, have been corrected manually.
Result and Discussion

Statistics of Three Recordings

Table 1. Length of the Recording (Duration), Pauses (Sil) and Pitch (Pitch) of R1, R2 and R3.

<table>
<thead>
<tr>
<th>Item</th>
<th>R1</th>
<th>R2</th>
<th>R3</th>
</tr>
</thead>
<tbody>
<tr>
<td>Duration (s)</td>
<td>46.226</td>
<td>45.454</td>
<td>56.012</td>
</tr>
<tr>
<td>Duration without Sil (s)</td>
<td>40.887</td>
<td>40.032</td>
<td>44.163</td>
</tr>
<tr>
<td>Number of Sil</td>
<td>19</td>
<td>15</td>
<td>24</td>
</tr>
<tr>
<td>Sil min (s)</td>
<td>0.110</td>
<td>0.071</td>
<td>0.141</td>
</tr>
<tr>
<td>Sil max (s)</td>
<td>0.804</td>
<td>1.45</td>
<td>1.066</td>
</tr>
<tr>
<td>Sil mean (s)</td>
<td>0.374</td>
<td>0.59</td>
<td>0.52</td>
</tr>
<tr>
<td>Pitch min (Hz)</td>
<td>68.79</td>
<td>55.46</td>
<td>36.28</td>
</tr>
<tr>
<td>Pitch max (Hz)</td>
<td>125.67</td>
<td>148.68</td>
<td>166.89</td>
</tr>
<tr>
<td>Pitch mean (Hz)</td>
<td>95.29</td>
<td>93.55</td>
<td>105.47</td>
</tr>
<tr>
<td>Pitch SD</td>
<td>10.56</td>
<td>13.74</td>
<td>20.67</td>
</tr>
</tbody>
</table>

Figure 1. Comparison of R1, R2 and R3 in the Aspect of Pitch Maximum, Minimum and Mean Value, and the Standard Deviation (SD) of Pitch Values.

The detailed data of the three recordings are listed in Table 1. “Sil” in the table is short for Silent Period. In most cases, a silent period is used to signal a break that indicates hierarchical structures. “Duration” is the length of the recording without the beginning and ending silent period. “Duration without Sil” further cuts out the silent periods, or pauses, in the recitation of the sonnet. It represents the effective length of the articulated time. “Number of Sil” suggests the times the speaker paused in the reading. “Sil” has its length and thus, minimum (min), maximum (max) and mean values are calculated. For pitch, the minimum (min), maximum (max) and mean values and the standard deviation (SD) are also calculated.

R3

R3 has the largest pitch range with the highest standard deviation, suggesting the wide range of the pitch contour. This always quickly attracts people’s attention. Figure 1 shows the comparison of pitch of R1, R2 and R3.
Table 2. “Pitch” and “Sil Length” at the Pauses. (Original line number of the sonnet is presented under the item “No.”. Each line under the “Text” column shows a unit between two pauses. “Pitch” means the pitch value at the end of text. “Sil Length” means the length of pause after the last word of the text.)

<table>
<thead>
<tr>
<th>No.</th>
<th>Text</th>
<th>Pitch(Hz)</th>
<th>Sil Length(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>When I consider how my light is spent</td>
<td>74.98</td>
<td>0.423</td>
</tr>
<tr>
<td>2</td>
<td>Ere half my days,</td>
<td>69.77</td>
<td>0.453</td>
</tr>
<tr>
<td>3</td>
<td>in this dark world and wide,</td>
<td>75.45</td>
<td>0.680</td>
</tr>
<tr>
<td>4</td>
<td>And that one talent which is death to hide Lodged with me useless,</td>
<td>68.56</td>
<td>0.581</td>
</tr>
<tr>
<td>5, 6</td>
<td>though my soul more bent To serve therewith my Maker,</td>
<td>39.74</td>
<td>0.355</td>
</tr>
<tr>
<td>5</td>
<td>and present My true account,</td>
<td>120.85</td>
<td>0.517</td>
</tr>
<tr>
<td>6</td>
<td>lest he returning chide;</td>
<td>92.48</td>
<td>0.273</td>
</tr>
<tr>
<td>7</td>
<td>“Doth God exact day-labor,</td>
<td>136.10</td>
<td>0.244</td>
</tr>
<tr>
<td>8</td>
<td>light denied?”</td>
<td>136.60</td>
<td>0.244</td>
</tr>
<tr>
<td>8</td>
<td>I fondly ask;</td>
<td>118.60</td>
<td>0.503</td>
</tr>
<tr>
<td>8</td>
<td>but</td>
<td>112.56</td>
<td>0.151</td>
</tr>
<tr>
<td>8</td>
<td>Patience</td>
<td>116.70</td>
<td>0.141</td>
</tr>
<tr>
<td>8, 9</td>
<td>to prevent That murmur, soon replies,</td>
<td>132.35</td>
<td>0.483</td>
</tr>
<tr>
<td>9</td>
<td>“God</td>
<td>104.82</td>
<td>0.458</td>
</tr>
<tr>
<td>9, 10</td>
<td>doth not need Either man’s work</td>
<td>36.28</td>
<td>0.184</td>
</tr>
<tr>
<td>10</td>
<td>or his own gifts;</td>
<td>87.18</td>
<td>0.687</td>
</tr>
<tr>
<td>10, 11</td>
<td>who best Bear</td>
<td>101.66</td>
<td>0.341</td>
</tr>
<tr>
<td>11</td>
<td>his mild yoke,</td>
<td>83.85</td>
<td>0.753</td>
</tr>
<tr>
<td>11</td>
<td>they serve him best.</td>
<td>57.35</td>
<td>0.337</td>
</tr>
<tr>
<td>11</td>
<td>His state</td>
<td>55.52</td>
<td>0.590</td>
</tr>
<tr>
<td>12</td>
<td>Is kingly.</td>
<td>71.16</td>
<td>0.946</td>
</tr>
<tr>
<td>12, 13</td>
<td>Thousands at his bidding speed And post o’er land and ocean without rest;</td>
<td>134.19</td>
<td>1.066</td>
</tr>
<tr>
<td>14</td>
<td>They also serve</td>
<td>52.29</td>
<td>0.722</td>
</tr>
<tr>
<td>14</td>
<td>who only stand</td>
<td>79.39</td>
<td>0.204</td>
</tr>
<tr>
<td>14</td>
<td>and wait.</td>
<td>52.69</td>
<td>End</td>
</tr>
</tbody>
</table>

Table 2 shows the way R3 interpreted the sonnet. Further examination shows that there were two major imperfections in R3. First, the speaker did not correctly apply the rule of final lowering and the use of a silent period. Second, the pitch change did not hold enough attention in the place that it should.

The first imperfection made his recording sound comparatively unnatural. Usually, the longer the silent period is, the lower the pitch falls, and the more absolute the feeling for the final is triggered. However, two major pauses with the final lowering in R3 did not go as expected (see underlined figures). At these two spots, the pitch went down to below 60Hz, the lowest range of the speaker’s voice.

The first place came at that “Maker” in “…though my soul more bent/ To serve therewith my Maker, and present/ My true account, lest he returning chide” (4-6). The speaker read “…though my soul more bent to serve therewith my Maker, and present My true account, lest he returning chide.” (Here the slash sign “/” means pause in the reading.) If we take a closer look at the structure of this part, we may easily conclude that the hierarchical structure for this part shall be “…though my soul more bent To serve therewith my Maker,” and though my soul more bent to “present My true account,” so that when he returned he would not chide me. Based on this understanding, the pitch at the end of “Maker”, “account” and “chide” should be in the low-low-lower format, to go better with their structural positions. But the pitch the speaker generated was distinctly low for “Maker”, mid-rising for “account”, and holding flat for “chide”. The extremely low pitch for “Maker” did not function well in introducing the following parallel phrase, and failed to illicit the clear structure of this part (see Figure 2).
What is more, “chide” was supposed to be followed with a longer pause, but the pause here was performed in a rather hasty way. The question after the word “chide” was the turning point of the sonnet and deserved longer pause. The speaker has to do something to signal that the following message is on a different hierarchical level. Besides a longer pause, apparent pitch resetting is another way to signal the importance of the following message. The line “Doth God exact day-labor, light denied” (7) started at 79.47Hz. Its comparatively high initial pitch did not compose enough contrast with the end of the previous phrase (“chide”), which is 92.48Hz, and thus worked poorly for the segmentation of the text.

Figure 2. Pitch contour of “…though my soul more bent/ To serve therewith my Maker, and present/ My true account, lest he returning chide” (4-6). Pitch of “Maker” went down to below 60Hz. The arrow points at the ending pitch of “Maker”, which was too low for a unit at this hierarchical position.

Another similar example of the case is in “…doth not need/ Either man’s work or his own gifts…” (9-10). The speaker read it in the way “…doth not need Either man’s work/ or his own gifts…” In this part, “either…or…” bears the parallel structure, like “bent to serve… and (bent to) present…” in the previous example. The “work” here was actually endowed with the lowest pitch (36.28Hz) of the whole recording, which was rarely expected at such a position in the text.

The speaker did not properly apply silent periods in the recording, as he used twenty-four pauses in the reading and some of which were indeed unnecessary; for example the consecutive pauses after “but” and “Patience” in “I fondly ask; but Patience to prevent” (8). These pauses were at the cost of losing the rhythmic beauty of the poem. A silent period is inserted into the speech flow to signal hierarchical structure, and to save up strength to utter/call attention upon the more important message after it. Too many silent periods would dismantle the melody of the reading and interfere with the listeners’ understanding.

The second imperfection was the speaker did not properly use pitch to illicit an important message. Low pitch did implicate peaceful mind and attitude, but the extensive use of which suggested a feeble mind and it could not answer Milton’s claim of “a way to strength through weakness” in the Second Defense of the English People. Moreover, it signified that there was no important information in the reading and thus, couldn’t hold the audience’s attention. “…His state/ is kingly…” (11-12) and “They also serve who only stand and wait” (14) were in the lowest register of the speaker, and stayed there...
without variation to attract attention. These two parts bear the key information of the sonnet and need special effort to make them stand out acoustically.

**R1**

Table 3 shows the way R1 interpreted the sonnet. In great contrast with R3, this speaker adopted the smallest pitch range with the highest minimum pitch value and the lowest maximum pitch value (Figure 1). Further examination of pitch contour of R1 indicated that this speaker tended to use the flat tone constantly, and to keep the pitch within the syllable rather stable. This effect was enlarged by deliberately adding final lengthening in the reading. The acoustic presentation with this flat tone is very common in poem recitation which usually annotates the tint of sadness. The flat tone is also adopted to express despaired sadness or depressed anger if read with strength (not for this speaker). For this point, this speaker did not choose the appropriate tone for reading the poem. Note that publicly Milton was always strong and ready to defend himself. With little dynamic pitch scale, it did not sound like the public-Milton.

**Table 3. “Pitch” and “Sil Length” at the Pauses of R1.**

(Original line number of the sonnet is presented under the item “No.”. Each line under the “Text” column shows a unit between two pauses. “Pitch” means the pitch value at the end of text. “Sil Length” means the length of pause after the last word of the text.)

<table>
<thead>
<tr>
<th>No.</th>
<th>Text</th>
<th>Pitch(Hz)</th>
<th>Sil Length(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>When I consider how my light is spent</td>
<td>68.78</td>
<td>0.436</td>
</tr>
<tr>
<td>2</td>
<td>Ere half my days, in this dark world and wide,</td>
<td>74.68</td>
<td>0.580</td>
</tr>
<tr>
<td>3</td>
<td>And that one talent which is death to hide</td>
<td>72.05</td>
<td>0.347</td>
</tr>
<tr>
<td>4</td>
<td>Lodged with me useless,</td>
<td>87.36</td>
<td>0.229</td>
</tr>
<tr>
<td>4.6</td>
<td>though my soul more bent</td>
<td>71.34</td>
<td>0.804</td>
</tr>
<tr>
<td>6</td>
<td>To serve therewith my Maker, and present My true account,</td>
<td>86.08</td>
<td>0.390</td>
</tr>
<tr>
<td>7</td>
<td>“Doth God exact day-labor,</td>
<td>95.23</td>
<td>0.252</td>
</tr>
<tr>
<td>7</td>
<td>light denied?</td>
<td>92.65</td>
<td>0.236</td>
</tr>
<tr>
<td></td>
<td></td>
<td>100.93</td>
<td>0.441</td>
</tr>
<tr>
<td>8,9</td>
<td>I fondly ask; but Patience to prevent That murmur, soon replies,</td>
<td>86.93</td>
<td>0.590</td>
</tr>
<tr>
<td>9</td>
<td>“God doth not need</td>
<td>82.62</td>
<td>0.247</td>
</tr>
<tr>
<td>10</td>
<td>Either man’s (own) work or his own gifts;</td>
<td>93.09</td>
<td>0.379</td>
</tr>
<tr>
<td>10</td>
<td>who best</td>
<td>108.25</td>
<td>0.110</td>
</tr>
<tr>
<td>11</td>
<td>Bear his mild yoke,</td>
<td>93.64</td>
<td>0.239</td>
</tr>
<tr>
<td>11</td>
<td>they serve him best.</td>
<td>84.44</td>
<td>0.461</td>
</tr>
<tr>
<td>11,12</td>
<td>His state Is kingly.</td>
<td>91.33</td>
<td>0.143</td>
</tr>
<tr>
<td>12</td>
<td>Thousands at his bidding speed</td>
<td>85.94</td>
<td>0.283</td>
</tr>
<tr>
<td>13</td>
<td>And post o’er land and ocean without rest;</td>
<td>75.66</td>
<td>0.706</td>
</tr>
<tr>
<td>14</td>
<td>They also serve</td>
<td>80.24</td>
<td>0.228</td>
</tr>
<tr>
<td>14</td>
<td>who only stand and wait.”</td>
<td>76.73</td>
<td>End</td>
</tr>
</tbody>
</table>

Another major imperfection was this speaker segmented the sonnet in the wrong way. The longest silent period went to “…though my soul more bent/ To serve therewith my Maker” (4-5) (0.804s) where there should have been no pause at all.

**R2**

R2 used fifteen pauses, the fewest in all. In Table 3, the double slash sign (//) is marked where the speaker generated regional minimum pitch, and the pitch value and silence duration for the pause are underlined. Based on the regional minimum pitch and the corresponding silent period, we can infer that this speaker formatted the sonnet into three parts. Judged by the value of the minimum pitch and the length of silent period, this classification is reasonable.
Table 4 shows the way R1 interpreted the sonnet. Unlike R3, R1 applied the usual combination and its effect of final pitch lowering and silent period perfectly well. In detail:

- At the end of the sonnet, we heard the lowest pitch (55.46Hz) from the speaker, which was in accordance with our usual expectation.
- The silent period after “chide” (1.288s) was the longest except the one after “And post o’er land and ocean without rest” (13) (1.450s). The latter was supposed to be deliberately elongated to introduce the audience to the key and inspiring line, “They also serve who only stand and wait (14).” This was to imply the sense of authority of the message that would appear later.
- The pauses in the answer from “Patience” from line 9 to 14 were all longer than the ones in the poet’s consideration from line 1 to 6. This set off the serious and doubtless tone the speaker applied.
- 1.288s was the second longest silent period in the sonnet, combined with the final pitch of 60.68Hz at the end of “chide”, the speaker came to the end of Part 1. After this duration of waiting, “Doth God exact day-labor, light denied” (7), the fondly-asked question, was raised. Similarly, regional minimum pitch at the other two places was also endowed with longer silent period.

Table 4. “Pitch” and “Sil Length” at the Pauses of R2. (Original line number of the sonnet is presented under the item “No.”. Each line under the “Text” column shows a unit between two pauses. “Pitch” means the pitch value at the end of text. “Sil Length” means the length of pause after the last word of the text. Double slash sign (//) is marked where the speaker generated regional minimum pitch and the pitch value and silence duration for the pause are underlined.)

<table>
<thead>
<tr>
<th>No.</th>
<th>Text</th>
<th>Pitch(Hz)</th>
<th>Sil Length(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>When I consider how my light is spent</td>
<td>70.65</td>
<td>0.775</td>
</tr>
<tr>
<td>2</td>
<td>Ere half my days, in this dark world and wide,</td>
<td>61.91</td>
<td>0.481</td>
</tr>
<tr>
<td>3</td>
<td>And that one talent which is death to hide</td>
<td>81.03</td>
<td>0.206</td>
</tr>
<tr>
<td>4</td>
<td>Lodged with me useless,</td>
<td>80.39</td>
<td>0.255</td>
</tr>
<tr>
<td>4, 5</td>
<td>though my soul more bent To serve therewith my Maker,</td>
<td>83.15</td>
<td>0.270</td>
</tr>
<tr>
<td>5, 6</td>
<td>and present My true account,</td>
<td>88.82</td>
<td>0.279</td>
</tr>
<tr>
<td>6</td>
<td>lest he returning chide:⁄</td>
<td>60.68</td>
<td>1.288</td>
</tr>
<tr>
<td>7</td>
<td>“Doth God exact day-labor,</td>
<td>111.89</td>
<td>0.071,</td>
</tr>
<tr>
<td>7</td>
<td>light denied?”</td>
<td>111.16</td>
<td>0.449</td>
</tr>
<tr>
<td>8</td>
<td>I fondly ask;</td>
<td>84.68</td>
<td>0.736</td>
</tr>
<tr>
<td>8, 9</td>
<td>but Patience to prevent That murmur, soon replies,</td>
<td>75.89</td>
<td>0.737</td>
</tr>
<tr>
<td>9, 10</td>
<td>“God doth not need Either man’s work or his own gifts;</td>
<td>75.11</td>
<td>0.586</td>
</tr>
<tr>
<td>10,11</td>
<td>who best Bear his mild yoke they serve him best.⁄</td>
<td>67.42</td>
<td>0.745</td>
</tr>
<tr>
<td>11,12</td>
<td>His state Is kingly.</td>
<td>74.93</td>
<td>0.447</td>
</tr>
<tr>
<td>12,13</td>
<td>Thousands at his bidding speed And post o’er land and ocean without rest;</td>
<td>92.73</td>
<td>1.450</td>
</tr>
<tr>
<td>14</td>
<td>They also serve who only stand and wait.⁄</td>
<td>55.46</td>
<td>End</td>
</tr>
</tbody>
</table>

The only long pause in the first part was after “When I consider how my light is spent” (1) (0.775s). This was probably triggered by the pondering situation provided by “consider”. This action did take time and thus, deserved a longer pause.

Conclusion

The duration of silence periods and the trend of pitch movements are sensitive to reflect how the readers have captured the structure and more importantly, the emotions the author embodied in the writing. The emotions were presented by certain combinations of prosodic features which can be felt, measured and compared. The mismatch between the actual articulation and the intended meaning can be systematically detected from the recordings. In the three recordings analyzed in this paper, the first and the third speaker
did not sufficiently present the public a strong image of Milton. The second speaker, however, with his precise timing and sophisticated skills in grasping the pitch and rhythm created just enough of the poet’s hesitation and wondering in front of “the question” and the sense of seriousness and authority afterward. This made the second speaker’s recording the best selection for the presentation of the sonnet. Analyzing the prosodic features of recitation is an effective way to test to what extent the piece of literature is understood.

References
Breakthrough and Innovation of James W. Johnson’s View of the Language of African American Poetry

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[Abstract] What languages African American poets use to compose poetry is an essential question in African American literature. James W. Johnson, based on a macro understanding of African American poetry’s growth and its socio-cultural context in the early 20th century, advocated that African American poetry needs to get out of the limits of the mainstream culture and literary tradition, and break with the conventional modes of writing about African Americans and their lives. Indeed, Johnson’s view of the language of poetry contributes to promote African American poetry’s autonomy and innovation, as well as their artistic vocalization and cultural representation.

[Keywords] African American poetry; language; literary tradition; American Negro dialect; breakthrough and innovation

Introduction
What languages African American poets use to compose poetry is an important question in African American literature. African American poets and literary critics have never ceased exploring this question. Its significance is concerned both with the composition and criticism of African American poetry, and African Americans’ artistic vocalization and cultural representation. Such writers as James W. Johnson (1917, 1922, 1927, 1968), Zora N. Hurston (1934), Alain Locke (1925, 1928), William S. Braithwaite (1972), and Henry L. Gates Jr. (1987, 1988), etc., have probed into this question from different angles; they have analyzed the values and limits of the American Negro dialect, and the standard English and creative American Black English patterns in composing African American poetry. Among the few writers who made systematic surveys of the language of African American poetry, James W. Johnson is an important representative. Contemporary African American scholar Henry Louis Gates, Jr. affirmed that Johnson’s assertion “the passing of traditional dialect as a medium for Negro poets is complete” contains a ring of both aesthetic and political victory in the tone (Gates, 1987, p. 178). Based on a macro understanding of African American poetry’s growth and its actual sociocultural context in the early 20th century, he asserted that African American poetry needs to get out of the limits from the mainstream culture and literary tradition, break with the conventional modes of writing about African Americans and their lives, and realize breakthrough and innovation.

In the early 20th century, African American poetry mainly employed the traditional American Negro dialect, which is a creolized language (Steward, 1971, p. 62) formed and used in the Blacks’ life in the South, mainly by transfiguring the spelling, pronunciation, grammar and other external features of standard English, represented by the Negro dialect used in the cotton fields of Mississippi, standard English and the reconstructed American Negro dialect by American poets (both Black and White). Besides the two factors, White American poets’ conscious application and African American poets’ writing practices, James W. Johnson figured out that minstrels and their traditions also exerted great impact on the American Negro dialect (Johnson, 1958, p. 4). He criticized the fixed conventions left by
the dialect used on the minstrel stage have an incongruous effect in depicting African Americans at their new phase of life. He discussed in the prefaces of God’s Trombones and The Book of American Negro Poetry the limits of the traditional American Negro dialect, aiming at attracting African American authors’ attention to strive to break with conventional modes of writing of African Americans and their lives. Johnson found that although the traditional American Negro dialect is “the exact instrument for voicing certain traditional phases of Negro life, it is, and perhaps by that very exactness, a quite limited instrument. Indeed, it is an instrument with but two complete stops, pathos and humor. This limitation is not due to any defect of the dialect as dialect, but to the mould of convention in which the Negro dialect in the United States has been set, to the fixing effects of its long association with the Negro only as a happy-go-lucky or a forlorn figure” (Johnson, 1927, p. 7). He later pointed out further in the preface of The Book of American Negro Poetry (2nd ed.) that after a decade, “even the reader is conscious that almost all poetry in the conventionalized dialect is either based upon the minstrel traditions of Negro life, traditions that had but slight relation – often no relation at all – to actual Negro life, or was permeated with artificial sentiment. It is not out of place to say that it is more than regrettable that the traditional dialect was forced into the narrow and unnatural literary mode (Johnson, 1958, p. 4). The early poet Dunbar’s dilemma that taking dialect poetry as the only way to get readers listen to him now gains its chance for an answer. Johnson’s criticism of the traditional American Negro dialect responds to African Americans’ needs for expressing their new stage of life and spirit, and the fact that the stereotyped expression modes represented by the Negro dialect distorted to some degree by African Americans’ socio-cultural image and obstructed in African American poetry’s advancement. His keen observations of African American poetry’s status quo at his time unveil that despite a few poets such as Dunbar made some transformations on the Negro dialect, African American poetry is, on the whole, in a stagnant, narrow and untruthful state. The language of poetry is elementally one of African Americans’ vital mediums of expression, but unexpectedly became a barrier to their self-expression at that time. Thus, African American poetry needs not merely to break from the stereotyped patterns of the Blacks’ image in the poetry tradition, but to overcome its dysfunction in cultural representation by addressing the language bottleneck that hinders its progress.

Why Does the Language of Poetry Need Breakthrough and Innovation?

Myron Simon analyzed without misreading that Johnson’s rejection to dialect poetry suggested that he “was calling not for an end to the use of dialect but a profound alteration in the nature of its composition and the manner of its use” (Simon, 1975, p. 132). Johnson criticized “the anachronistic permanence of Negro dialect” (Thaggert, 2010, p. 39) and claimed that the language of African American poetry needs to break out of the cultural and literary besiegement, but he did not mean that the quaint and musical Negro dialect should be absolutely abandoned, but that the African American poets should break conventions and be given full freedom in writing, which will promote the autonomy of African American Poetry.

Johnson believed that language embodies American Americans’ talent, and their enthusiasm in language learning and creativity in language use indicate their yearning for understanding and posture of positive communication. Johnson praised in his autobiography, Along This Way, his wife Grace Nail’s enthusiasm and genius in learning language: “She started in earnest to learn Spanish, and in a month or so was able to give all the directions to her two maids... ... Her absorption in acquiring the language went far toward making many of the discomforts of life in Corinto less apparent. She enjoyed the Managua, and meeting people there; to be able to talk with them better on each succeeding visit became an interesting
game” (Johnson, 1933, pp. 268-269). When recording his work as the consul for the United States at Nicaragua, Johnson mentioned that for the Blacks on Curacao, “differences caused by language hardly exist” (Johnson, 1933, p. 228), and emphasized the Blacks’ linguistic ability. Precisely because of the Blacks’ outstanding linguistic ability, they have reason and potential to achieve freer and broader creations.

The breakthrough and innovation in the language of African American poetry reflect African Americans’ stance of actively “speaking” by art. Johnson referred to in Along This Way an allusion on linguistic ability from The Acts of the Apostles which deeply impressed him. This story tells that on Shabuoth, after the baptism of fire and filled by Holy Spirit, God’s apostles spread truths and God’s will to people of different places with the local languages. In fact, African American poets use languages to speak is to break the barrier of language and prejudice, and promote exchanges and understanding among people. Historically, English is not the original native language of African Americans, but it is the primary language they used to speak. They need to mark the language with their own traits, so as to say their words and express their meanings. However, such marks in African American poetry are still mainly external, the transfiguration of spelling, pronunciation and other elements of English, which offered some conveniences in writing and pronunciation while molding African Americans’ negative image as being thoughtless, careless, lazy and rude. African Americans’ inner life does not get a faithful and comprehensive portrayal, and while the Blacks have been more and more visible in the American society and culture with their development in various fields, such a “mark” has gradually revealed its limitations.

**How to Make Breakthrough and Innovation in the Language of Poetry?**

Regarding the composition of African American poetry, Johnson held that the breakthrough and innovation of language is not only the transfiguration of the external forms, but also the update of linguistic concept. He sought for a form of poetry language broader than the traditional Negro dialect; this form “is freer and larger than dialect, but which will still hold the racial flavor; a form expressing the imagery, the idioms, the peculiar turns of thought, and the distinctive humor and pathos, too, of the Negro, but which will also be capable of voicing the deepest and highest emotions and aspirations, and allow of the widest range of subjects and the widest scope of treatment” (Johnson, 1922, p. xli), and thus depict more accurately and fully the different phases and patterns of African Americans’ lives. It is not hard to find that this outline of the ideal language for African American poetry stresses two aspects: one is to display and maintain African Americans’ traits, their inner world in particular. This is integral of Johnson’s literary thought. In commenting on the early African American poets and those after the First World War, such as Phillis Wheatley, Jupiter Hammon, Paul Dunbar, Countee Cullen, and Langston Hughes, Johnson indicated that African American literature and art can neither break away from the soil in which it grows, nor disregard the Black mass, or will easily be swamped in emptiness and turgidity (Johnson, 1958, pp. 4-6). The other aspect is to expand the space and richness of the language of African American poetry. What this form of poetry language contains cannot be limited in the Blacks’ emotions of pathos and despair, desire for freedom and civil rights, criticism on racial oppression, yearning for Africa, and the genres of sonnet and ballad. Apart from these, there is still much more to say, show and communicate.

Johnson applied his view of poetry language into his poetry with experimentation and innovation. He absorbed from the Black folk art, blended African Americans’ language and verbal features, and composed many poems which are full of life and highly artistic. His second anthology of poetry, God’s
Trombones, is a classical example, in which The Judgment Day, The Creation, Noah Built the Ark, The Crucifixion and other three poems are written in free style, and vividly show African Americans’ spiritual world. Alain Locke, the editor of the Harlem Renaissance manifesto, The New Negro, praised in his comment on one of the poems, The Creation, that the interesting experiment in it “transposes the dialect motive and carries it through in the idioms of imagery rather than the broken phonetics of speech” (Locke, 1997, p. 51). Johnson deftly merged the biblical language, classical mythologies, Negro spirituals and the intonation of Black priests’ sermons; it adopted a musical language based on the Blacks’ idioms, which avoided the excessive gentleness and pretentious comicality of the traditional Negro dialect, while retaining the poetic quality and power of the Black sermons. He often added a prayer before the sermons to set the scene and display the vast and changeable gamut of the Black preachers and express the Blacks’ emotions by syncopation, line arrangement, pause and dash. In Listen God, A Prayer, Johnson kept some classic expressions of the traditional Negro dialect and experimented on rhymes, sentence structure and punctuation marks. The artistic effect achieved is well integrated with the themes in the poem, highlighting the audibility and visibility of the language of African American poetry.

Johnson’s first anthology of poetry Fifty Years and Other Poems includes some dialect poems created in his early literary career, and these poems reflect the unique themes and emotions in the African Americans’ life. Most of them inherit such typical features of the traditional Negro dialect as simpleness, rich imagery, tenderness and sorrow, and thus underline the Black folk culture. On the other hand, they break by innovation the stereotyped image of the Blacks in American culture and literature conventions. Just like lyric songs with a strong sense of rhythm, these poems exhibit the warmth and goodliness in African Americans’ life. The poem De Little Pickaninny’s Gone to Sleep renders a father’s love and care for his child. At the start, the father softly lulls the child to sleep. When reaching the third stanza, the readers abruptly find that the child is probably dead, but the father whispers that he is asleep. Warmth turned into sorrow and melancholy. The poet employed many dialect expressions and adopted the prosaic style. The rhythm changes with the father’s emotions from softness to tension and then to dolorous tranquility; readers can even hear the father’s heartbroken crying and helpless sighs.

Johnson’s innovation in the language of poetry embodies his emphasis on the organic unity of works. The vocabulary of his poems contains the most common and understandable Negro dialect expressions, while verbs, adjectives and nouns are almost standard English. His poems show the moments of African Americans’ daily life, the meanings of which are not closed at the last line, but spread infinitely.

**Behind the Exploration of the Language of Poetry**

Johnson surveyed two questions behind his exploration of the poetry language: what the intention of composing African American poetry is and what the role of language plays in African American culture and artistic representation. His exploration offers plenty of enlightenment and is of significance for contemporary African American literature and American literature.

Johnson considered that African American poetry should express for African Americans and be written to entertain the self. African American poetry needs to faithfully depict African Americans’ life, soul, thought and psychology. This truth-pursuing view of art is closely tied with his cosmopolitanism view of life. Johnson was convinced that any imaginary and artificial things cannot defeat truth and fact; the white superiority maintained by bigotry and injustice is not reasonable and unbreakable (Johnson, 1933, p. 119). In fact, what Johnson advocated is good faith which values the respect for reality, accountability and choice. His appeal of “writing about the Blacks and for the Blacks” laid the foundation
for the Black Aesthetic Movement. Besides being true to life, African American poetry should also be free. Poets express for themselves instead of others, not only to entertain others but themselves. In his well-known poem *O Black and Unknown Bards*, Johnson complimented that Black folk artists create for themselves and gain pleasure from it. To express for one’s self endows art-creating freedom and passion, while expressing for others can only make art-creating like dancing with fetters.

What is the role that language plays in African American culture and artistic representation? In Johnson’s works and thought, language first is a strategy of existence. Language has subtle ties with African Americans’ social, cultural and artistic existence. Johnson held that the most vital factor that influences the future of a race is the ability to exist (Johnson, 1933, p. 121). Above all, language and speech are symbolic, they are mediums for expressing one’s self, active factors in the construction of one’s cultural identity, and the prerequisite to discourse power and the existence of a culture. In fact, the conception that language is a strategy of existence formed in Johnson’s life experience and is a key idea of his language philosophy. He experienced many times in American race interaction the subtle reactions brought by language. For instance, he noticed that if African Americans knew some foreign languages, this tended to cause subtle changes on people’s psychology and differences in their responses. This phenomenon contains some absurdity and paradox.

Moreover, as an auditory language, speech is at times a way of passive racial passing for African Americans. Johnson recorded some of these sort of instances in his autobiography. Once, he fetched his letters in Hampton, and was attacked on the way home by fierce dogs; it was exactly his Black-accent-free words “take away your dogs” that gained the apology from the dog owner. Johnson’s friend William Pickens always told him that he found himself always passing off as a White. When doing business in the deep South, William discovered that it was convenient to have small deals with Whites by phone; he heard them say “Yes, Sir. Yes, Sir” every time (Johnson, 1933, p. 114). This sort of racial passing is mostly unconscious or passive. Ironically, the strange phenomenon of linguistic passing indeed caricatures and subverts the rationality of color line and race prejudice.

Language depicts the reality; it could faithfully and vividly depict African Americans’ image and spirit, and African Americans could use it to establish their new cultural stance, construct and revise their cultural identities, and display their talent and creativity. Meanwhile, language is also a mode of dialogue of African Americans with American society and with themselves. The innovation in language is to use language to break silence and produce dialogues. Nevertheless, the first step of dialogue is the phonation that aims at unfolding the image and inner life of African Americans and correcting the race prejudice of the public. Johnson’s literary thought possesses a strong consciousness of subject. Taking poetry as a vibrant field of dialogue, he proposed that African American poetry should extract nourishment from the Blacks’ religion and folk art, and merge the Blacks’ vitality in life and their speech characteristics into the language of poetry, since respecting and advancing their own language is the premise for discourse power. He eulogized many times African Americans’ linguistic talent in his autobiography; for example, the resonant voice and elegant language of his college roommate Henry. M. Potter; and the vigorous voice and eloquence, the rich emotion and multi-variant rhythm of the Black choirs. Johnson integrated in some of his poems the features of the American Negro spirituals’ harmonies. These harmonies were not merely combinations of individual and collective phonations, but dialogues of call and response, the dialogues exist both in and beyond the poetry. Take Johnson’s *Judgment Day in God’s Trombones* for example; there are several speakers in this poem, including three main characters – God, Gabriel and I, as well as a group of God’s adherents and witnesses. The group of adherents and witnesses do not make an
appearance, but speak to the sinners all along. A circular and reciprocate dialogic structure takes its shape in the poem. When the story in the poem becomes tense and tenser, the rhythm of the dialogue turns fast and faster, just as a high-spirited and grand song.

**Conclusion**

Johnson’s thought and experiment on poetry language made contributions to the autonomy and innovation of African American poetry, and the African American artistic vocalization and cultural representation. Johnson’s critique of dialect is just one paradigm for understanding the challenges faced by early-twentieth-century black writers, a paradigm that took different forms during the Harlem Renaissance (Thaggert, 2010, p. 64). However, we cannot neglect the ontological inquiry and conceptual innovation behind the paradigmatic production embodied in Johnson’s meditation and experiment on poetry language. His language philosophy and literary thought reflected in the discussion of poetry language show a return to some vital functions of poetry, which involve depicting the real life, releasing emotions, exciting people’s attention to and thinking on certain issues. He had profound insights on the language’s role as a strategy of existence and a means of dialogue, and pursued to integrate the Black culture and linguistic characteristics with poetry composing. Some later African American writers carried on with the quest and the innovation of poetry language. And with foresight and philosophical reflection, Johnson’s exploration of poetry language will continue to bring illumination to the growth of African American poetry.

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**References**


A Study of the Orphans’ Religious Attitudes in Mary Shelley’s The Last Man

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[Abstract] This paper aims to argue that two orphans, named Verney and Adrian, in Mary Shelley’s The Last Man are atheists who don’t believe in Christianity, distinguished from most of the other orphans who are faithful Christian in British factual records and novels in the 18th-19th centuries. This paper further argues that by constructing these two special orphans, Mary Shelley’s true intention was to critique the side effect of Christianity in killing individual consciousness which she was eager to awaken in the modern individual.

[Keywords] Mary Shelley: The Last Man; orphan; Christianity; individual consciousness

Introduction
Mary Shelley’s The Last Man was badly received by the British critics when it was first published in 1826. The Literary Gazette and Journal of Belles Lettres in 1826 regarded it as a “monstrous fable” (Anon, 2008, p. 134). Monthly Review, in the same year, gave a more acrimonious comment on it, “The whole appears to us to be the offspring of a diseased imagination, and of a most polluted taste” (Anon, 2008, p. 140). Such kind of offensive reviews could be understood in two opposite ways. The negative review is that Mary Shelley’s The Last Man is indeed of no worth, while the positive review is that the worse it is received by its contemporary, the greater shock its foresight might bring to the British tradition. In fact, under the judgment of the critics since the 20th century, it is undoubtedly an untraditional and revolutionary masterpiece. Mellor (1988) argues that “The Last Man initiates the modern tradition of literary deconstruction” (p. 169). Luke (1965) pointed out that “in The Last Man Mary Shelley was boldly experimenting with the novel form, attempting to expand its boundaries” (pp. 317-318). However, this author argues that the two orphans named Verney and Adrian in The Last Man are pretty untraditional and worth researching.

The orphan is the key element in The Last Man. The last man in the title refers to the orphan named Verney, the narrator. The novel, focusing on the two orphans, that is, Verney and Adrian, tells a story about the extinction of human beings due to the lethal plague. The novel contains three volumes. The first volume depicts the friendship, love and marriage of the two orphans; the second and third volumes narrate how the two orphans together with other survivors fight against the plague, miserably dead at the end of the novel. It is interesting to notice that most of the people constructed by Mary Shelley in The Last Man are faithful believers in their religion; however, when depicting Verney and Adrian, Mary Shelley makes a different choice.

The two orphans, Verney and Adrian, were designed by Mary Shelley as two atheists who do not believe in Christianity, who contrast most of the orphans who are faithful Christians in British factual records and novels in 18th-19th centuries. This paper argues that by constructing the two unique orphans, Mary Shelley’s true intention was to critique the side effect of Christianity in killing individual consciousness which she is eager to awaken in the modern individual. This paper will be divided into four parts. The first part explores the religious attitudes of the orphans in British factual records and novels in 18th -19th centuries. The second part demonstrates the untraditional religious attitudes of the orphans in
Mary Shelley’s *The Last Man*. The third part analyzes the reason why these two orphans could be so revolutionary. The last part uncovers Mary Shelley’s true intention in constructing the unconventional orphans.

**Orphans’ Religious Attitudes in British Factual Records and Novels in 18th-19th Centuries**

England in 1697 published *An Act for the More Effectual Suppressing of Blasphemy and Profaneness*, which stipulated that “if any person or persons… deny any one of the persons in the holy Trinity to be God, or shall assert or maintain there are more Gods than one, or shall deny the Christian religion to be true, or the holy scriptures of the Old and New Testament to be of divine authority… he or they shall from thenceforth be disabled … to be guardian of any child” (England, 1739, p. 120). British government not only put the adults’ religious attitudes under surveillance, but also the children’s. In this part, I will explore the prevailing religious attitudes of the orphans in British factual records and novels in 18th-19th centuries.

First, most of the factual orphans in British records in 18th-19th centuries were faithful Christians. Nixon (2011) says, “an orphan’s economic status determines if and how he or she appears in eighteenth-century factual records. If the orphan is poor, he or she will appear in records relating to the Poor Law: if an abandoned infant, he or she will appear in nursing-out records; if a parentless or impoverished child, he or she will appear in workhouse or charity school records; if the orphan is of working age, he or she will appear in pauper apprenticeship records” (p. 39). Institutions such as the churches and orphan hospitals play a crucial role in imparting Christianity to the factual orphans, which explains why most factual orphans on record are Christians.

For example, Daniel Defoe (1728), in his *Augusta Triumphans* reveals that the churches do the “Baptism, Burial, and other Christian Rites” (p. 12) for the orphans. An orphan might be an outcast, but the churches always welcomed them. Therefore, most of the orphans who grew up in churches became Christians. According to *An Abstract of the Regulations and Statutes of the Charity School, Orphan-Hospital and Workhouse at Edinburgh* published in 1736, orphans in Edinburgh in the 18th century have to “convene for the Worship of God, by Prayer, reading the Scripture, and singing Psalms… and the same Duty again at Eight in the Evening” (p. 9). The “Governors and Managers and Overseers” as well as the “Chief Master” have to be Christian. The chief master teaches “all in the House the Principles of the Holy, Christian, Reformed, Protestant Religion; and, upon the Lord’s Day, he is to take Care that all in the Hospital, after Family-Worship in the Morning is over, go regularly to Church, and decently join in the public Worship of God there” (p. 9). The orphan hospital enacts strict articles for orphans in order to foster them to be Christians.

Second, most of the fictional orphans in British novels in 18th-19th centuries are faithful Christians. In 18th-19th centuries, the orphan is undoubtedly a key element in British novels. That is because “the orphan gives narrative form to the tensions… including conflicts between the individual and institution, public and private family, past and future family, male and female forms of plotting, sexual conservation and sexual exchange, and mobility and confinement of body and class” (Nixon, 2011, p. 14). Though the plots vary in different novels, orphans in most of the novels turn out to be Christian.

For example, in *The Mysteries of Udolpho* written by Ann Radcliffe and published in 1794, the protagonist Emily is a Christian orphan. Her Christian religion is cultivated by her father who says to her when he is dying that “I die in peace; for I know, that I am about to return to the bosom of my Father, who will still be your Father, when I am gone. Always trust in him, my love, and he will support you in...
these moments, as he supports me” (p. 81). Therefore, when her aunt dies, she frequently addresses “herself to Heaven for support and protection” (p. 375). Similarly, an orphan named Lucy in Villette written by Charlotte Brontë and published in 1853 is also a Christian. We can deduce this from what Paul says to Lucy: “Remain a Protestant. My little English Puritan, I love Protestantism in you. I own its severe charm. There is something in its ritual I cannot receive myself, but it is the sole creed for Lucy” (p. 572). Other orphans, to name but a few, like Ellena in The Italian (1797), Jane Eyre in Jane Eyre (1847), and Pip in Great Expectation (1860-1861) are all indisputably Christians who are pretty different from the two orphans in Mary Shelley’s The Last Man.

**Orphans’ Religious Attitudes in Mary Shelley’s The Last Man**

The orphans named Verney and Adrian in Mary Shelley’s The Last Man do not believe in Christianity. They not only question the superiority of human beings described in the Holy Bible, but also refuse to believe the interpretation of death by Christianity. Essentially, they don’t believe in the existence of God. First, the orphan named Verney questions the privilege of human beings described in the Holy Bible. Starting from Volume 2, a global and lethal plague raises “its serpent-head on the shores of the Nile” (Shelley, 1996, p. 139). It starts from Africa, sweeps “the vast cities of America, the fertile plains of Hindostan, the crowded abodes of the Chinese” (Shelley, 1996, p. 184), and then comes to Europe, making the UK an island surrounding by the plague. However, Verney noticed that “death fell on man alone” (Shelley, 1996, p. 216). “A herd of cattle passed along in the dell below, untended, towards their watering place – the grass was rustled by a gentle breeze, and the olive-woods, mellowed into soft masses by the moonlight, contrasted their sea-green with the dark chestnut foliage. Yes, this is the earth; there is no change – no ruin – no rent made in her verdurous expanse; she continues to wheel round and round, with alternate night and day, through the sky, though man is not her adorner or inhabitant” (Shelley, 1996, p. 355). Verney understands that as inhabitants of earth, human beings were more vulnerable than animals and plants when facing the plague. He held the Christian up to mockery: “Did God create man, merely in the end to become dead earth in the midst of healthful vegetating nature? Was he of no more to his Maker, than a field of corn blighted in the ear? Were our proud dreams thus to fade? Our name was written ‘a little lower than the angels;’ and, behold, we were no better than ephemera. We had called ourselves the ‘paragon of animals,’ and, lo! We were a ‘quintessence of dust’” (Shelley, 1996, p. 309).

Obviously, Verney’s narration is an abnegation of Genesis in the Holy Bible. On the sixth day, “God created humankind in his image...God blessed them, and God said to them, ‘Be fruitful and multiply, and fill the earth and subdue it; and have dominion over the fish of the sea and over the birds of the air and over every living thing that moves upon the earth’” (Genesis 1: 27-28). Human beings in Genesis are indeed the most favorite creature of God, a little lower than the angels and far above other animals and plants. However, in the eyes of Verney, human beings have no relationship with God. His narrative lowers the importance of human beings in the world and breaks the fundamental assumption in Genesis, forcing the reader to reconsider the relationship between human beings and God as well as the relationship between human beings and nature.

Second, the resurrection and the Last Judgment, as well as the millennium are all denied by Verney. Verney’s wife was consumed by the overstress and overdraws of the physical strength because she kept

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1 All Biblical references are from the Holy Bible – Chinese/English (UV-NRSV).
on helping others infected with the plague and she died on her road to save a girl. The grievous Verney carefully put her body to the cemetery and “dragged the stones over the entrance of the tome” (Shelley, 1996, p. 282). Verney’s action is in fact a corrective writing of the interment of Jesus in the New Testament. One of Jesus’s disciples named Joseph “took the body and wrapped it in a clean linen cloth and laid it in his own new tomb, which he had hewn in the rock. He then rolled a great stone to the door of the tomb and went away” (Matthew 27: 59-60). Later, “an angel of the Lord, descending from heaven, came and rolled back the stone”, Jesus thus “has been raised from the dead” (Matthew 28: 2, 7). However, in Verney’s narration, there is neither angel nor resurrection and he neither mentions about the Last Judgment nor the happy millennium. Verney expresses his rational understanding of death, revealing the fictionality of the next life in Christianity.

   The New Testament tells us that “those who had been beheaded for their testimony to Jesus and for the word of God. They had not worshipped the beast or its image and had not received its mark on their foreheads or their hand. They came to life and reigned with Christ a thousand years” (Revelation 20: 4). It is Verney’s narrative strategy not to write about the resurrection and millennium, for he aims to oppose the authority of the Holy Bible. Leo Strauss (1988) once said that “Philosophers… are driven to employ a peculiar manner of writing which would enable them to reveal what they regard as the truth to the few” (p. 222). Verney’s narrative strategy just corresponds to that kind of peculiar manner of writing. The secularization and scientific interpretation of Death by Verney discloses an atheist’s understanding of death, that is, the extinction of human beings is due to natural causes and there will be neither next life nor the Last Judgment.

   Third, the existence of the God is denied by Adrian and Verney. In order to escape from the fatal plague, Adrian, who was in the protectorship at that critical time, decided to lead the survivors to the cold Alps where the plague spread slowly. However, a priest admonished the disciples to stay, telling them that as long as they believe in God, “their escape from the plague, the salvation of their children, and the rise of a new race of men from their speed” could be guaranteed (Shelley, 1996, p. 301). He requested Adrian to repent and submit, waiting for the help of God. Adrian answered with contempt: “My good fellow, I wish that you were ignorant only…that you speak of what you do not understand…pray to your God in your own mode” (Shelley, 1996, p. 297).

   Verney regards the priest as “the imposter-prophet”. He thinks that it is necessary to break the “false assertions” so as to rescue those disciples who are “ignorant and fearful” from “the pernicious influence of superstition and unrelenting tyranny” (Shelley, 1996, p. 300). In Verney’s eyes, fear is “the parent of religion”, and religion is the “generator, which leads its votaries to sacrifice human victims at its altars” (Shelley, 1996, p. 94). Both orphans, Adrian and Verney, regard Christianity as a mechanism of power, that is, tyranny, and God as a discourse construction, that is, a superstition, which does not exist. However, their religious attitudes are very untraditional.

   Facing the fatal plague, most of the people expressed their strongest belief in religion. “Through Asia, from the banks of the Nile to the shores of the Caspian, from the Hellespont even to the sea of Oman, a sudden panic was driven. The men filled the mosques; the women, veiled, hastened to the tombs, and carried offerings to the dead, thus to preserve the living…the Christians sought their churches, Christian maidens, even at the feast of roses, clad in white, with shining veils, sought, in long procession, the places consecrated to their religion, filling the air with their hymns” (Shelley, 1996, p. 177). Although the religious believers piously yearned to be rescued, God didn’t appear throughout the novel. It is easy to
understand people’s great attachment to religion in their great desperation. But how can the two orphans, Verney and Adrian, break the ideological restraint and refuse to believe in Christianity?

The Reason Why the Two Orphans Don’t Believe in Christianity

Verney was orphaned when he was only 5 years old and Adrian was orphaned when his father died and his mother deserted him before he came of age. Therefore, their parents have little influence on their attitudes toward religion. Then why would they deny Christianity? First, philosophical education impacts Verney’s religious attitude. Before receiving philosophical education, Verney lives like a lonely barbarian, knowing nothing about religion. He describes himself “as an unprotected orphan among the valleys and fells of Cumberland”, “rough as the elements, and unlearned as the animals”. Verney explicitly attributes his savage state to his lack of “refined philosophy” and emphasizes that at the age of sixteen, he “feared no man, and loved none”, which unconsciously rules out God in his life (Shelley, 1996, pp. 14-18).

Once received philosophical education, Verney said that “curiosity soon awoke, and an earnest love of knowledge, which caused me to pass days and nights in reading and study. I was already well acquainted with what I may term the panorama of nature, the change of seasons, and the various appearances of heaven and earth. But I was at once startled and enchanted by my sudden extension of vision, when the curtain, which had been drawn before the intellectual world, was withdrawn, and I saw the universe, not only as it presented itself to my outward senses, but as it had appeared to the wisest among men. Poetry and its creations, philosophy and its researches and classifications, alike awoke the sleeping ideas in my mind, and gave me new ones…I had lived in what is generally called the world of reality, and it was awakening to a new country to find that there was a deeper meaning in all I saw, besides that which my eyes conveyed to me” (Shelley, 1996, p. 27).

Verney’s religious attitude gradually changed after he received philosophical education. Initially, he unconsciously refused believing in God because of ignorance. Then, he consciously refused to believe in God, for he was capable to analyze and distinguish. He believed that “man’s mind alone was the creator of all that was good or great to man, and that Nature herself was only his first minister” (Shelley, 1996, p. 11). According to Verney, the happiness of human beings relies on themselves and the most important relationship that human beings need to handle is that between human beings and Nature, rather than that between human beings and God.

Second, philosophical education affected Adrian’s religious attitude. Adrian was the son of the former abdicated King of the UK. He had his own library which contains a large quantity of books together with many busts of old Greek sages. He frequently mentioned about the old Greek sages, expressing his admiration towards them. The love and wisdom in his heart corresponded with that of Old Greek philosophy rather than that of God.

Under the education of philosophy, Adrian “felt that he made a part of a great whole. He owned affinity not only with mankind, but all nature was akin to him; the mountains and sky were his friends; the winds of heaven and the offspring of earth his playmates; while he the focus only of this mighty mirror, felt his life mingle with the universe of existence” (Shelley, 1996, p. 38). Therefore, Adrian denies Genesis in describing human beings as the administrator of all living things on earth.

Thirdly, the essence of philosophical education is to inspire the individual consciousness which is the basis for independent thinking; therefore, Verney and Adrian who benefit from philosophical education were able to put Christianity under scrutiny and suspect it with independent and free mind. Strauss (1988)
once says that philosophy “endangers society”, and it “must remain the preserve of a small minority”. Philosophy is “the highest activity of man”, which attempts to “dissolve the element in which society breathes”. And the element refers to some “specific values” or “specific myths”, “which are not evidently superior or preferable to any alternative assumptions” (pp. 221-222). Philosophy can be called as the highest activity of man because it is both inspired by and inspiring the individual consciousness. The specific values and myths which the social order rests on are to weaken people’s individual consciousness and strengthen collective consciousness. And Christianity is such kind of specific value and myth.

Christianity is the key element in stabilizing the British social order since the Middle Ages. Edmund Burke (1986) said “religion is the basis of civil society” (p. 186). James Walker (1795) argued that “when the restraints of Christianity lost their power, it was an easy matter to undermine society, and destroy law” (p. 320). Their arguments, in essence, were defending for the governors, exaggerating the dangers when people got rid of religious restraint and regained freedom of thought. They aimed to suppress and sacrifice the individual consciousness, and strengthen the collective consciousness so as to keep the society in order. However, from the long term perspective, it will both hinder the development of human thought and be detrimental to the happiness of individuals.

In fact, Christianity originated from philosophy, especially from old Greek philosophy; however, philosophy didn’t originate from religion. Therefore, once Verney and Adrian received philosophical education, their mastery of the history of human thought enabled them to get rid of the restraint of Christianity. But how does the Christianity kills individual consciousness? Does Mary Shelley aim to awaken the individual consciousness?

Mary Shelley’s Intention in Constructing Two Revolutionary Orphans

*The Last Man* was published in 1826 when religion, politics and science were in their highest tension. It was taking risks to say or do anything blasphemous against Christianity at that critical time. William Hodgson was put to prison just because he translated Holbach’s *The System of Nature* published in 1770. Percy Shelley was expelled from Oxford University in 1811 just because he published *The Necessity of Atheism*. Therefore, it required great courage for Mary Shelley to publish a novel like *The Last Man* in that abnormal cultural environment. This part uncovers Mary Shelley’s intention in constructing two revolutionary orphans.

On the one hand, Mary Shelley aimed to critique the side effect of Christianity in killing individual consciousness. Knowing that there were endless religious wars underway in Europe, she wrote in her travelogue, “I knew before, that if avarice could harden the hearts of men, a system of prescriptive religion has an influence far more inimical to natural sensibility. I know that an isolated man is sometimes restrained by shame from outraging the venerable feelings arising out of the memory of genius, which once made nature even lovelier than itself; but associated man holds it as the very sacrament of his union to forswear all delicacy, all benevolence, all remorse, all that is true, or tender, or sublime” (Shelley, 1817, pp. 134-135). Mary Shelley underscores that religion turns the believers to be cold-blood monsters at war, totally eliminating the believer’s individual consciousness.

In *The Last Man*, Mary Shelley also details the horrifying scene that individual consciousness was killed by religion. When the lethal plague attacked the human beings, the religious war was still in process. The Greek that represented Christianity and the Turkish man that represented the Muslim faith were at fierce war, killing each other remorselessly, regardless of the collaboration for the common aim to survive the plague. The religious war helped the plague kill human beings. “In time of storm, tumult and
massacre, beauty, infancy and decrepitude, would have alike been sacrificed to the brutal ferocity of the soldiers” (Shelley, 1996, p. 150). “Every breathing creature within the walls was massacred” (Shelley, 1996, pp. 125-126). To religious fanatics, a person is not an individual, but a Christian or Muslim. Their individual consciousness has already been forbidden, kidnapped and replaced.

On the other hand, Mary Shelley aimed to awaken people’s individual consciousness. Turning “to the corpse-strewn earth” after the brutal religious war, Verney “felt ashamed of my species” (Shelley, 1996, p. 143). Adrian expressed similar feelings, saying “let us not deceive ourselves. …They were men and women, the sufferers, before they were Mahometans” (Shelley, 1996, p. 125-126). Mary Shelley hoped that the religious fanatics’ individual consciousness could be awakened, so that they could care about individual life. There was also an obtrusive narration in novel by Verney: “Patience, oh, reader! Whoever thou art, wherever thou dwellest…thy nature will be human, thy habitation the earth; thou wilt here read of the acts of the extinct race…lend thy attention to the tale, and learn the deeds and sufferings of thy predecessors” (Shelley, 1996, p. 310). Mary Shelley’s eagerness for awakening reader’s individual consciousness can be easily traced.

**Conclusion**

To sum up, this essay argues that in 18th-19th centuries, the British orphans in factual records and novels were mostly Christians. However, two orphans, Verney and Adrian, in Mary Shelley’s *The Last Man* were atheists who did not believe in Christianity. They not only suspected the privilege of human beings described in the *Holy Bible*, but also refused to believe the resurrection, death interpretation and the millennium. They essentially denied the existence of God. This kind of plot construction was extremely rare at that time. By constructing the two orphans, Mary Shelley’s true intention was to critique the side effect of Christianity in killing people’s individual consciousness and, most importantly, to awaken the individual consciousness in the modern individual who had religious belief. Additionally, the orphans played a crucial role in *The Last Man*. This essay deals with their special religious attitudes; however, their political status, as well as their political stands are also very unique, which is worthy of future study.

**References**


Image of China from the Eyes of W. A. Cornaby:
In the Case of China under the Searchlight

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[Abstract] From the perspectives of overcrowding, solidarity, ancestral worship, mandarindom, aesthetic tradition and language, this paper analyzes the image of China during the period of the late Qing Dynasty through W. A. Cornaby’s China under the Searchlight. It concludes that, as acute observers, missionaries like Cornaby laid a foundation for contemporary study of Chinese society and culture.

[Keywords] image of China; W. A. Cornaby; missionary; China under the Searchlight

Introduction
Sinology originates from the introduction and study of China from western missionaries. Early sinologists were mostly missionaries, and the tradition of early sinology was established by them. From Jesuits to Protestant missionaries, the constant exploration and research of China never ended. Distinguished figures such as Matteo Ricci, Ferdinand Verbiest, Louis-Danie Le Comte, Robert Morrison, James Legge, Walter Henry Medhurst, and Samuel Wells Williams, contributed greatly to the Sino-Western cultural communication and research (Xiong, 2007, pp. 10-11). W. A. Cornaby also made a contribution to this field, but until now has been ignored.

William Arthur Cornaby (1860-1921) was born in Sydenham in London. He attended the School of Mines in South Kensington and became a chemistry demonstrator at Clifton College in Bristol. In 1883 he decided to enter the ministry and was admitted to Richmond College in that year. In 1885 he was sent out to Hankow in central China as a missionary with the Wesleyan Methodist Missionary Society. In 1895, he was appointed to Hanyang where, in addition to running a church and school, he became the editor of The Chinese Christian Review, a monthly Chinese magazine for preachers. In 1905 he was appointed to take up literary work in Shanghai with the Christian Literature Society under the direction of Timothy Richard. His chief work was to edit Ta Tung Pao, a weekly magazine targeted at Chinese officials and scholars. In 1919 Cornaby, already suffering from malaria, contracted tuberculosis. He died at Kuling in 1921. His books were published both in English and Chinese. His English publications included A String of Chinese Peach-stones, Rambles in Central China, China under the Searchlight, The Call of Cathay, In Touch with Reality, and Let us Pray. He also published many articles in Chinese and English through missionary publications (Kernahan, 1923).

China under the Searchlight was published in 1901. It presents an image of China from the perspectives of overcrowding, solidarity, mandarindom, ancestor worship, aesthetic tradition and language.

Overcrowded Nation with Solidarity
In China under the Searchlight, Cornaby first focused on the overcrowding in China, realizing the relationship between overpopulation, national character and utilitarianism. According to his observation, overcrowding affected the development of the national characteristics in China. He saw that most Chinese
live on year by year in a hand-to-mouth fashion” (Cornaby, 1901, p. 21). He further found the relationship between overcrowding and utilitarianism. The pressure of circumstances resulted from overpopulation and poverty fostered utilitarian instincts. On the one hand, it made people’s existence very simple – making a living in a hand-to-mouth fashion, on the other hand, their worship become utilitarian. Before an idol or an ancestral tablet, farmers or shop-keepers only have “three many’s” in mind (many riches, many sons, and many years of life) especially the first one. “In country places, during times of drought, the farmers have been known to scold their idols, then curse them and abandon them to the sun rays until the paint and varnish are blistered, as a punishment for not having fulfilled the one purpose for which they were bought and nourished” (Cornaby, 1901, p. 24). Worshiping of idols become gain-seeking. The development of the keen perception of character and adeptness in artifice were another result of the density of population in China. In order not to be deceived and survive among the masses, tricks were fostered by the struggles for life.

Cornaby found multiple results of density of population, that is, poverty, utilitarian quality of existence and worship, the deceiving quality of both people’s communication and the process of their making their living. Thus, he understood the in-depth problems behind the superficial phenomenon of Chinese social lives.

Solidarity in China was another important social phenomenon. Cornaby believed that the disturbed state of China during the period of “the Divided States” and the frequent revolutions since would naturally tend towards combination among blood-relations, (Cornaby, 1901, p. 36) which resulted in Confucius’ important politico-moral philosophy emphasizing the strengthening of existing family ties. Cornaby paraphrased Confucius’ thoughts, “If only the family, rather than the individual, were the unit; if only the supreme duty of life were unquestioning devotion to parents, and the local ruler or distant sovereign were regarded as the ‘parent of the people’– as he was literally when the realm was but a clan – then would government be easy indeed” (Cornaby, 1901, p. 37). Relating solidarity in China with family-unit and filial duties, which is the heart of Confucianism, Cornaby no doubt revealed the soul of the ruling of Chinese feudalism.

Although there is an axiom in Chinese, “all below the skies are one family,” Cornaby discovers that the solidarity stops short at the clan or the neighborhood. For example, the whole family at meals dip their chop-sticks or spoons into the common bowls of vegetables; the main room of a house is open to all comers from the neighborhood. Meanwhile, “they regard a man of another surname with suspicion, a man from another town as an alien, a man from a distant province, whose dialect differs from their own, as a foreigner, and an actual foreigner as an ‘ocean fiend’” (Cornaby, 1901, p. 42). The solidarity of Chinese was realized in a clannish and local manner as a bundle of firewood to preserve a secular edition of the unity of the spirit in the bond of peace.

Cornaby further observed that clan-responsibility as being shared by every member of the multitudinous clan-circles everywhere makes it an exceeding useful system in the prevention of crime, or the capture of a criminal. This clan-unit empire, which is like a block of loose red sandstone, has been weather-worn by the national storms known as insurrections, rebellions and revolutions and could still retain its general shape.

**Tradition, Imitation and Ancestral Worship**

China is a country facing the past from the perspective of time. Tradition is very important in different aspects. According to Cornaby, during the period of Zhou Dynasty (1122-221 B.C.), “China produced her
sages, her classics, and her individuals” (Cornaby, 1901, p. 60). Since then it ceased to create, devoting her energies to imitation. For example, Taoism is based on the philosophy of Lao-tzu, “but in its later form is really a native modification of the Buddhism imported at various times during the earlier centuries A. D” (Cornaby, 1901, p. 61). While in literary matters the literati pay their respect to tradition by “polishing and smoothing down existing attainments” (Cornaby, 1901, p. 61). The literati have the habitual sensitiveness to tradition. They memorize every classic book, because their future lies in the imitation of classics, and it is very honorable to be “a disciple of antiquity” (Cornaby, 1901, p. 72).

Ancestral worship is another form of respect to tradition. “They literally worship the preceding generation and own themselves its inferiors” (Cornaby, 1901, p. 62). Cornaby claims that ancestral worship is the very “death-knell of progress”, because on the one hand, it means reverence for the dead past of custom and social condition, on the other hand, it means giving up of any effort to rise superior to improper practices of the forefathers. Originality is lost in superstitions. “The man’s whole environment has become identified with Fate, and the Chinese have become fatalists with a surrender to circumstances” (Cornaby, 1901, p. 64). Thus, China becomes “a social and national dead-level of malarious bog-land” (Cornaby, 1901, p. 63).

Cornaby here mainly highlights the consequences of ancestral worship and imitation of tradition, and further advocates that imitation of “more progressive races” is learning progress (Cornaby, 1901, p. 86). We can not ignore that there is a sense of superiority in his judgment. Said analyzed, “there is the hegemony of European ideas about the Orient, themselves reiterating European superiority over Oriental backwardness, usually overriding the possibility that a more independent, or more skeptical, thinker might have had different views on the matter” (Said, 2003, p. 7). This same superiority can also be seen in Arthur H. Smith, an American missionary in his prominent work Chinese Characteristics, when he deliberates about conservatism in China. He illustrates profoundly the blindness of people conforming to tradition. He claims that “a long established usage is a tyranny. Of the countless individuals who conform to custom, not one is at all concerned with the origin or the reason of the acts. His business is to conform, and he conforms” (Smith, 1894, p. 119). In fact, a negative China image helps to form a positive progressive image of the West, “only in the contrast of China or even the East being historically stagnant can confirm the significance of the progressiveness of the modern western society and its superior center in the world history” (Zhou, 2008).

Concerning ancestral worship, Chester Holcombe, another American missionary and diplomat who wrote The Real Chinaman, also had his own views. He believed it kept people from changing their living place and occupation (Holcombe, 1895, p. 87), which helped to build a stable society. Filial obedience is the natural result, and old age is respected, which leaves less room for independent action or personal judgment.

All three emphasized more on the negative sides of holding onto tradition. Obviously, they view Chinese culture and tradition from the perspective of missionaries targeting at transmitting Christian values. Tradition and Confucius values were real obstacles for their missions.

Mandarindom

Mandarindom and individual Mandarins are different. Cornaby observed that mandarindom is a corrupt institution, while individual Mandarins are respectable men. They lived on their meager salaries, from which they should hand in a part to their superiors in order to “buy his preferment” (Cornaby, 1901, p. 154). These expenses with superior Mandarins were immense, and in addition some criminal cases were
also a great expense by handing on from the county court to the prefectural office and upwards, thus, the Mandarins had to do their best to “make money out of civil cases, and accept at least the proffered ‘presents’ from both plaintiff and defendant” (Cornaby, 1901, p.154). As a result, few Chinese scholars with Confucian conscience can “remain alive and robust year after year in the lions’ den of mandarindom” (Cornaby, 1901, p. 155).

Cornaby wonders that “with the cancer of mandarindom preying upon the body politic, China has not perished long ago” (Cornaby, 1901, p. 156). He then regards it simple to explain. First, because “there has been no nation near at hand which has been big enough to absorb China” (Cornaby, 1901, p. 156). Second, although the changeless China remains because the bureaucracy remains, “the chief part of the actual government of China is carried on outside the mandarin’s yamen. It is the unofficial government in the little clan-circles, by the village head-man, the local school-master, arbitrators and peacemakers which has been the prop of every dynasty and the saving of the nation” (Cornaby, 1901, p. 157).

Cornaby’s impression on mandarindom maybe superficial, and not deep enough, but he emphasized the vulnerability of individual mandarins under the system of mandarindom and the importance of the heads of local clans in the solidarity of the empire.

Aesthetic Tradition
The image of the late Qing Dynasty in the West is the stereotype of ignorant people with ugly pigtails. One cannot imagine China with the notion of aesthetics. However, Cornaby considered China a nation of aesthetic traditions. First, he examined the origin of wearing pigtails and found that it was a practice forced upon the Chinese nation by the conquerors, the Manchu innovators. Then, he illustrated the objection from the literati to the queue by presenting the fact that there were no queues in any painted portrait or work of art (Cornaby, 1901, p. 163). Cornaby further presented his view by the proof of the adoption of Buddhism in China. Buddhism was opposed by the literati for a full thousand years, until “the gleaming hill-top temple and its vesper bell entered into the poems” of the nation, and Buddhism gained a real hold upon the literati, who were the educated section of the nation. In this, the most aesthetic flower of China, the lotus which is the symbol of Buddhism, doubtlessly helped (Cornaby, 1901, p. 165), since the lotus symbolizes spiritual purity and loftiness in the writings of the literati. He further elaborate that the chief value of the Confucian writings lay in the highly aesthetic manner in which the sage and his disciples expressed themselves, and in the fact that by studying and approaching the same aesthetic style, the gates of mandarindom were supposed to open to every poor scholar (Cornaby, 1901, p. 166). In this, Cornaby actually stressed that the literati were selected to officialdom by the ruling class basically through aesthetic values of the classics. Moreover, Chinese calligraphy reveals another aspect of the aesthetic tradition. The aesthetic grouping of given elements is the high principle in an artist’s mind. A well-written inscription ranks even higher than any but the finest pictures of China, and “the written characters of the ‘sacred sage’ are in themselves works of art” (Cornaby, 1901, p. 166). Finally, maps can also be appreciated from an aesthetic view. Different from the Western map-work, “with the fine touches of a miniature-painting, the artist had drawn a bird’s-eye view of each county upon a separate square of white silk, lining out the mountains in delicate gold tracery. Each square was a treasure; no lover of the beautiful in decorative landscape but would prize such artistic creations. But they were landscapes in poem, not maps” (Cornaby, 1901, p. 168). It is undeniable that Cornaby showed his profound appreciation in Chinese aesthetic taste and tradition.
Chinese Language

The Chinese language, according to Cornaby, referred to three things – colloquial Chinese, a written dialect based upon that colloquialism, and the literary language – the last one is very difficult to master, while the first one is easy for starters. With meager vocabulary, after only seven or eight months, some foreigners could even be public speakers. “What difficulties colloquial Chinese presents lie chiefly in the fact that each word should properly be uttered in a certain fixed tone” (Cornaby, 1901, p. 176). The same sound with four different tones could be presented with four different characters. For example, “smoke, salt, eye, and satiated” in Chinese are four different words with the same sound “yen”, but with different tones. These monosyllabic words are usually coupled with other words, which can prevent possible misunderstanding. Even if the tone is wrongly presented, it would be understood and could give the impression of a dialect from another part of China. The simplicity of the language lies also in the fact that there are no inflections, or hardly any plural distinctions. Even the most illiterate native never makes a grammatical mistake, because there are no grammatical rules which he could break.

Cornaby analyzed that difficulties of the written Chinese lie in the recognition of the Chinese characters, the element of allusiveness and the absence of punctuation marks. Written Chinese characters are very difficult to recognize, for those characters are “like men’s faces in conveying little or no hint as to their names” (Cornaby, 1901, p. 184). The element of allusiveness requires a reader of poetry “intimate acquaintance with numberless classical sentences and historical occurrences” (Cornaby, 1901, p. 187).

Without commas and full-stops in the text, the written Chinese solves the problem by so called “particles” supplying a sort of internal punctuation.

According to Cornaby, the distinctive features of written Chinese were four-character phrases, parallelism and rhythm. He stated that the four-character phrases were “gem-like crystals” in the “mosaic-work” (Cornaby, 1901, p. 189) of Chinese prose, and well-poised parallelism based on the law of aesthetics is the germ of a Chinese poetic style (Cornaby, 1901, p. 191).

In The Real Chinaman, there is also a separate chapter concerning the Chinese language. As for grammar, Holcombe shared the same view with Cornaby, for he believed it was “almost non-existent”. “The words may be used for the different parts of speech almost at will,” and “moods, tenses, persons, gender and number are all lacking” (Holcombe, 1895, p. 57). Holcombe differs greatly with Cornaby on is the view about the colloquialism. Holcombe felt the use of language in conversation had “serious difficulties” and an “insurmountable barrier”. One cannot learn to speak it through book study. Only from “the lips of a living teacher” (Holcombe, 1895, p. 62) could one learn to acquire the accurate pronunciation. Besides, it is useless to try to reduce the sounds to writing, and “no alphabet or combination of alphabets has been found which will accurately represent the sounds” (Holcombe, 1895, p. 63). Moreover, he saw the tone as very important in fixing the idea of the sound, because “the tone of utterance affects, or rather determines, the root idea as much as the sound itself does” (Holcombe, 1895, p. 65), and “there is absolutely no connection in idea between the different tones of the same sound” (Holcombe, 1895, p. 67).

Conclusion

Different from Arthur H. Smith, Cornaby focused more on “China as an abstract entity” rather than “the Chinese as people” (Mackerras, 1999, p. 45) in understanding China. Here, China is an overcrowded nation with solidarity. Behind the density of population and poverty, Cornaby saw the utilitarian nature of human existence and worship, and the adeptness in artifice for survival. Behind solidarity, he saw that
family-unit and filial duties served to help the unity of the spirit and feudal governance. Behind tradition and ancestral worship, he saw the imitation of the past and the disciples of antiquity led only to the death-knell of progress. In addition, he also saw the powerlessness of individual mandarins in “the lions’ den of mandarindom” and distinctive features of the colloquial Chinese. Cornaby had a mixed feeling toward China as a whole. We can sense his superiority concerning the imitation of the tradition, and also his strong appreciation in the long-cherished aesthetic taste and tradition in China. Although all of these, according to Said, were a “European representation” or western representation of China (Said, 2003, p. 1), their “outsider perspective” made it possible to give a more complete picture of China, along with us insiders’ understanding and research (Zhang, 2010). As acute observers, missionaries like Cornaby laid the foundation for a great amount of contemporary study of Chinese society and culture, which should not be ignored.

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Identity Anxiety in Russian Novels in the New Century

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[Abstract] In the new century, the question of “Who am I?” or “Where am I?”, which concerns confirming self-identity and consensus space, has become a heated issue among Russian novels again. The novels focus on how characters who regarded post-Soviet era as “heterotopia” passively pursue self-identities and confirm behavior directions, which makes these novels obviously autobiographic. In the post-Soviet era, individuals can neither find an interlocutor in society to confirm self-identities, nor their own positions in families which characterize the most subjectivity. Identity anxiety deprives characters of their sense of direction in public space, and the hopeless struggle finally makes them feel trapped in closed self-space.

[Keywords] Russian novels in the new century; social transition; identity anxiety

Introduction
Vladimir Kriukov, a Russian writer in his fifties, wrote in Experience of Identity: “Once there was a country where I couldn’t find my own position. Later on, the past was cut off and wiped out, but I didn’t embrace my new life with a high spirit. Instead, I gradually became an aging outsider, or rather, a ‘second-hand’ person who lives on past debris. The reality, which is inundated with poverty, greed, filth and extravagance, is cruel and ruthless. Therefore, people begin to be nostalgic about another country today” (2009, p. 199).

Most people who have experienced the social transition from the Soviet Union to Russia have the same feeling as Kriukov, not only having difficulty figuring out their positions, but also regarding themselves only as outsiders. They are lacking a sense of direction, and thus, they cannot make sure where they are or react to dramatically changing surroundings. Russian literature in the new millennium explores the identity anxiety as well as the lack of space of identity.

The lack of interlocutors in public space
“How can I not be a citizen? How?! I have lived in Russia since 1987! At that time, the Soviet Union was everyone’s, while the Russian Federation was vague and intangible! So who am I now?! Who? A citizen of which country?” (Gutsko, 2004). This series of questions is asked by Mitya, the protagonist of the novel Nowhere to Trace, which was written by D. Gutsko. Mitya, born in Tbilisi, Georgia, has lived in Rostov, Russia since 1987. After the disintegration of the Soviet Union, Mitya was on the horns of a dilemma – Georgia didn’t recognize people living in the Russian Federation as their citizens, while the Russian Federation refused to accept Mitya as a Russian citizen or issue him a passport only because his former Soviet identification card wasn’t registered. The plot running through the whole novel was how Mitya spared no effort to get a passport. 2005 witnessed this novel winning the Booker Prize, but the chairman of its jury, Aksyonov, once questioned, “How can getting a passport be a problem? How can it become the main focus of this novel?” (Kormilova, 2005). If getting a passport cannot be a major problem Mitya is faced with, then from every aspect, finding one’s motherland and oneself is an inevitable problem for Mitya as well as the author D. Gutsko himself. Because it is a rare phenomenon even in world history that all the citizens turned into foreign residents overnight due to the disintegration of a country.
The disintegration of the Soviet Union makes every Soviet citizen have to reconfirm the relationships between themselves and the outside, as well as between the individual and the public space. In a word, they have to re-find the answers to “Who am I?” and “Where am I?” As contemporary philosopher Charles Taylor once said, to answer “who am I”, one has to place oneself in a social dialogue. “One cannot be a self on one’s own. I am a self only in relation to certain interlocutors... A self exists only within what I call ‘webs of interlocution’. It is this original situation which gives its sense to our concept of ‘identity’, offering an answer to the question of who I am through a definition of where I am speaking from and to whom” (Taylor, 1989, p. 36). Mitya’s reconfirmation of “who am I” was exactly based on questioning, by which he was looking for interlocutors who were of vital significance in terms of helping him gain the concept of “identity”. It was not until Mitya applied for a passport that he realized the government at that time was nothing different from the Soviet government, which shut out and discarded its citizens. As a result, Mitya didn’t have the courage to answer “who am I” from a nationality perspective any more. When he failed to apply for a passport through the official channel, he had no choice but to try to do backdoor deals, such as asking his classmates, politicians who ran for the presidency, and his boss, a bank executive, to do him a favor. When Mitya was interacting with those potential interlocutors, he discovered that he couldn’t understand or agree with their means for survival, and thus, he could only stay in the lowest social status – the band of Lusia, a yuppie.

To answer “where am I”, Mitya, on behalf of a minority of the multi-ethnic Russian Federation, expressed the incurable pain of emigrants, which was ignored by most people. Although Mitya always yearned for his home in Tbilisi, he clearly knew that it didn’t exist anymore. Neither Tbilisi nor Rostov could help him find himself. Many Russian residents who have turned from Soviets into foreign residents overnight also feel dreamy when it comes to “there” and “here”.

*Matisse*, the most representative Russian novel in 2007, also discusses the fate of that generation who had no idea of “here” and “there” due to the disintegration of the Soviet Union. Compared to Mitya, Korolev, who was born in the 1970s, was faced with more helplessness and confusion. When he became mature and independent gradually, he had to suffer from the impact of the social transition at that time which totally disturbed his life plan. Korolev and his generation had the same feeling as Mitya – the whole society was in disorder. “The new waves are coming one after another, making up fake progress: speculative resellers have given way to traders, gangsters to devil police, tycoons to KGB...this uncontrollable and reckless age involves everyone, befuddles everyone and exhausts everyone.” (Ilichevsky, 2009, p. 115) Korolev was sucked into a whirlpool and turbulence passively, having no way to find an interlocutor to tell him “who he is, where he is and should be” or to find his own position. What he could feel was only darkness and coldness of society, as well as fear and helplessness in his daily life.

It can be safely said that individuals in the post-Soviet era feel helpless with the sudden collapse of the Soviet Union. Its disintegration not only threw everyone into “heterotopia”, but also forced them to accept this tremendous change. Writers themselves are also individuals in the post-Soviet era, and are perplexed by the situation. What they can do is to react to this social transition and explore the individual’s position in the post-Soviet era by virtue of writing. That’s why many Russian novels in the new century are quite autobiographical. Gutsko, himself, is no stranger to the difficulty of getting a passport. The author of *Matisse*, Ilichevsky once said, “whether we are willing or not, our growth reflects the development or destruction of the surroundings... nothing is better than constantly developing consciousness to record the changes of reality. For instance, in the field of geology, only after a seemingly endless time limit can we
have a clear understanding of time. I have applied this approach to my novel” (Ilichevsky, 2009, Foreword, p. 2).

Meanwhile, Prohanov, a survival of the past age who writes official Soviet literature, still focuses on Russian politics in his novel, *Mr. Black Explosive*, in the new century. In the novel, he writes about the activities organized by “Alliance Members” which aim to restore the Soviet Union, in order to strike a chord in readers and encourage them to take action. Beloselecev, together with “Alliance Members”, was involved in all the political changes in their restoration plan, and they showed remarkable prudence: they frequently changed prime ministers by bribing and assassinating; when the new government faced a rough ride, the “representative” elected by “Alliance Members”, who was modeled on Vladimir Putin, replaced the former puppet president himself. It was because the “representative” had the willingness to restore social order of the Soviet Union that “Alliance Members” elected him. Whether Russian politics are related to old diehards of the Soviet era or not, Prohanov believes restoring the Soviet Union is only a matter of time, which is his own wishful thinking.

Prilepin, a controversial Russian writer, is a member of the radical leftist group “National Bolshevik Party”, which is prohibited by the Russian authority. In his book *San’kia*, the protagonist is a young man named San’kia who is looking forward to the revolution. The novel revolves around the activities organized by San’kia and his group “Creator Alliance”. In their eyes, after the disintegration of the Soviet Union, Russia “is a country obsessed with evil, hypocrisy, and foolishness, which allows bullying, shamelessness and vulgarity to make great strides – why should we tolerate such a country? What’s the meaning of living in a country which betrays itself and its residents every minute?” (Prilepin, 2008, p. 112). They wanted to go back to the Soviet Union, and they believed that they were inherently called up for the revolution of restoring the Soviet Union by certain imprints and scars.

If Prohanov and the characters in his novel like Beloselecev are the old diehards upholding the Soviet ideology, then Prilepin and his protagonist San’kia can be categorized as the young ones. As writers, they write about sensitive social issues like “revolution” in their works passionately as if they were in reality, attempting to present or drill the revolution in the post-Soviet era. They place Beloselecev and San’kia who are longing for the revolution in the post-Soviet era, letting them ignite people’s passion for restoring the Soviet Union. However, even the writers, who regard the disintegration as the evaporation of social utopia and feel agonized, they have no capacity to build up a meaningful political state in their works, which is broken and scattered in the post-Soviet era.

The Sense of Being Home in Private Space

Russian novels in the new century create their characters in all walks of life while presenting the sudden collapse of the Soviet Union. All of the characters, regardless of their ages and occupations, clearly realize that “who am I” is a question crying for an answer, but it remains to be resolved due to the lack of interlocutors in public space. When it comes to “where am I”, we are able to discover that most characters even cannot behave as family members when they are in their families, their private space with the most subjectivity. Thus, writers’ exploration of the relationship between individuals and the outer space has taken on overtones of private mental history.

Mitya in *Nowhere to Trace* got married and settled down with a job: he did research projects at the Institute of Physics and Organic Chemistry after graduation, and was nicknamed “Mr. Nobel”; his wife Marina worked in the lab and had given birth to a son named Vania. When the political situation changed, their only source of income – research funds and financial aids – was defaulted frequently. Nevertheless,
Mitya couldn’t integrate himself into the life in “the Commonwealth of the Independent States”, where each man worked for his/her own interests. His wife wasn’t able to support the whole family by selling the clothes she wore. Therefore, she had no choice but to leave; she left for Germany at the forty-seventh request of a German professor, and brought her son there three years later. Mitya remained silent on all the changes. The protagonist of the novel These Houses has rented houses, legitimate or illegitimate, since the Soviet era. His wife became fed up with the unsettled life and chose to leave. But the husband didn’t attempt to persuade his wife to stay. Instead, he said “it is merely our store room. I have also left here for long” (Golovanov, 2004).

In the novel One Year in Heaven, on Victory Day, “I” was suddenly reminded of the place where my grandpa died in the Second World War. Thus, “I”, being drunk, got on a train from Moscow to Smolensk. After buying a broken-down house in its Heaven Village muddle headedly, “I” lived there for one year. The novel starts with “last week, my mother-in-law took all the things away. So now, all my neighbors know that my wife has left me” (Kliuchareva, 2007). The novel didn’t mention “my” guilt about “my” wife or the effort to hang onto her at all. Even mentioning “my” wife was always associated with her cries and sarcasm.

Korolev, in Matisse, had affairs sometimes, but his “wife” was a female plaster statue, which he took care of tenderly. Although Korolev was a husband in the conventional sense, the one he loved was merely a statue with a lace veil, standing still without any reaction or request. Moreover, despite his satisfaction about its shape and the melancholy presented by the statue, he couldn’t name her virtues, and didn’t have the courage to personify her further. That’s why “he doesn’t want to give her a name in any case”. In fact, it is because Korolev didn’t know what kind of women he would love and how to talk with them, not because he didn’t want to abuse the right to name her and be clear about his beloved ones.

Families are vulnerable to the impact of the disintegration of the Soviet Union and social changes, and the ties of kinship are not able to bear the pressure of life. As a result, when individuals are exhausted with fatigue by the social changes, they no longer have a safe harbor to take a rest. What’s worse, they have no vigor or courage to fall in love with someone again. Rollo May (1988), an American scholar, pointed out that the basic root to modern people’s loneliness and anxiety lies in social history and culture psychology, such as the loss of core values, sense of ego and sense of tragedy. Based on the Russian novels mentioned above, we can discover that the life of most of the protagonists or major characters are meaningless, and that even families, which have the strongest sense of self-existence, become broken due to the pressure brought by social changes. Thus, the characters are deprived of their micro status as family members.

**Trapped in a Closed Self-Space**

No egg can remain unbroken when the nest is overturned. Man’s subjectivity – man’s “senses of inwardness, freedom, individuality, and being embedded in nature” (Taylor, 1989, Preface, p. 1) – collapses along with the destruction of “sense of being home”. This, in a large part, declares the failure of figuring out “who I am and where I am” in the post-Soviet era, which “seems to spill over into a loss of grip on one’s stance in physical space” (Taylor, 1989, p. 28). Therefore, since their questioning of identity ends fruitlessly, Russian novels in the new century mainly describe the individual’s fear, resistance and indifference, as well as their boredom and avoidance of daily life.

In One Year in Heaven, when “I” lived in Moscow, the idea of getting rid of the rigid urban life was always echoing in “my” mind. The moment “I” left for Heaven Village on holiday, “I imagine that I am leaving for good rather than for a month while walking... which delights me a lot” (Kliuchareva, 2007).
This might be a conscious choice or the inner inclination. However, “I” denied that it was a conscious decision. Instead, “I” attributed all these to fate and unconsciousness. What’s more, “I” even pretended that all these were decided by fate rather than personal factors. “I even begin to act: I chase after the bus, waving my hands (actually, I know that the bus driver wouldn’t notice me). After that, I pretend to be mad and throw away my bag packed with books, stamping my foot.” “Actually, I have imagined such situations before. I have thought about leaving here to live a different life, a real one. But it seems like an illusion to me, which is impossible to realize. Maybe I will never take such a step consciously. But it all comes true naturally, which has nothing to do with my willingness. I have only been asked to accept it and obey it.” (Kliuchareva, 2007)

Korolev in Matisse also made great efforts to earn a living. Years later, he finally found a decent job. In a way, he already possessed cars and houses which drove urban people constantly on the run. However, the all-pervading fear and helplessness in his daily life made him unable to vent his “pent-up anger”. Railway stations, airports and graveyards were the only places he yearned for, because trains and airplanes symbolized leaving or the hope of escaping, while graveyards represented the call from below ground, which could alleviate all of his anxiety. In the end, Korolev did flee to the underground, wandering, imaging and sleeping in a discarded railway tunnel.

Meanwhile, Mitya in Nowhere to Trace, who already lived a vagrant life, spared no effort to look for the marks he had left before the dramatic social changes. He was drowned in the past and hated the changes in the surroundings. When he found the past was beyond recall by all means, he chose to live as a helpless child. Later on, he totally gave up and became an outsider.

Among Russian novels in the new century, the characters who cannot be in control of themselves or accept the changes in the public space can only show contempt for it or feel ashamed of it, and feel disdain to live there for self-protection. For instance, Korolev and Mitya both choose to rush through the public space in the hope of avoiding the question of how to be there. Ilia and San’kia, who are more impulsive and red-blooded, choose to win people’s respect by fighting against the public space. However, just as terrorist attacks are desperate opposition to the authority to some extent, their resolute opposition is also like a moth darting into a flame. In the end, they achieve the same end by different means – choosing to be absent from the public space and no longer playing a role in kinship, friendship or love. In other words, the identity anxiety deprives the characters of their sense of direction in the public space, and their hopeless struggle finally makes them trapped in their closed self-spaces.

**Conclusion**

Looking forward or looking back, the writers who have experienced the disintegration of the Soviet Union will write their novels in a way that their stories are shrouded by a tragic overtone. Since they have experienced years of exile, they ceaselessly look for their identities and re-explore the relationships between individual fates, time, and space. They attempt to reflect upon people’s mental state when they are fighting against dilemmas in life. However, due to the lack of interlocutors for identity confirmation and the loss of family member identity, the characters totally lose control of their public space, and thus, they choose to stay in their closed self-space which is vulnerable and easy to be interrupted. That’s why Russian novels in the new century, as historical texts and literary texts, are endowed with double values, indicating the cultural ecology and the mental state of Russian intelligentsia in this particular post-Soviet era.
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References


Willa Cather’s Attitude Towards Racism: 
A Defense from a Multicultural Perspective

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[Abstract] Willa Cather is not a racist: It is a relatively complicated statement that this paper will try to claim with a multidimensional defense due to Willa Cather’s multicultural background. Many scholars of Cather studies, including Toni Morrison, have mentioned that Cather’s works are full of racist stereotypes. Nevertheless, this paper is going to prove from her biographical materials and literary works, esp. Sapphira and the Slave Girl, that Willa Cather is not a racist.

[Keywords] racism; Willa Cather; Sapphira and the Slave Girl; multicultural perspective

Introduction

Many scholars of Cather’s studies, including Toni Morrison, have insisted that Cather put racist stereotypes in her literary works. Elizabeth Ammons (2007) in “My Antonia and African American Art” pointed out that Cather’s choice of words, when it comes to African-American characters, such as Blind D’Arnault, proves that “the racism here is obvious” (p. 58). Toni Morrison examined the novel Sapphira and the Slave Girl and claimed that “the problem with the novel, and the reason it so often has been dismissed by literary critics, lies in trying to come to terms critically and artistically with the novel’s concerns: the power and license of a white slave mistress over her female slaves” (Brown, 2004, p. 81). Minrose Gwin also thought that the novel “implies that… slavery usually had no grave and irrevocable psychological effects upon the enslaved” (Brown, 2004, p. 82). Moreover, scholars also found proof in other works written by Willa Cather. For example, Walter Benn Michaels viewed that Cather’s fictions “described the racialized constructions of American identity” (Brown, 2004, p. 82). And Blanche Gelfant once also mentioned that “Cather can put herself inside the experiences of Easter European immigrants, French Americans, or Canadians, people in many ways quite unlike herself. But when it comes to Americans of other races, such as Indians, Chicanos, or blacks, her racism blinds her” (Brown, 2004, p. 97).

However, all these views on Willa Cather’s fictions can be overthrown. This paper is going to argue with these criticisms from two major aspects as proof: Cather’s biographical information and her literary works. The two aspects are closely related to the concepts of cultural studies, racial studies, philosophical studies, and ecological studies, with which this paper is able to prove that Willa Cather is not a racist under a multicultural circumstance and context.

Multicultural Family Background

Elizabeth Ammons (2007) owed Willa Cather’s racism to the fact that “she was born and raised in the South” (p. 59). Nevertheless, it is this family background that leads to the multicultural thinking and political points of view. Cather’s grandfather William Cather was born in a southern family which supported the federal government, and Cather’s father also tried his best to get out of control of the southern confederation, not mentioning her great grandfather’s being against the slavery system. Therefore, on the one hand, such a southern family during the Civil War must have been standing at the crossroads, both
geographically and psychologically. On the other hand, it provides Cather with a more objective perspective in creating literary works, because what Cather describes best in her works is what she experiences in person in the places that she is most familiar with. And experiences are always between memory and history, and are the best materials for literary creation. During the war, people would often help each other to overcome difficulties no matter which side they supported. Hence, the possibility of survival is of supreme importance to ordinary people. Cather’s family also had black workers, but they were not slave owners. Cather’s parents and their family members gave up their different political opinions for the sake of the protection of love and care. This kind of sacrifice can often be read in Cather’s fictions, too. Therefore, it is not likely that Cather would guard against the slavery system or racism blindly.

Though Cather mentioned that she belonged to the older world, she was brave enough to face the past life and above all, she corrected some of the defects in the past life. Her great maternal grandparents didn’t choose to give freedom to their slaves before their death. Courageously, Cather chose to use her maternal grandparents as the archetypes of Sapphira and her husband Henry in *Sapphira and the Slave Girl*, and invented a totally different ending for the slave owners. After the death of Sapphira, Henry released their slaves immediately.

Willa Cather, during her childhood, was influenced greatly by cultures representing those ethnic groups, and especially African-American cultures. She was just like the five-year-old girl in *Sapphira and the Slave Girl*, being accustomed to the story-telling of black girls before bed-time. So, the life of this group of people had already become a natural part of Cather’s life, and was not in great need of being intensified. Ann Romines (2005) in *Willa Cather and Material Culture* presented the quilt making tradition and Willa Cather witnessed the beautiful picture in which the slaves and the female slave owners were making quilts in different styles together, she witnessed the intimate and personal relationship between them during work, and also witnessed the practical needs of the quilts for the slaves rather than the esthetic needs for the white slave owners. Romines believed that it is because of the limited point of view employed by the white female narrator, the black people’s quilt-making activity was not amplified by Willa Cather in her fiction. On the contrary, it is just because Cather had realized that this kind of activity is an indispensable part of their daily life, just like the function and description of the quilts both as a practical and cultural heritage in Alice Walker’s story “Everyday Use”. These quilts are the heritage that the older generations planned to hand down to the younger generations, but not the things that would be hung in the museums to show off their culture. Thus, the narrative point of view that Cather employed in the novel is practical and objective, and is the representation of her life experience, but not the artistic process of her memory and history. She once said in New York in 1925: “… handiwork is a beautiful education itself, and something real. Good carpentry, good weaving, all the handicrafts were much sounder forms of education than what the people are getting now” (Bennett, 1961, p. 150). So, it would be subjective if scholars criticized that Willa Cather is a racist.

**Multicultural Literary Background**

Willa Cather truthfully depicted her childhood hometown Virginia. She tried to describe a real Virginia, not just about its glorious past, but also about a place filled with violence and racial conflicts. What’s more, in *Sapphira and the Slave Girl* Cather arranged the five-year-old “I” at the end of the novel, which also proved that Cather had already realized that the underneath truth of that world, and she chose not to avoid looking into it. No doubt that she is not a racist.
Mentioning memory and experience again in this part, this paper is going to talk about Richard Terdiman’s memory crisis and the connection between the memory and Cather’s works, and the influence that memory and experience can generate in her works. In his book *Present Past: Modernity and the Memory Crisis*, Terdiman (1993) argues that: “in the period between 1815 and 1920, Western culture underwent a memory crisis, a sense of dislocation from its own past. Beginning in the nineteenth century the past began to look like a foreign country. The sense of time’s continuous flow and of our unproblematic place within it were lost. With this crisis came a massive disruption of traditional forms of memory and a preoccupation with the institution of history as cultural memory” (Terdiman, 1993, pp. 4-5). Cather also had similar feelings when she started writing *Sapphira and the Slave Girl* in 1936. She said that “the world broke in two about 1920, … and I belonged to the former half” (Bennett, 1961, p. 148).

Being one of the members of the reconstruction of the South after the Civil War, Cather had to think about in what kind of way that she was going to remember it. There are two extreme ways people could choose: living in the past forever or heading for the future without any goals. Cather didn’t choose any of them. Instead, at the beginning of her literary career, she didn’t discuss the racial problems by focusing on the pioneering spirit, and coincidentally chose to faithfully describe the slave and her slave owner in the last of her literary creations, in particular from an innocent little girl’s point of view. Cather finally chose to talk about that period of time that she was also familiar with in the last period of her career, for she realized the damage that memory crisis and the dislocation of western culture from its past could both cause; otherwise, she didn’t need to set free the slaves in her last novel. In fact, Cather did mention the importance of faithfulness and truthfulness in a letter she wrote to her friend Viola Roseboro, a writer and an editor: “She hoped her friend would nevertheless like *Sapphira and the Slave Girl*, because so little of the book was fiction” (Romines, 2003, p. 282), and “Cather also described *Sapphira* as an almost devotional act of memory. She had worked to deal with her material honestly and humbly without excessive color” (Romines, 2003, p. 281).

The method of characterization Cather employs frequently as the first access to the characters in her fictions is the description of physical appearances, which actually can give the reader a sense of reality. Cather always begins by describing the physical appearances when she introduces a new character to the reader. Just like T. K. Whipple (1967) mentioned in “Willa Cather”: “Her insistence on objectivity no doubt explains Miss Cather’s success in the biography and portrait-painting to which she is inclined in preference to drama. The reader can fully visualize the appearance of her people. He knows what they look like, as well as what they think and feel” (p. 40).

Elizabeth Ammons (2007) criticized that when Cather describes the black characters in her fiction, including *Sapphira*, “the novel is full of racist stereotypes” (p. 60). In Elizabeth Ammons’ eyes, the episode that describes Blind D’Arnault, “He had the Negro head, too; almost no head at all; nothing behind the ears but folds of neck under close-clipped wool” (Cather, 1954, p. 184), is viewed as an example of Cather’s intention of uglifying black characters. But, don’t forget that Willa Cather went on describing him in the following sentence: “It was the happiest face I had seen since I left Virginia” (Cather, 1954, p. 184). And in the previous part, Cather also mentioned that “it was the soft, amiable Negro voice, like those I remembered from early childhood, with the note of docile subservience in it” (Cather, 1954, p. 184).

Cather had a friend, Mrs. Silas Garber, about whom she wrote *A Lost Lady*, and Cather said, “The problem was to get her not like a standardized heroine in fiction, but as she really was, and not to care about anything else in the story except that one character. And there is nothing but that portrait. Everything else is subordinate” (Bennett, 1961, p. 69). Judging from it, the description of Blind D’Arnault is not necessarily
a proof of racist stereotype; instead, with the complete description of Blind D’Arnault, a sense of helplessness and the author’s sympathy for the black musician pops up between the lines, and in turn, arouses a sense of empathy in the reader’s mind.

Besides, Ammons (2007) mentioned that Nancy in Sapphira is described by Cather as a stupid nigger. However, another piece of description of Nancy seems more meaningful and impressive: “Mrs. Blake sat watching Nancy’s slender, nimble hands, so flexible that one would say there were no hard bones in them at all: they seemed compressible, like a child’s” (Cather, 1940). The natural, childlike, and healthy appearance is what lies in Cather’s memory of an innocent childhood.

Moreover, Ammons (2007) focused on another character in Sapphira Sampson, and pointed out that Cather described him as an alien: “His head was full behind the ears, shaped more like a melon lying down than a peanut standing on end” (Cather, 1940). However, Ammons just simply isolated this part from the complete paragraph description of Sampson, and made the reader misunderstand Cather as a racist. The complete description version of Sampson actually is as follows: “Of all the negro men on the place, Sampson, his head mill-hand, was the only one who might be able to get work and make a living out in the world. He was a tall, straight mulatto with a good countenance, thoughtful, intelligent” (Cather, 1940).

In these two situations, Willa Cather put the two black characters in two extremes, which reminds us of the memory crisis and dislocation mentioned previously. After many years of writing, Cather was somehow trapped into the dislocation. The seemingly different understanding of the two characters reveals the changes of Cather’s thinking patterns, and the transposition of her thoughts between the present and the past. Therefore, Cather in this process had some reflections, and she is not an extreme racist.

There is another special character in Sapphira, Old Jezebel. She is the first generation being sold by colonists from Africa to the United States. Cather’s depiction of Jezebel reveals the cruelty of the slavery system. When Jezebel was still young, she was described like this: “This girl was worth any three of the women, – as much as the best of the men. Anatomically she was remarkable, for an African negress: tall, straight, muscular, long in the legs. The skipper had a kind of respect for a well-shaped creature; horse, cow, or woman. And he respected anybody who could take a flogging like that without buckling” (Cather, 1940). And when she was exploited by her owners long enough, she “looked very like a lean old grey monkey. (She had been a tall, strapping woman.) Her grizzled wool was twisted up in bits of rag. She was toothless, and her black skin had taken on a greyish cast” (Cather, 1940). The illocutionary meaning of the contrast here is an accusation of the slavery system, especially the seaman’s ridiculous respect for the “well-shaped creature”, which is full of irony.

Willa Cather also paid tributes to some other characteristics of the black people, such as their strength and indomitable courage represented in “A Tale of the White Pyramid”, a sense of loyalty shown by Tom in A Lost Lady and Old Washington in Sapphira, and a sense of modesty and subversion shown by Till in Sapphira. For a marginalized group of people, the rise of a single person is not strong enough to represent the awakening of the whole group. It seems that Till is indifferent to Nancy’s flight, but she actually cared about Nancy and hoped Nancy have some chance to find a new life in Canada.

It is interesting that Cather herself didn’t reject using the word black or any other words related to black. According to the statistics, there are only ten short stories or novels written by Cather that don’t use the word black, and especially in My Antonia 114 times, and in Sapphira 36 times.

When Cather was still 20 years old, she had already had an access to the discussion of Waldo Ralph Emerson’s transcendentalism, and expressed her respect for the thought in letters to her college schoolmates. Henry David Thoreau once said: “They force me to become like themselves. I do not hear of
men being forced to live this way or that by masses of men. What sort of life were that to live?” (Urgo, 2002, p. 136). What Thoreau was talking about is an American way of living, of which the distinctions of culture are made irrelevant to some extent. On the contrary, Willa Cather is a representative of Regionalism. What she tried to do is to maintain the uniqueness of the country that she was revealing and the differences of different ethnic groups living on the land. And this is in accordance with what is mentioned in this paper previously about Cather’s truthful depiction of her memory and experiences. Cather once said that all human activities are of equal importance. So how could such a person being so open-minded be a racist? Ann Moseley claimed that “perhaps the true significance of the Blind D’Arnault episode is that for Jim, and for Cather, … this scene also reflects the feeling of a new soul in a new world” (Brown, 2004, p. 84).

According to Madison Grant, “all the people of Europe are white. …The Nordic, he claims, is the white man par excellence. Differences between these European people are specifically due to racial heredity” (Brown, 2004, p. 86). Willa Cather didn’t cater to the eugenics to describe the characters in her fictions. Cather’s understanding of racial groups is in a broad sense, which is not confined to physical characteristics, region, and religious beliefs; therefore, it can be more flexible. Some scholars might argue that Cather unconsciously divided characters into two major groups: whiteness and blackness. But Willa Cather aimed at presenting the characters truthfully and objectively as they look like, and it becomes necessary that she has to show how the conflicts between people from different ethnic groups can be worked out. There is another coincidence that the white male major characters don’t have privileges over other characters, and many of them are from the working class. The white male characters who are supposed to be strong and masculine always end up with unfortunate and negative results. Conversely, they are often replaced by tough and handsome female characters. Amedee, Emil, and Mr. Shimerda are dead, and Carl and Jim are not satisfied with their own lives. Is this a kind of deconstruction against the people who have discourse power? Thus, it proves that Cather tried not to employ a dominant role’s biased point of view to tell the stories, such as the multiple points of view Cather used in My Antonia.

Conclusion

George Lakoff and Mark Johnson put forward “evolutionary-ecological Darwinism, which holds that Human rationality is not unique but builds upon forms and inferences present in so-called lower animals” (Lakoff & Johnson, 1999, p. 92). Though Willa Cather usually focus on characters’ physical appearances when they are presented in the stories, obviously, their charisma is not determined by their biological features. Cather once mentioned that the nature of human beings should be presented by a harmonious relationship with the nature in an interview. Similarly, human relationships should be based on the harmonious relationship between different people. For example, Cather called for people to share the natural and social resources with each other through one of her characters – Father Duchene’s perspective: “[the artifacts that belonged] to all the people… to boys like you and me that have no other ancestors to inherit from…” (Cather, 1925, p. 242). Therefore, Cather cannot be a racist from the multicultural perspective.

References


Generational Shift in the Making: *New Challenge* and the Fashioning of the Black Chicago Renaissance

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**Abstract**  
To trace back a pivotal generational shift in the history of African American literature, this paper demonstrates, through an intertextual analysis of the editorial and essays included in *New Challenge*, a black literary magazine, how a revolt against the Harlem Renaissance and a manifesto of the emerging Black Chicago Renaissance were achieved simultaneously. With a brief thematic study, as well as a discussion of how the contributors approached thorny issues such as literary creativity, racial struggle, and social responsibilities, it is proposed that *New Challenge* served both as a legitimate field of discourse and it legitimized discursive practices for fledgling modern African American writers.

**Keywords**  
African American; Black Chicago Renaissance; generational shift: *New Challenge*

**Introduction**  
The experience of reading *New Challenge* (1937), a short-lived literary magazine co-edited by Richard Wright, Dorothy West, and Marian Minus, is tantamount to a pilgrimage to the pantheon of African American writers. Its sole issue bloomed once and for all, with such revered names as Alain Locke, Frank Marshall Davis, Langston Hughes, Margaret Walker, Ralph Ellison, Richard Wright, and Sterling A. Brown crammed on the same page as contributors, and thus, was consecrated into a timeless showcase of historical confluences of old and new generations of African American writers. As a bloodless, yet fierce, battlefield of emerging genius vis-à-vis waning elites, this magazine is a key witness to the lost dream of West and Locke to resume the glory of the era of “New Negroes”, to the seeds of discord cast between Wright and Zora Neale Hurston, as well as to Ellison’s unassuming initiation into American literati. More than that, by perusing and analyzing such a rare collection of editorial, short stories, poems, essays, reviews and letters, it is viable to trace back a pivotal moment of transition of African American literature from the Harlem Renaissance to the Black Chicago Renaissance.

Through an intertextual analysis of the editorial and essays included in *New Challenge*, this paper demonstrates how a revolt against the Harlem Renaissance and a manifesto of the emerging Black Chicago Renaissance were achieved simultaneously. Also included is a brief thematic study of short stories and poems in the magazine, as well as a discussion of how the contributors approached the issues of literary creativity, racial struggle and social responsibilities.

**Revolt Against the Harlem Renaissance**  
When asked “Why *Challenge* was for the most part so pale pink?” (“Dear Reader,” 1936, p. 38), Dorothy West, who single-handedly founded the magazine in 1934 in an attempt to revive the already-demised Harlem Renaissance, answered in a letter to readers: “because the few red articles we did receive were not literature” (p. 38). And she “cares a lot about style” (p. 38). It was a time when both white and black patrons were scarce due to the worsening economic depression in the aftermath of the collapse of Wall Street in 1929. Even major magazines like *Crisis* and *Opportunity* had to diminish their literary emphasis in struggle for mere survival. Under such bleak circumstances, West was still envisioning *Challenge* as a
banner of pure literary output and platform. Yet she had to concede in the same letter that she would like to “print more articles and stories of protest” ("Dear Reader," 1936, p. 38) in order to claim the interest of younger, and relatively more radical, subscribers. Prodded by either lukewarm subscription or ascending social consciousness, West let herself be persuaded into attributing a special issue to the South Side Writers Group in Chicago. Hence, the advent of New Challenge was made possible in the fall of 1937.

Though short-lived like most of the contemporary “little magazines”, the single issue of New Challenge captured a significant historical moment in the development of African American literature. To borrow the term coined by Houston A. Baker, what we are witnessing here is the very moment of a “generational shift.” As Baker (1981) stated in one of his essays, a generational shift “can be defined as an ideologically motivated movement overseen by young or newly-emergent intellectuals who are dedicated to refuting the work of their intellectual predecessors and to establishing a new framework of intellectual inquiry” (p. 3). While Baker focused on the dethroning of the so-called spokesmen of integrationist poetics, Richard Wright being one of them, this paper is an attempt to dissect an act of “usurpation” led by this very rebellious “black boy.”

Despite the fact that Wright’s name was put under the title of associate editor while West and Marian Minus were shown as co-editors on the cover of the magazine, there is no doubt that Wright is the one who was in charge. What he did was more than amass just those contributors who were available, but also those writers who had a common understanding of the future direction of African American literature. Their works complement each other in authentication of a set of overarching statements that were meant to replace the older established ones, especially those promoted by the Harlemites. Their desire for “a complete repudiation of the Harlem Renaissance” (Jackson, 2011, p. 75) was well manifested in the editorial of the magazine: “We are not attempting to re-stage the ‘revolt’ and ‘renaissance’” which grew unsteadily and upon false foundations ten years ago” (“Editorial”, 1937, p. 3).

It is arguable that New Challenge was an ideal site for a collective act of refuting the work of past generations, especially the Harlem Renaissance. First of all, compared to popular magazines, New Challenge and its predecessor Challenge – in line with West’s poetics – focused more on aesthetic questions in a sustained fashion. It was stated in the editorial that New Challenge was envisaged as an organ designed to meet the needs of writers and people interested in literature which could not be met by those Negro magazines which were sponsored by certain organizations and thereby could not be purely literary (“Editorial”, 1937, p. 3). Writers and critics would find it a relatively free channel for concentrated discussion of literature and thus, a legitimate benchmark of contemporary literary values.

Moreover, the magazine served not only as a legitimate field of discourse, but it also legitimized discursive practices. When West, the progenitor of the magazine, the youngest and the last writer in the literary circle of Harlem Renaissance, who was still struggling to bring forth the rebirth of New Negroes in the thirties, solicited the help of Wright, then the leader of the South Side Writers Group, to reorganize the magazine, it was perceived – at least by Wright – as a symbolic act of handing over the mace of leadership. In the end, the magazine turned out to be essentially what West was fighting against in her past efforts to keep the magazine running.

**The Manifesto of the Black Chicago Renaissance**

A diagnosis of what went wrong with the passing generations is a prerequisite for a generational shift. As stated in its editorial (1937), the primary goal of New Challenge was to “point social directives and
provide a basis for the clear recognition of and solution to the problems which face the contemporary writer” (p. 3). It was made clear in the same paragraph that what needs to be tackled was “the isolation which exists between Negro writers themselves, and between the Negro writer and the rest of the writing world” (p. 3). Apparently, Wright intended to refashion the magazine in alignment with what he would later designate in his autobiography as the fundamental objective of writing, that is “to build a bridge of words” (Wright, 1993, p. 384) between the individual and the world.

Compared to their predecessors in the 1920s, African American writers rising to distinction in the aftermath of the Great Depression were much keener on representing the bleak side of black experience. As Robert Bone and Richard Courage (2011) state in their study on the Chicago Renaissance, “Bronzeville’s artists worked within a broad paradigmatic shift from the racially celebratory mood of the 1920s toward a new sensibility that was decidedly antiromantic, frequently militant, and fundamentally documentary or realist in spirit” (p. 7). Wright was undoubtedly an eloquent proponent of such a spirit.

One of Wright’s most frequently quoted essays, “Blueprint for Negro Writing” merits close analysis for it is regarded as the manifesto of the Black Chicago Renaissance. As John McCluskey (2012) points out, “Wright’s essay joins Pauline Hopkins’s regular editorials in Colored American Magazine, Hughes’s ‘Negro Artist and the Racial Mountain,’ Du Bois’ ‘Criteria for Negro Art,’ and Locke’s ‘Art and Propaganda’ as among the most significant African North American manifestoes of the early twentieth century” (p. 104). He also adds that this is also “Wright’s most complete statement of the confluence of literature and politics, of the union of aesthetics and propaganda, of craft and theme, and for Wright a happy confluence of New York and Chicago.” (p. 102)

Wright’s essay addresses the issue of class division as the more urgent one. It opens with a castigation of those “inferiority-complexed Negro ‘geniuses’” who were compared to “prim and decorous ambassadors who went a-begging to white America” (Wright, 1937, p. 53). Their coalescence with the “burnt-out white Bohemians with money” (p. 53) resulted in the widening gap between them and their people. In the end, “two separate cultures sprang up: one for the Negro masses, unwritten and unrecognized; and the other for the sons and daughters of a rising Negro bourgeoisie, parasitic and mannered” (p. 56). Up to this point, Wright was talking about the problem of “the isolation which exists between Negro writers themselves.” It was a problem of class. The solution he offered was that Negro writers should render a realist depiction of the life of the exploited masses with “a greater discipline and consciousness than was necessary for the so-called Harlem school of expression.” (p. 59)

The racial problem is dealt with more subtly as one aspect of another bigger problem: the isolation between Negro writers and the rest of the world. It is addressed in both Wright’s essay and another essay titled “A Note on Negro Nationalism” by Allyn Keith, another member of the South Side Writers Group. Both authors describe nationalism as a negative condition imposed and to be acknowledged in order to be finally conquered. Folklore is cited by Wright as a telling manifestation of the special existence of nationalism, which “was forced upon them from without by lynch rope, bayonet and mob rule” (Wright, 1937, p. 57).

Keith (1937) further identified three types of nationalism: isolationism, cultural nationalism, and “cooperative” nationalism. Informed by “the new social program based on the conception of the common humanity of all peoples, or on the idea of class society,” (p. 68) Keith claimed that “the isolationist problem is untenable because the Negro’s problem cannot be disposed of by the Negro alone” (1937, p. 68). As for cultural nationalism, it should not be confused with “the rightful and just pride the Negro has and should have in his cultural contribution to civilization” (Keith, 1937, p. 67). It is a misnomer because
it ignores “the historical context from which the term acquires both its validity and emotional meaning” (Keith, 1937, p. 67). It should be dismissed, according to Keith. His wording is highly similar to Wright’s when the latter stated that “Negro writers must accept the nationalist implications of their lives, not in order to encourage them, but in order to change and transcend them” (Wright, 1937, p. 58). They championed this new outlook, promoted as “cooperative Nationalism,” which was regarded as “a phase which is difficult but rich in the materials for progress into wider channels” (Keith, 1937, p. 69).

It should be noted that the emphasis on the problem of nationalism in the articles discussed above was placed intentionally in order to refute the concept of race as the starting point of literary creation. The “so-called Harlem school” was deemed by Wright and his companions a failure not for their advocating for expressions of racial pride and consciousness, but for being isolated from the masses. But still the discourse of racial solidarity posed a potential hazard for the formation of a “cultural front” that called for the coalition of oppressed people regardless of any color lines. Therefore, cooperative nationalism was foregrounded as an expedient strategy to re-channelize the racial energy into inter-racial cooperation without debasing the importance of racial pride.

Let’s review the entire logic chain of this shift from a racial discourse to a non-racial, class-oriented discourse. First, diagnose. Problems of Negro writers are identified as twice removed from both black people and the rest of the world. Second, treat. The isolation of Negro writers from their own people needs to be remedied through a shift of focus to the culture and life of the masses. Meanwhile, the priority of race should give way to a more wholesome ideology of “cooperative nationalism,” a transient phase of nationalism to be re-channelized “from anti-white to inter-racial avenues.” Thus, a paradoxical relationship between race and class is established. A new “cultural front” has been erected after the reconfiguration of the old territory of African American literary discourse.

**Writing as Legitimating Discursive Practices**

As demonstrated above, *New Challenge* served as a legitimate field of discourse for the articulation of literary concerns. Moreover, contributors in this collective manifesto should also be regarded participants in a shifting field of epistemes, where writing was taken as legitimizing discursive practices. Together they articulated a vison of “a literary movement among Negroes” that was “built upon the writer’s placing his material in the proper perspective with regard to the life of the Negro masses” (“Editorial,” 1937, p. 3). What they intended to realize is “the realistic depiction of life through the sharp focus of social consciousness.” They felt a need to inculcate both the Negro writers and the audience that “writing should not be in vacuo but placed within a definite social context” (“Editorial,” 1937, p. 3). To achieve this aim, all the texts included were infused with a clear tone of social consciousness and could be sorted into two categories in terms of their function: (1) the review and critical essays were to critique the existing problems of Negro writers; (2) the short stories and poems were to establish models of writing for emulation.

Stories and poems in the magazine demonstrated how social consciousness was supposed to guide one’s writing. It has to be admitted that there was a salient inclination for delivering a certain idea rather than a commendable character or aesthetic persecution. The first two stories, “Asylum of a Century Silence” and “As a Friend,” were portrayals of two types of isolation. The first story depicts Carey Hargreaves, son of a former slave owner in the South, who is unable to adjust to the life after slavery was abolished in the South. His mediation over the past results in his perpetual silence and disjunction with the outside world. The second story is a mockery of “the old Harlem vacuum.” Told from the perspective
of a white college graduate who is searching for allies of underdogs and “a real union of black and white” in a “party for The League to Further Racial Cooperation,” the story centers around his disillusion with the indifference and frivolousness of both white and black intellectuals. It is another warning against those who are isolated from their people and the rest of the world.

The other two stories, “Jessie’s Mother” and “When Ladies Legislate,” are somehow both a complement and contrast to each other. “Jessie’s Mother” is a tragic story about a single mother’s struggle for a living through hard work and her desire to inculcate a sense of dignity to her little daughter. However, she is put into prison for beating her daughter after finding her begging for money and food. This slice of reality of life of the underdogs forms an ironic contrast with that of the ladies in the next story. The women’s lives in “When Ladies Legislate” is a world different from Jessie’s mother. These ladies are caricatured as political conservatives who have neither understanding, nor sympathy, for the workers on strike. Through mere manipulation of their husbands, they have stopped the passing of a legislation supporting union strikes. There is a strong sense of satire achieved through dramatic irony. The last story “The Canny Cannibal or, Don’t Feed the Hand That’s Biting You” is also a satire of bigots, another gesture of unwelcome for those who are unable to shed off the old mode of thinking and adjust to the world of progress and civilization.

Poems reflected a much stronger tone of protest. With satire and irony, Frank Marshall Davis in “Snapshots of the Cotton South” staged a bitter accusation of the double oppression of Jim Crow Laws and capitalism in the South. “Old Lem” by Sterling Brown rendered a rhythmic folky narrative of white mob violence and lynching. Margaret Walker’s first publication was a group portrait of black people of “unrest and hunger.” Her poem “Hounds” evokes an intense bitter, military pathos like that of Claude McKay's classic “If We Must Die.” In a half-protest and half-threatening way, it ends with a poetic prophecy of the coming of an army of Bigger Thomas:

In black kennels all over the world  
there are hounds starving and tired of despair  
Growing mad and terrible. When they run amuck,  
Beware. (Walker, 1937, p. 50)

Interestingly, Ralph Ellison’s debut to the literati was less impressive than the performance of Margaret Walker. While Walker was experimenting and polishing a style that was distinctively hers, he had not yet realized his own potential to become a major writer and critic. His review (1937) of This Low Ground by Edward Turpin turned out to be a mere echo of his contemporaries. He praised Turpin's realist depiction of the lives of four generations of a Negro family on one hand and then lamented his “lack of historical and political consciousness” (Ellison, 1937, p. 91) on the other hand. Compared to his later critical works, his judgment of Turpin's work sounded rigid and was belabored with contemporary discourse of social realism. As this paper draws to a close, we may note that Ellison’s time was yet to come since decades later there would be another generational shift to make, another revolt to stage.

References
Shelter or Confinement: On Housing Space in *Light in August*

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**Abstract**  
As for William Faulkner’s *Light in August*, housing space not only comprises an important narrative element, but also has a deep grain of the subjects’ being. Intrinsically being “private”, it precategorically reflects and helps construct the subjects’ self-cognition. Meanwhile, inevitably being “social”, it also works as the arena reigned by rigid Southern social practices, ingrained with the subjects’ fight against the imprisonment and their consequent development. The tension between houses and subjects epitomizes the typical conflicts of Faulkner’s Southern sagas, and presents Faulkner’s meditation on human beings’ destinies, dooms and their ways out.

**Keywords** William Faulkner; *Light in August*; housing space; subject

**Introduction**

Since Jean-Paul Sartre posed the assertion that Faulkner’s metaphysics is evidently “a metaphysics of time” (Sartre, 1955), time has remained for a long time one of the most dominant research focuses in terms of Faulknerian study. It is not until the rise of “spatial turn” in the 1960s and 70s that space as a thematic element in Faulkner’s works began to catch the attention of Western critics, with a small bunch of relevant academic achievements springing up, like Carolyn Wynne’s “Aspects of Space: John Marin and William Faulkner” (1964), Aimee E. Berger’s *Dark Houses: Navigating Space and Negotiating Silence in the Novels of Faulkner, Warren and Morrison* (2000) and so on. Meanwhile, in the case of China’s intellectual circle, study in this respect has remained dormant until quite recently, and has briefly delved into the temporal-spatial narrative therein. Nevertheless, it is undeniable that space remains one of the motifs in William Faulkner’s literary creations, as he never ceases to insist, “…my own little postage stamp of native soil was worth writing about and that I would never live long enough to exhaust it” (Stein, 1956). The innate subjective consciousness of space helps the writer forge the fantastic fictional kingdom: Yoknapatawpha, in which the “inseparable” space-subject relation permeates, as Roxandra V. Antoniadis (1972) commented, “Faulkner’s people are inseparable, …from their rooms, their houses, sand, their streets, they are even more so from the land” (p. 309). And *Light in August* (1932) can be reckoned as a perfect sample, especially in terms of the housing space.

Then, what does the closed housing space exactly refer to? How is the space-subject relation manifested therein? What is Faulkner’s reflection on the existence of subjects trapped in the space? This paper, thus, attempts to ponder these questions, to gain hints of Faulkner’s space poetics and humanitarian contemplations.

**Subjects and Housing Space in *Light in August***

Acknowledged as one of Faulkner’s greatest works, *Light in August* boasts the juxtaposition of two parallel storylines: Lena’s pursuit of a lover, as well as Christmas’ self-exile and quest for identity. The two tortuous “journeys” are fully dotted with and marked by a variety of housing space, like Lena’s “lean-to room”, Burden’s “big house”, Hightower’s home, and so on. These houses inhabit the characters and narrate their stories. Just as Heidegger (1999) believes, the spatiality of Dasein “is constitutive for Dasein” (p. 134); there exists an intrinsic precategorical connection and interactive mechanism between
the subjects’ being and space, which can be generalized into two aspects: housing space as the reflection and construction of the subjects’ self-cognition, and as the Other’s confinement.

The “Private” Housing Space: Reflection and Construction of the Subjects’ Self-Cognition
As for humans, the primitive being “germinates” in the private space, i.e. homes and houses. Gaston Bachelard (1964) poetically narrated, “…life begins well, it begins enclosed, protected, all warm in the bosom of the house”, and that house is the “integration for the thoughts, memories and dreams of mankind”, and “is body and soul” (pp. 6-7). Truly enough, the enclosure and privacy of houses render them unalienable inner space of every subject. In other words, houses, as private spaces, sustain and underlie the existence of subjects.

Houses primarily constitute the subjects’ representational space in the case of their self-cognition. It is a “lived” space of intuition. It is in the house that subjects’ sentiments and imaginations are stored and absorbed while their lurking desires are witnessed. Every house becomes part of the inhabitants, with every corner being the trigger of floods of memories, as “space continue(s) to depend on the absolute, or upon duration in the Bergsonian sense” (Lefebvre, 1991, p. 73). In the novel, Faulkner (1972) artistically depicts a series of subject-ingrained houses. Among them, Joe Christmas’ first house – the orphanage – in his memory is: “a big long garbled cold echoing building of dark red brick soot blackened by more chimneys than its own, set in a grassless cinder strewn packed compound surrounded by smoking factory purlicues and enclosed by a ten-foot steel-and-wire fence like a penitentiary or a zoo” (p. 51). The perception-based depiction above sheds more light on the orphanage as a filthy, sordid, gloomy and lifeless confinement rather than a warm, cozy, sweet shelter. It is strongly emotionalized, with such expressions as “bleak walls”, “bleak windows”, and the rain “streaked like black tears”, which are not only indicative of Joe’s desire for warmth, security and happiness, but indicative of his depression, solitude, panic and sorrow, just as “his still, hard face” at “twenty and twenty-five and thirty” has physically shown (Faulkner, 1972, p. 92). In some sense, the house metaphysically belongs to him, and becomes part of his self. Paradoxically, the memory, with the sole focus on the outer side of the house, seems to imply it is also unconsciously rejected, which corresponds to Joe’s life-long struggle against being identified as a black. In his case, the house becomes “sentimental” and partially embodies the materialized self: gloomy and tragic.

Similarly, Joanna Burden’s house metaphorically hints at the subject’s self-cognition as a practitioner and “martyr” of the rigid Puritan tradition. “It (i)s a big house set in a grove of trees; obviously a place of some pretensions at one time. But now the trees need pruning and the house ha(s) not been painted in years” (Faulkner, 1972, p. 93). Enclosed by flourishing weeds, the “big house” forms the queer combination of golden old days and dilapidated present, and thereby instructs the obstinate, persistent family tradition that dies hard. Moreover, it is always too dark to discern and lurking in the shadow of groves even at dawn. Surrounded by the cabins of the black, it remains in the “dark” shadow. Even in the house, the dark is coming and prevailing. Metaphorically, it is the same case of Joanna Burden. Being a forty-odd-year-old unmarried white lady, she is cold and “breaking down”, though fully committed to the family’s religious dream or rather “burden” (as is shown in her name), i.e. to struggle with “God’s curse” on the white: the black race. Hence, she personifies the enduring, or “dying”, family tradition like Emily Grierson and practices the transmitted dream, as is phenomenologically implied in the chimney stretching toward the sky. Akin to the house in the shadow, she is submerged in the “black burden”, being looked after by the “colored folks”, visited by the “folks” and coping with their daily affairs, because she is told
to believe that the black is “a shadow in which (she) lived, we lived, all white people, all other people” (Faulkner, 1972, p. 104). Furthermore, it is to be noted that the writer frequently refers to the house’s being behind trees and groves that hinder it from being in direct contact with the “folks”. The subtle spatial separation figuratively exposes the Burdens’ firm belief in racism: “you must raise the shadow with you. But you can never lift it to your level” (Faulkner, 1972, p. 104).

With great artistry, Faulkner creates a homogeneous unity of the private housing space and the subjects therein, as is stated in Noël Arnaud’s lines, “Je suis l’espace ou je suis” (as cited in Bachelard, 1964, p. 137). Also, housing space is involved in the interaction between body and space. Maurice Merleau-Ponty holds that our body belongs to space and vice versa, in that it does not occupy space but interacts and fuses with it (2001). Or, “each living body is space and has its space: it produces itself in space and it also produces that space” (Lefebvre, 1991, p. 170). As the body-space relation alters, both space and the subject’s self change accordingly (Xie, 2010). Gail Hightower experiences such a change. As he “lives” the housing space differently, a conscious self-cognition is renewed.

At the very beginning, Hightower is “identified” with the study, indulged in the metaphysical world. He constantly sits “in the attitude of the eastern idol” (Faulkner, 1972, p. 128), being unable to see the street or the trees, but lost in the repetitive flash of the everlasting historical scene of the galloping horse and grandfather’s falling down. The metaphysical meditation wholly replaces the physical perception, which entails the deficiency in the subject’s self-cognition and consequently an idling dreamer, living a “sexless, loveless, cowardly Death-in-Life” (Bidney, 1985, p. 45).

Nevertheless, by delivering Lena’s baby, Hightower goes through a great change in the body-space relation and seems to acquire a sort of “climactic epiphany” (Bidney, 1985, p. 46). Faulkner offers meticulous depiction of the activities on his arriving home: “(h)e goes to the kitchen and builds a fire in the stove, slowly, clumsily; as clumsily after twenty-five years as on the first day he had ever attempted it, and puts coffee on. ‘Then I’ll go back to bed,’ he thinks. ‘But I know I shall not sleep. But he notices that his thinking sounds querulous…then he finds that he is preparing his usual hearty breakfast” (Faulkner, 1972, p. 163). The overt diction of such perceptive words as “notice”, “find” and “know” points to Hightower’s renewed physical perception of his body and the surrounding space. He can feel, see, and think consciously. It is also an interaction with the surroundings and the others, which helps form a complete self-cognition of the subject himself. Living truly, “he moves like a man with a purpose now, who for twenty-five years has been doing nothing at all between the time to wake and the time to sleep again” (Faulkner, 1972, p. 163). And the geographical change of the “body”-inhabited space from the spiritual study to the earthly kitchen and poetic yard, further metaphorically manifests his return to perceptive consciousness from illusions and the comprehensive acquisition of the subject’s being. By retrieving the scale of primordial space, the subject regains his self-identity and the independent subjectivity.

It is calculated that in Light in August, “‘home’ and ‘house’ show up, collectively, 414 times in contrast to the single appearance of ‘homeless’” (Jaffe, 1980, p. 128). Coincidentally, the findings once again instruct the importance of houses as the “private” space as for the subject’s being. On the one hand, they represent the subjects’ self-cognition, bearing the subjects’ secrets and desires, while on the other hand, they work as a medium for the construction of subjectivity.
The “Social” Housing Space: The Other’s Confinement

In the human world, space is unavoidably strongly encoded, and embedded with social relations and acts. And “(social) space... subsumes things produced, and encompasses their interrelationships in their coexistence and simultaneity – their (relative) order and/or (relative) disorder. It is the outcome of a sequence and set of operations, and thus cannot be reduced to the rank of a simple object” (Lefebvre, 1991, p. 73). Being synchronic, diachronic and social, any space in human society serves as the field in which miscellaneous social relations are produced and in turn function. In the textual arena of Light in August, the houses are definitely categorized as the country’s Southern social space under the scrutiny of various social representations of space, where the subjects therein are bound to the subjects themselves to the appropriation of such social regulations as Southern racism and Puritanism. In this sense, tension is activated between the housing space as the confining “Other” and the inhabitants as the struggling “subjects”, like Joe and Joanna in the Burden’s big house, and Lena in her lean-to room.

In the eyes of local whites, the Burden’s house is alien and inaccessible, while as for the blacks, it is friendly and frequently visited. It is in such a sharp contrast that the big house as a field of racism is intensified. Apart from being the externalized space of Joanna’s self-cognition, the big house is the spatial product of prevailing Puritan traditions that haunt the family for generations, and the cultural field of racial positioning and religious salvation. It is socially produced and in turn produces social powers. As a consequence, Joe’s intrusion instantly activates its imposing power as the Other. Climbing into the house, he seems like “a shadow returning without a sound and without locomotion to the allmother of obscurity and darkness” (Faulkner, 1972, p. 94); with his contact with Joanna, he finds them “the two creatures that struggle in the one body like two moon gleamed shapes struggling drowning in alternate throes upon the surface of a black thick pool beneath the last moon” (Faulkner, 1972, p. 106). The overwhelming “black” power heavily shatters his hesitant subjective cognition of racial identity, for he has spent most of his life evading, even challenging his “speculated” black identity. Once more he is trapped in the eddy of racism, and serious tension is created between Joe and the house as the space of racism practice. He starts to plan to leave, and constantly defies any attempt of domination and confinement, by transgressing, refusing to go to black schools, to get married, to lead a stable life, and burning the house in the end, while confessing, “(i)f I give in now, I will deny all the thirty years that I have lived to make me what I chose to be” (Faulkner, 1972, p. 108). Tragic as he is, Joe defies vigorously and heroically the control and oppression of Puritan racism as the Other epitomized in the big house, for it confines subjects to their racial identity and deprives them of their initiation and independence.

Another victim certainly points to Joanna. Having inhabited the house for decades, she is exclusively racially identified, even rid of the cognition of a natural being. The fragmentary self-cognition thus leads to her split subjectivity when she is confronted with the awakening of her primitive desires. She leads a dual life: the “white” angel for the blacks in the day time, and the “woman” indulged in physical desires at night. Dangling between the long-established belief and the overwhelming innate desire, Joanna is in great conflict and even driven morbid. In a social web woven by the rigid social regulations, subjects’ consciousness is inclined to be split, fragmented and deprived of an intact self, which partially justifies the tragic sense in the novel.

Lena’s story presents a different current of the Other exercised by the socially-produced houses: the womanhood of Southern patriarchy. In a lean-to room of a four-room house lives Lena Grove, together with her elder brother who has nothing but “a kind of stubborn and despairing fortitude and the bleak heritage of this bloodpride” (Faulkner, 1972, p. 6), the bedridden sister-in-law of successive pregnancy,
and three nephews. It is a typical picture of patriarchal space where women are reduced to their domestic position and biological function as a tool of breeding. Tormented by the practice of such social space, she has no private space, lacks a kind of independent subjectivity and is tagged with a hint of “shadowness”, an essential grain of women images in Faulkner’s works (Xiao, 1997, p. 196) who are subordinate to men both physically and mentally, and respected for nothing but their chastity (Xiao, 1997, p. 192).

But Lena prevails. Through the window, she finds a way out of the cramped, stifling room. Spatially, windows and doors signify the entry to a certain space, as well as the division of different worlds. But compared with the legality of doors, windows are connotatively linked with breaking and revolt. When she first chooses to climb through the window, a burgeoning conception against the domestic patriarchal domination is formed. As she gets pregnant while unmarried and decisively flees from the house through the window to pursue Lucas Burch, her revolt comes to the summit with the subject’s total separation from the house. It is the extreme form of the dominance-defiance tension between houses and subjects within, which, nevertheless, from another perspective, informs the full awakening of Lena’s consciousness of independent subjectivity. By adhering to her own ways and practicing her own ideas, she declares the state of her subject’s being and self-consciousness.

Eric J. Sundquist (2012) remarks that in Light in August, kinships are constantly denied. Houses, presumably the representational space of kinship and intimate relations, fail to produce any lovely emotions like love, caring, or forgiveness, etc. On the contrary, they constitute the practice space of prevailing cultural disciplines, transformed to a ubiquitous power of the Other that disintegrates and alienates the subjects. However, it is right in the constant fight against the power that the subjects’ being is highlighted with subjectivity achieved. It is exactly what Faulkner (1951) believes, that is, “it is Man himself” with individuality to discern, to think, “to choose right from wrong” that “can and will save Man”.

**Conclusion**

Housing space or houses are inseparable from the subjects, measuring their living dimension and influencing their states of being. In Light in August, the writer brands houses with the respective subject’s self-cognition, mirroring the psychological imbalance of individuals struggling in the abyss of Southern religious and racial myth. In the meantime, he delineates the housing space as the product as well as the field of cold, inhumane social influences, exercising the power of restraint and appropriation while witnessing the subjects’ ceaseless defiance. With the grand backdrop of suffocating Southern morals and cultural dogmas, the subject-house relation is far from being harmonious. Instead, it is endlessly stuck in the tension of disintegration and integration, which consequently entails humans’ endurance and self-salvation that echo the writer’s encouraging remark in 1950: “I believe that man will merely endure: he will prevail” (Faulkner, 1950).

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The Tea Table and Cultural Values in Trollope’s The Warden

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[Abstract] This paper examines the culture of the tea table that covers the tea scenes, the tea ritual and the tea party in Anthony Trollope’s The Warden, the first of the Barsetshire novel series. This author argues that the role of the tea table is significant in this novel because different cultural values, the dilemmas of the characters and several metaphorical meanings are all associated with it.

[Keywords] Trollope; The Warden; tea table; culture values; dilemma

Introduction

Anthony Trollope, a prolific writer of the Victorian era, shows the cultural complexity and the metaphorical meanings of the tea table in his novels. Henry James (1984) once commented, “his (Trollope’s) great, his inestimable merit was a complete appreciation of the usual. He never wearied of the pre-established round of English customs – never needed a respite or a change – was content to go on indefinitely watching the life that surrounded him, and holding up his mirror to it” (James, 1984, p. 50). And his novels are “dedicated to the uniqueness of personality, … and to the uniqueness of English culture” (apRoberts, 1982). It is no doubt that English culture includes the habit of drinking tea. Trollope uses the tea table to connect his characters and deal with his themes in a subtle way. The descriptions of the tea table are very intriguing and fascinating in Trollope’s works. An American scholar Frommer commented, in Orley Farm Trollope “emphasizes the responsibility of the husband and patriarch to operate as a moral guide for the family, keeping a close watch on the details of the tea table and ensuring that the women of the household properly carry out their teatime duties” (Fromer, 2008). However, the usual and unusual behaviors concerning tea and the charms of the tea culture have never been studied in China. This paper focuses on the tea table and its cultural values in Trollope’s The Warden. According to Marksman Ellis (2010), the tea table represents the dominant cultural formation of tea, for there is not an extended British culture of attending public teahouses. That is to say, the tea table, as the focus of British tea culture, is “a space of sociability as much as an item of furniture.” Therefore, it refers “not only to the habit of drinking tea in domestic life, but also a complex cultural landscape concatenating socializing, politeness, consumption and femininity” (Ellis, 2010, pp. xxi-xxii). So the tea table shows its cultural values and the metaphorical meanings in the Mid-Victorian era as an emblem of middle-class English domesticity. From the perspective of the tea table that widely covers the tea scenes, by researching the cultural values of the tea ritual and the tea party, we hope that Trollope’s The Warden can be subtly appreciated.

The First Tea Scene and Connections of the Characters

The Warden is the fourth novel and the first of the Barsetshire novel series, which brought Trollope’s mainstream success. The plot of this novel focuses on an elderly clergyman, Mr. Septimus Harding, struggling against and resolving the accusations, by a radical reformer Mr. John Bold, concerning his salary in his position as the warden of Hiram’s Hospital. This early novel is “one of the warmest of all the great
English comic novels, but it is also one of the subtlest” (Kincaid, 1970). Regardless of whether The Warden is a comic novel or “a profoundly political novel” (Trollope, 1952, p. xii), the tea table is a symbol of the cultural values that reveal the dilemmas and anxiety being faced by the characters and its role in the story leaves a deep impression on its readers. One of the most important recurring situations in The Warden is that of being caught in a dilemma, a condition which can be closely related to the tea table linking characters.

In The Warden, the first tea scene Trollope designs is not really about the consumption of tea, but a means to connect the main characters and show their subtle relationships, particularly to let readers and Mr. Harding become aware of his situation of facing a dilemma. In the very beginning of the novel, we are told “Scandal at Barchester affirmed that had it not been for the beauty of his daughter, Mr. Harding would have remained a minor canon; but here probably Scandal lied, …” (Trollope, 1952, p. 2). There are also murmurs, very slight but heard and which eventually become very audible in Barchester, in respect to whether the proceeds of John Hiram’s property are fairly divided or not. Universal as his popularity of being the precentor is, Mr. Harding as the warden of the hospital is nonetheless unknowingly and unclearly involved in the proceeds.

Mr. Harding, a small man of sixty years old or so, is “an open-handed, just-minded man”, but “he was ever an industrious man; the circumstances of his life have not called on him to be so; and yet he can hardly be called an idler” (Trollope, 1952, pp.8-9). The conscience of Mr. Harding is clear and he “has never felt that he had received a pound from Hiram’s will to which he was not entitled” (Trollope, 1952, p. 10). However, there appears to be some emotional changes in Mr. Harding who has to think about his own situation after the visit of John Bold, a reformer, who is presented in the first tea scene.

On the visit of Bold, Mr. Harding suggests, “we’ll have a stroll and a chat till Eleanor comes in and gives us tea” (Trollope, 1952, p. 31). Eleanor is the youngest daughter of Mr. Harding who takes the role of a hostess to make tea to show hospitality in the eyes of the father. During their chat, Bold conveys his thoughts indirectly about the matter about John Hiram’s will. He expresses his pursuit of the justness and truth of the case, being worried about the possibility of offending Mr. Harding whom he respects and pleads to be forgiven, which makes Mr. Harding feel humiliated. So, when Eleanor comes, Bold is invited to go in to tea again out of politeness by Mr. Harding and “felt that he could not sit down at ease with Mr. Harding and his daughter after what had passed, and therefore excused himself with much awkward amazement at his departure” (Trollope, 1952, p. 34). Obviously, Trollope does not make the tea drinking happen smoothly because of the unpleasant talk between Bold and Harding. And drinking tea together, especially in a private space, has a lot to do with the feelings and mood of tea consumers.

After Mr. Bold leaves, for the first time, Mr. Harding asks himself many questions and has suspicions about the matter of Hiram’s will. Although he is really not afraid of the case, he realizes his current situation in the matter. Just as the narrator interprets, “[t]hought of this kind, these first moments of much misery, oppressed Mr. Harding as he sat sipping tea, absent and ill at ease […] thought long and deeply over these things, both before he went to bed and after it, as he lay awake, questioning within himself the validity of his claim to the income which he enjoyed” (Trollope, 1952, p. 35). With doubt, Mr. Harding ponders on the position of being the warden, the high salary, the situation, his daughter, her love for John Bold and so on, which makes him feel uneasy and be on the horns of a dilemma. Moreover, the matter and the relationship of the three characters are connected in a subtle way.
The Warden’s Tea Party

The peaceful town is no longer quiet because of the case, and neither is the tea party. In Chapter VI, “The Warden’s Tea Party”, Trollope uses allegory to remind us that “[…] the notion of representation is closely linked to that of interpretation” (Saldívar, 1981). And it is viewed as “having certain similarities to the devices of Pope in The Rape of the Lock…, an extended ridicule of the “warfare” between the opposing factions” (Langford, 1987). The image of war is established and presented. I argue that the tea party scene works effectively for the theme of the novel due greatly to the Victorian cultural values of the tea table.

Mr. Harding insists on holding the tea party at home, for one reason to keep the promise of his daughter, and for another, to probe for more information of the attitude about the case in the community. In Mary Bold’s opinion, Mr. Hardin is odd and fashionable to send two notes of the tea party invitation to them separately. But to John Bold, the note of the invitation for him from Mr. Harding conveys message of “the nature and intention of peace-offering […]” (Trollope, 1952, p. 73).

“The party went off as such parties do. There were fat old ladies, in fine silk dresses, and slim young ladies, in gauzy muslin frocks; old gentlemen stood up with their backs to the empty fireplace, looking by no means so comfortable as they would have done in their own armchairs at home; young gentlemen, rather stiff about the neck, clustered near the door, not as yet sufficiently in courage to attack the muslin frocks, who awaited the battle, drawn up in a semicircular array. The warden endeavored to induce a charge, but failed signally, not having the tact of a general; his daughter did what she could to comfort the forces under her command, who took in refreshing rations of cake and tea, and patiently looked for the coming engagement: but she herself, Eleanor, had no spirit for the work; the only enemy whose lance she cared to encounter was not there, and she and others were somewhat dull” (Trollope, 1952, pp. 78-79).

The tea party is usual and seemingly goes on as expected, but what Trollope describes in detail lets us know its uniqueness and special features and atmosphere, like a “battle field of soldiers”. The image of war forms naturally by a series of military keywords and associations, including “battle”, “attack”, “semicircular array”, “command”, “enemy” and so on. The Trollope’s application of these terms of battle and conquest is “a reminiscent of Pope’s mock-epic” (Langford, 1987). In the party, tea and cakes are no longer important, but the hostess is not enjoying herself, yet she is also absorbed in making tea elegantly, as Victorian women usually did. In general, this is a place and setting where married women apply their social power, while young men and women exert every effort to catch their future husbands and wives. Now it seems that everyone in the party is in the state of armament. The tea party is more like a war, a social war between men and women; a war of conquering mutually, a war between the radical and conservative, a potential war of people’s emotional contradictions.

Ramón Saldívar (1981) commented that this scene was mimetic and also allegorical. By transforming the party into the battlefield, Trollope’s narrator wants us “to see more sharply the inner workings of his narrative style”. And a gently sardonic rhetoric shows that “the narrator is satirizing not only a certain form of behavior, but also a certain form of speaking about human behavior.” In my mind, the behavior of the participants reveals their inner feelings and anxiety. The following paragraphs focus on the psychological anxious state of Eleanor and the reasons for it at the party.

Elizabeth Kowaleski-Wallace (1997) remarked that the rituals of the tea table could be associated with a series of qualities, including femininity, delicacy and refinement that are the mark of class and taste. Examples are as follows. In Lady Audley’s Secret, the hero watches the demon lover making tea, “Surely a pretty woman never looks prettier than when making tea. The most feminine and most domestic of all
occupations imparts a magic harmony to her very movement, a witchery to her every glance…. To do away with the tea-table is to rob woman of her legitimate empire” (Braddon, p. 222). In North and South, Mr. Thornton observed, “[s]he stood by the tea-table in a light coloured muslin gown, which had a good deal of pink about it. She looked as if she was not attending to the conversation, but solely busy with the tea-cups, among which her round ivory hands moved with noiseless daintiness. She had a bracelet on one taper arm, which would fall down over her round wrist. Mr. Thornton watched the replacing of this troublesome ornament with far more attention than he listened to her father. It seemed as if it fascinated him to see her push it up impatiently until it tightened her soft flesh; and then to mark the loosing – the fall. He could almost have exclaimed – ‘There it goes again!’ There was so little to be done after he arrived at the preparation for tea, that he was almost sorry the obligation of eating and drinking came so soon to prevent his watching Margaret” (Gaskell, 1855, p. 74 ). We follow the eyes of Mr. Thornton and feel that he is totally fascinated by the performance of Margaret Hale at the tea-table making tea. Margaret Hale, as a British woman serving the tea, not only presents her female body, but also “participates in this process of enlightenment, refinement, and civilization” (Gaskell, 1855, p. 25).

Unfortunately, Eleanor has no chance at all to show her qualities and make tea for her lover. In the first tea scene, her lover John Bold refuses to stay to tea with her and her father. “Poor Eleanor felt that all was not right, but her ideas as to the cause of the evening’s discomfort did not go beyond her lover, and his sudden and uncivil departure. She thought there must have been some quarrel between Bold and her father, and she was half angry with both, though she did not attempt to explain to herself why she was so” (Trollope, 1952, p. 35). And in this tea party John Bold is absent again. How disappointing and sad Eleanor is, we may imagine. She may be looking forward to the party, the chance to show her elegance of making tea in front of her lover for a long time. This explains why she has “no spirit” for making tea and thinks the party is dull. When the party finishes, she “stood sad and thoughtful by the empty fireplace…..” She is worried about whether Bold is dangerous and there might be something wrong between her father and lover. The following conversation makes Eleanor aware of the accusations against her father from John Bold about John Hiram’s will that put her father into a dilemma. Then Eleanor is involved in the situation and the emotional relationship is revealed in a subtle way.

The tea party also places John Bold into a dilemma. He wholeheartedly wants to go to see Eleanor at the tea party. He “never loved Eleanor better than he did now; he had never so strongly felt how anxious he was to make her his wife as now, when so many obstacles to his doing so appeared in view…..” (Trollope, 1952, p. 73). He thinks he cannot behave well and worries about the difficulties for Mr. Harding, too. He says to his sister seriously and gloomily, “I cannot, … I wish I could, with all my heart” (Trollope, 1952, p. 74). The tea table is a place for people gossip, since tea and scandal are associated by the English writer William Congreve (1964). In Bold’s mind, the tea party may bring out the scandal caused by the case and place them into an embarrassing situation. Therefore, he solves his dilemma by being absent at the tea party.

Then, the narrator also states the comic and ironic behavior of people before leaving the tea party, one of the most striking features of the tea party. Men and women “declared how pleasant it had been; and Mrs. Goodenough, the red-faced rector’s wife, pressing the warden’s hand, declared she had never enjoyed herself better; which showed how little pleasure she allowed herself in this world, as she had sat the whole evening through in the same chair without occupation, not speaking, and unspoken to” (Trollope, 1952, pp. 82-83). The woman is named Goodenough, but does she really feel good enough? It obviously reveals the dull and boring side of the party and the mutually indifferent and hypocritical attitude and emotions to each other in transitional period of Mid-Victorian time.
On learning of her father’s situation, Eleanor “has a long period of doubt and hesitation and a few minor physical impediments before she can intercede with Bold for her father and, indirectly, the realization of her own love” (Houston, p. 112). She persuades Bold to drop the case against the Warden. But this is not a solution in the Warden’s opinion. Not sure whether to be in favor of Mr. Bold – the representative of the radical – or his son-in-law Archdeacon Grantly, – who represents the conservative position –, he is caught up in the conflict between the two factions. Finally, Mr. Harding resolves the dilemma through resignation and releases his conscience from all contention and suffering. It is the tea table that presents more about the complicated relationship and the dilemma faced by Mr. Harding, John Bold and Eleanor Harding. To some degree, we cannot conclude that the solutions of the dilemma are objective or subjective. But it is clear that Trollope gives an insight into the cultural functions of the tea table and shows his highly sympathetic to his characters and their cultural values. The tea table draws an intricately cultural picture of socialization and politeness as well.

The Archdeacon’s Breakfast-Parlour

Tea is a very important part in Victorian life and summons up a domestic ideal. In Villette, Charlotte Brontë draws a picture of a “perfect and typical” English domestic tea. “How pleasant it was in its air of perfect domestic comfort! How warm in its amber lamp-light and vermillion fire-flush! To render the picture perfect, tea stood ready on the table – an English tea, whereof the whole shining service glanced at me familiarly; from the solid silver urn, of antique pattern, and the massive pot of the same metal, to the thin porcelain cups, dark with purple and gilding. I knew the very seed-cake of peculiar form, baked in a peculiar mould, which always had a place on the tea-table at Bretton. Graham liked it, and there it was as of yore – set before Graham's plate with the silver knife and fork beside it” (Brontë, 1985, pp. 245-246). Fromer (2008) remarked that the “typical English tea” suggested the complex negotiation of social identity and represents “all of the necessary elements of recognizably English domesticity.” A shared moment at the tea table indicates the common enjoyment of a cup of tea and time of hearth and home.

However, there is no common enjoyment of tea and atmosphere of domestic comfort in the well-furnished breakfast-parlor of the archdeacon at Plumstead Episcopi. In Chapter VIII, the narrator exposes the reader to it in great detail as follows. “…The urn was of thick and solid silver, as were also the tea-pot, coffee-pot, cream-ewer, and sugar-bowl; the cups were old, dim dragon china, worth about a pound a piece, but very despicable in the eyes of the uninitiated. The silver forks were so heavy as to be disagreeable to the hand, and the bread-basket was of a weight really formidable to any but robust persons. The tea consumed was the very best, the coffee the very blackest, the cream the very thickest; there was dry toast and buttered toast, muffins and crumpets; hot bread and cold bread, white bread and brown bread, home-made bread and bakers’ bread, wheaten bread and oat bread; and if there be other breads than these, they were there; there were eggs in napkins, and crispy bits of bacon under silver covers and there were little fishes in a little box, and devilled kidneys frizzling on a hot-water dish; which, by the bye, were placed closely contiguous to the plate of the worthy archdeacon himself. Over and above this, on a snow-white napkin, spread upon the sideboard, was a huge ham and a huge sirloin; the latter having laden the dinner table on the previous evening […]” (Trollope, 1952, pp.103-04). What the reader can see is all about the description of the daily food and utensils. There are no female characters making tea for the family and no males enjoying tea: there are no participants mentioned at all. No comfort or harmony or peace at the archdeacon’s breakfast is conveyed. On the contrary, we are told more than once that the archdeacon retires
to his study, “of course to his clerical pursuits” (Trollope, 1952, p.104). Just as the narrator repeatedly describes, “I have never found the rectory a pleasant house… I generally found the rectory somewhat dull…. On the whole, … I found the rectory a dull house, though it must be admitted that everything there was of the very best” (Trollope, 1952, pp. 104-05).

In *Orley Farm*, Trollope “suggests that true class status – an indication of inner morality and nobility – lies underneath the surface of incomes, estates, and titles” (Frommer, 2008, p. 212). We know that the archdeacon is rich and an important figure in the Christian Church. But, he is not generous at heart. He embodies a contradiction. According his religion, the rich is urged to give their wealth to the poor. He is only “theoretically committed to the idea that the spiritual is what is important”. In practice, he does not give money and possessions to the poor. Newton, K. M. (2004) commented, “[c]onspicious consumption would be inconsistent with the tenets of his faith, but by concealing outward signs of wealth in the provision of such everyday food as tea, bread… the contradiction is apparently neutralized.” The narrator’s tone here is ironic, which reveals the pseudo-morality and middle-class cultural values and status. “According to Trollope, both men and women must participate in the rituals of the tea table, in order to convey and to reproduce their middle-class status” (Frommer, 2008, p. 213). It is obvious that Dr. Grantly here fails to convey and reproduce his real status. Although the type and quality of such daily food as eggs, bread, and especially tea, only indicates, “the financial capacities of the family, tea etiquette reveals the education and background of its partakers” (Zhan, 2005). The tea table is not only related to the femininity and domestic, but also the moral status and middle-class values. There are not necessarily any connections between the outer symbols of wealth and the inner moral status.

### Conclusion

At the end of the novel, the harmonious and comfortable picture of Mr. Harding and his daughter Eleanor drinking tea together has metaphorical and profound meanings. After his resignation, Mr. Harding happily enters his new abode and asks his daughter to make tea. “So Eleanor took off her bonnet and made the tea. After this manner did the late Warden of Barchester Hospital accomplish his flitting, and change his residence” (Trollope, 1952, p. 279). Tea, here, is applied to signal peace, warmth, and harmony of domesticity. Moreover, the manner of the tea table functions as a ritual or ceremony symbolizing the threshold of a new house and life. From the above discussion of the tea scene, the tea party and the breakfast tea, we may conclude that the tea table reflects the cultural values embodied in the connections, the dilemma and the anxiety of characters. Trollope also discloses the metaphorical meanings of the tea table being an emblem of middle-class English domesticity in the Mid-Victorian era.

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### References


A Review of the Charles Johnson Study in China and the West

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Abstract As an eminent contemporary African American writer and critic, Charles Johnson has drawn many scholars’ attentions. Many academic books and papers on his works have been published. This paper will first give a general review of Charles Johnson’s study both in China and the West, and then analyze its values, as well as inadequacies, in hopes of inspiring further studies in this field.

Keywords Charles Johnson; philosophical black fiction; whole sight; Middle Passage

Introduction
Charles Johnson, the first S. Wilson and Grace M. Pollock Professorship of English at University of Washington, is a distinguished contemporary American black writer, critic, cartoonist and philosopher. As a writer, Johnson has created a distinctive style called “philosophical black fiction”, which manifests a bold blend of eastern and western philosophy and religions with the unique experiences of African Americans. He has authored a long list of award-winning novels, short stories, essays and academic books, which have won him many literary awards, among which the 1990 National Book Award winner Middle Passage (1990) and the 2003 O. Henry Prize winner “Koon” (2001) are the most famous. The former made Johnson the first black man to win this prize since Ralph Ellison in 1953.

Charles Johnson’s works, especially his novels and short stories, are accepted well in America since his winning of the National Book Award. While Middle Passage has been compiled into many a textbook for college and middle school students and translated into eight languages, his short stories like “Kwoon” and “China” (1983) are also frequently anthologized by major publishers. Meanwhile, Johnson’s achievements have attracted the interest of international scholars, and they’ve produced many academic books and papers on his works since 1990. In 2003, the Charles Johnson Society was set up in Boston. It is composed of more than ten scholars from different countries who have published series of monographs, academic papers and interviews on Johnson’s works. In China, a Charles Johnson study has just been launched, yet it has apparently presented a warming-up trend which is shown through the fact that research papers have emerge in some core academic journals continuously over the recent years. This paper will review the achievements of the Charles Johnson study both in the West and in China. It will include three main parts: the first part will survey the current situation of the Charles Johnson study in Western countries; the second part will introduce the Charles Johnson study in China; and the third will analyze the defects and inadequacies in the Charles Johnson study as a whole.

The Current Situation of the Charles Johnson Study in the West
There were ten monographs and compilatory works in the Charles Johnson study published by the scholars from the Charles Johnson Society until April, 2015. Meanwhile, over sixty academic papers and fourteen dissertations on Charles Johnson’s works are obtainable from EBSCO, JSTOR, Literature Online, PQDT, and ProQuest.
Generally speaking, the Western Charles Johnson study is mainly carried out from five main perspectives: the study of Charles Johnson’s life and works, cultural thought, postmodern characteristics, political thought, and artistic aesthetics. Now we’ll review and comment on these perspectives.

**The Study of Charles Johnson’s Life and Works**

Though the biography is fundamental to the study of a writer, it is hard to find one about Charles Johnson, since he is a Buddhist and always regards ego as an “illusion”. Yet some introductions to his life and works have been published, among which the most important are:

First, with his essay “I Call Myself an Artist”, Charles Johnson (2004) offers some valuable first-hand materials about himself. Second, Nash (2001) and Whalen-Bridge (2003) have respectively introduced and analyzed Charles Johnson’s life and career, works and achievements, which has paved a path for the research of Charles Johnson.

**The Study of Charles Johnson’s Cultural Thought**

Charles Johnson once told his interviewer Boccia that “the one specific goal” of his writing philosophical black fiction is to open up “black literature to the same ethical, ontological, and epistemological questions – Western and Eastern – that I wrestled with as a student of philosophy” (Boccia, 2004, p. 194). In fact, almost every Charles Johnson researcher has noted the rich cultural thought in his works, and many of them have taken it as the core of their research.

*Charles Johnson’s spiritual Imagination* by Little (1997) is the first monograph in the field of Charles Johnson study. Emphasizing his diverse cultural sources, it centers on the integration of western and eastern religions and philosophy in Johnson’s fiction, thus pointing out an important direction for later research. Storhoff (2004) asserts in *Understanding Charles Johnson* that the Buddhist perspective is a linchpin in Johnson’s works and analyzes the influences of Buddhism on his subjects, characters and descriptions. Moreover, it also explores the way Johnson relates to western Philosophy. Byrd (2005) analyzes in *Charles Johnson’s Novels: Writing the American Palimpsest*, through the metaphor of “palimpsest”, the multiple meanings in Johnson’s texts and conceptions, elaborating some key problems in Johnson’s works, such as the western and eastern philosophy and characteristics of philosophical black fiction. Selzer’s *Charles Johnson in Context* (2009) puts Johnson side-by-side with a group of professional philosophers, discussing the interplay between his literary creation and its three main intellectual contexts of the rising of black philosophers, black Buddhists and “new” black intellectuals at that time.

In addition, the following six compilatory works, including two new ones by Charles Johnson himself, also discussed his thoughts on western and eastern culture. Byrd’s *I Call Myself an Artist: Writings by and about Charles Johnson* (1999), an organic synthesis of Charles Johnson’s life and career, short stories, unpublished fragments of earlier novels, essays, book reviews and nine research papers by Johnson researchers, offers us some very helpful information in Johnson study. McWilliams’ *Passing the Three Gates: Interviews with Charles Johnson* (2004), elaborately choosing twenty interviews conducted between 1978 and 2003, nearly covers all of the important questions in Charles Johnson study. Conner and Nash’s *Charles Johnson: The Novelist as Philosopher* (2007), another masterpiece from the perspective of philosophy, includes ten research papers and discusses the diverse philosophies, religions and aesthetics in Johnson’s fiction. *Charles Johnson: Embracing the World*, co-edited by Ghosh and Miller (2011), is a book which integrates Johnson’s life with his scholarship. It is composed of thirty-five
essays, poems, interviews, short stories and researching papers, unfolding Johnson’s life and spirit from different angles.

Recently, the publication of two new books by Charles Johnson himself has generally refreshed the Charles Johnson study. One is *Taming the Ox: Buddhist Stories and Reflections on Politics, Race, Culture, and Spiritual Practice*. Composed of eleven essays, five reviews and prefaces, and six short stories, all created by Johnson, this book mainly addresses “traditional issues related to Buddhism in general and the recent, revolutionary emergence of black American Dharma practice in particular” (Johnson, 2014, p. xii). The other is *The Words and Wisdom of Charles Johnson*, the latest collection of Johnson’s interviews, which, compared with *Passing the Three Gates*, tremendously expands its scope of discussion (Johnson, 2015).

In addition to the above monographs and compilatory works, some academic papers written from the perspectives of western and eastern culture have also been published, among which, the papers by Gleason (1991), Byrd (1999), Storhoff (1996), Selzer (2003) and Rushdy (2009) are the most eminent. Generally speaking, these papers contribute greatly to broadening our vision, thus offering us new possibilities in interpreting Charles Johnson’s works as well.

*The Study of the Postmodern Characteristics of Charles Johnson’s Fiction*

The postmodern skills of juxtaposition, collage, parody, anachronism and self-reference often appear in Charles Johnson’s works, so therefore a research rush on this perspective has emerged in recent years, among which the major ones are as follows:

Both Gleason and Retman explored *Oxherding Tale*, Charles Johnson’s second published novel, in detail. By analyzing the postmodern skills applied in *Oxherding Tale*, Gleason (1991) asserts that Johnson is a self-conscious postmodern writer (p. 205). Retman (1999) argues that “as a post-modern subversion of the classical American slave narrative with resonances of an Eastern parable”, *Oxherding Tale* exemplifies Johnson’s own protean dictate (p. 418). Thaden and Steinberg both discussed *Middle Passage*. While Thaden (1997) believes *Middle Passage* is an important example of “Historiographic Metafiction” through which “Johnson takes postmodernism a step beyond merely questioning the veracity of the narrativized past” (p. 754), Steinberg (2003) claims that this novel thoroughly adapted the tradition of slave narrative by employing many contemporary and postmodern subjects and skills.

*The Study of Charles Johnson’s Political Thought*

Charles Johnson’s novels often involve political subjects; some stories are even based on real political events. Both Nash and Conner discuss Johnson’s political thought in their study. In *Charles Johnson’s Fiction*, Nash (2003) points out that a tension between aspiration of transcendence and description of cruel reality penetrates Johnson’s works, which has turned Johnson from his belief in religious teaching to practical action. Conner (2007) believes that Johnson’s writings “resolutely engage politics, but under the broader concept of the public realm” (p. xvi). These scholars give vitality to the Charles Johnson study by avoiding the common discussion of race, identity and culture, but centering on Johnson’s political subjects instead.

*The Study of Charles Johnson’s Artistic Aesthetics*

Charles Johnson is both a writer and a literary critic who has produced not only a long list of novels, short stories, essays, but also many critical works. Therefore, some scholars have tried to explore his aesthetics on philosophical black fiction and artistic goal of “whole sight”.

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Little (1991), who has brought forth the first fruit in the study of Johnson’s aesthetics, claims that there are apparent similarities between Being and Race, one of Johnson’s aesthetic works, and Oxherding Tale, and that the latter is “a fictive enactment of Johnson’s critical expectations and criteria” (p. 146). Coleman (1995) demonstrates, through linking his aesthetic theories and writing practices with his attempts to revise black texts and to pursue liberation, how Johnson achieved his artistic and realistic goals in his novels. Boccia (1999) puts his understanding of Being and Race into ten parts like “life-world”, “form and function”, and “the philosophy of an artist”, etc., and takes a phenomenological thinking on them. Nash (2003), focusing on several of Johnson’s critical works, asserts that Johnson’s aesthetics reflects the conflicts and currents of 20th century African American intellectual life, and his appropriation of the diverse literary traditions has extended the understanding of black being and black arts to a new level. By analyzing Johnson’s aesthetics through relating his critical works to Middle Passage, Jordan (2004) discusses some of Johnson’s important subjects, such as the notion of black victimization, phenomenological “époché” and “moral fiction”. In recent years, there is an emerging trend of post-colonialism, gender criticism, and narratology, etc. in the Charles Johnson study. But we will have to leave them to another paper since the length of this one is limited.

The Charles Johnson Study in China

The Charles Johnson study has just begun in China, yet it is presenting a warming-up trend. Until March, 2015, there were seven academic papers, one M. A. thesis, and one translation of Johnson’s short story obtainable from CNKI. The Chinese Johnson study was activated with an essay introducing Johnson’s career and various achievements (Ma, & Ma, 2010), which greatly attracted scholars’ attention. In 2011, Dai Huan (2011) published a paper in which he analyzed the shift of the protagonist’s identity and transcendence of his “middle” position in Middle Passage. Then in the same year, Dai Huan studied Middle Passage, as well in his M. A. thesis. In spite of Dai Huan’s effort to explore a new literary field, however, both of his papers are limited to the same and single novel of Middle Passage. In addition, his perspectives and visions closely follow those of the western scholars. In the following year, Shi Yonghong (2012) published the first translation of “The Soulcatcher”, one of Johnson’s short stories. Then, Cheng Houliang (2013) gave a survey on the fruits of the western Johnson study on three dimensions of “philosophical black fiction”, “Eastern Religions”, and “Postmodernism”. In 2014, He Xinmin and Zhao Bowen (2014) discussed Middle Passage with the aid of space theory. 2015 saw a new and more promising scene in Johnson study. Until March of this year, three papers on Johnson’s works appeared in Chinese authoritative academic journals. Among them, Cheng Houliang (2015) argues that Johnson’s adoption of Taoism, especially Chuang Tzu’s thought, forms a distinctive feature of Oxherding Tale, which is “a real novelty for African American literature” (p. 89). Pang Haonong (2015) analyzes the philosophical and political thinking in Middle Passage with the help of Marxist theory. And Shi Yonghong (2015) discusses family and racial trauma the protagonist of Middle Passage experienced, and, by combining the methodology of psychology and culture analysis, tries to reveal the social-historical roots of these traumas and the ways of redemption offered by Johnson. Surely, these papers will help to further expand the vision of Charles Johnson study in China.

Conclusion

The above review shows that, as a whole, the Charles Johnson study has moved into a relatively systematic and in-depth phase. However, it still can be strengthened with the following in consideration:
First, though many scholars have noted that Johnson’s fiction is rich in eastern thought, and some have actually explored the culture of Hinduism and Buddhism in his works, some elements of Chinese culture, such as Taoism and Confucianism, are seldom discussed. Second, most of the academic papers on Charles Johnson have focused merely on a single work, especially *Oxherding Tale* and *Middle Passage*, thus lacking a whole sight of his body of works. Third, the study in existence has merely touched on a little bit of Johnson’s aesthetic thought, which, as the foundation of the understanding of Johnson’s works and thoughts, therefore, is bountiful and dispensable to a Charles Johnson study. Fourth, the existing study barely links Johnson’s artistic goal of “whole sight” with his realistic pursuit of delivering black people from all kinds of slaveries, thus failing to demonstrate the real significance of Johnson’s philosophical black fiction.

From the above review and analysis, we can see that there are still some gaps to be filled in on the Charles Johnson study, so more academic research should be made on the above-mentioned aspects of Johnson’s works.

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Assessing *Language Testing*: A Corpus-based Approach

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[Abstract] *Language Testing* has now completed three decades of publication, during which a great amount of significant work has been done. In this paper, a corpus of 30 volumes of this journal (1984-2013) is built to analyze the research foci and changes, research methodologies, representative scholars and research centers that have long enjoyed cachet. Based on the quantitative and qualitative analysis of these data, it can be concluded that this journal is representative of the development in the field of language testing, and it has been and is reflecting and promoting research, as well as changes in this field and beyond over the years.

[Keywords] language testing, corpus analysis; *Language Testing*

Introduction

Over fifty-three years has passed since the publication of two milestone works in 1961 written by John B. Carroll (1961) and Robert Lado (1961) which laid a foundation for the development of modern language testing. During this period, many significant achievements have been made. Language testing is a relatively new discipline within applied linguistics, defined as “the practice and study of evaluating the proficiency of an individual in using a particular language effectively”¹. Beyond measure, language tests are powerful in that they can have a significant impact on stakeholders within the educational systems and society in general. Therefore, it has become an on-going process for researchers and practitioners to pursue sufficient justification of assessment systems.

*Language Testing (LT)*, the most authoritative journal on the topic of language testing and assessment, has gone through thirty years of development and enjoys a certain cachet in this field since its first issue was published in 1984. As a professional journal in language testing, it has addressed theoretical issues and practical concerns with state-of-the-art knowledge and perspective over the years, thus providing a panoramic view of the developments in the field. In the present study, a corpus has been built using the 30 volumes (1984-2013) of publications appearing in this journal in an attempt to investigate the research foci and changes, methodologies, representative scholars and research centers of language testing.

Methodology

*Language Testing* is an international peer-reviewed journal devoted to issues in the assessment of language ability from different viewpoints. Its content is diversified including research articles, book reviews, test reviews, research notes², correspondence³, and commentaries, encouraging a wide exchange of ideas. Its wide scope encompasses first and second language testing and assessment of English and other languages, and the use of tests and assessments as research and evaluation tools.

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¹ This definition by Priscilla Allen of University of Washington is a winning entry from the 2009/10 “definition” competition run on Language Testing Resources Website (http://languagetesting.info/) by Glenn Fulcher.

² For the convenience of analysis, several publications with no feature classification and no abstracts, which are also of brief accounts, non-significant evidence or non-clear conclusions, are treated as research notes. This treatment is especially common in the first period when research was not mature enough.

³ The feature of correspondence includes the occasional feature dialogue, a short response, or reply since 2004.
In this paper, we collected publications of 30 volumes of *Language Testing* from 1984 (Volume 1, Issue 1) to 2013 (Volume 30, Issue 4) from SAGE Publications online to build a corpus, which consists of 492 articles, 124 reviews (101 book reviews and 23 test reviews) and 46 other journal components (including research notes, correspondence, and commentaries). These data reveal that *Language Testing* has maintained and continues to maintain its original role throughout the past three decades – “as much a forum for informed speculation as it is for empirical experimentation” (*Language Testing* Editors, Editorial, 1994, p. i) – with diverse content and a wide scope of topics. In order to be detailed in analysis, the entire corpus is divided into six periods, each with a span of five years: The First Period is from 1984 to 1988, Second Period from 1989 - 1993, Third Period – 1994 - 1998, Fourth Period from 1999 - 2003, Fifth Period – 2004 - 2008, and the Sixth Period from 2009 to 2013. The number of publications in each of the six periods is detailed in Figure 1.

![Figure 1. Number of Publications of LT in Six Periods](image)

In doing the analysis, we followed the category order of research articles, reviews, and other components. The computational tool AntConc 3.2.1w was employed to get word frequency for the data of the first two categories and qualitative analysis was done for the third category. We first looked into the information from research articles including titles, abstracts, authors, and affiliations to discuss the research foci and changes, methodologies, representative scholars and research centers of this field. Secondly, titles of the books reviewed, the publishing time, and purposes of test reviews were examined to analyze the research foci and changes, the timeliness of book reviews, and the testing foci of the field. Thirdly, other features of the journal including research notes, correspondence, and commentaries were also discussed to provide an insight into interesting issues and the exchange of critical ideas.

**Results and Discussion**

**Research Articles**

**Titles of research articles.** Word frequency of the titles of research articles was calculated in order to provide a general understanding of the research foci of language testing over the past three decades. Figure 2 demonstrates that the most frequent words of the article titles cluster around the core concepts of language testing and assessment and can be classified into five categories as follows.

The first category contains topics related to construct measurement, such as *tests, assessment, testing, measurement, language, English, proficiency, performance, EFL, ESL, ability and TOEFL*. To characterize the construct, much effort has been directed towards the nature of language abilities involved in test performance, like ‘unitary competence hypothesis’ (Oller, 1979), and ‘communicative language ability’ (Bachman, 1990), as represented by the above construct-related words (e.g. *ability, proficiency, performance* and *ability*). Such general words as *tests, assessment, testing* and (*test) development feature
an umbrella procedure for conducting construct research, whereas other words like *English, ESL, EFL* and *TOEFL* mirror the fact that language testing and assessment focus more on the measurement of English language proficiency, especially non-native speakers’ English proficiency in TOEFL, for English is the global language (Crystal, 1997).

**Figure 2. Most Frequent Words in Article Titles (Frequency ≥ 20)**

The second category contains topics related to validity, like *validity* itself and *validation*. Validity is the most important quality of test interpretation and use, which can be broadly defined as an inductive summary of both the existing evidence for and the actual as well as potential consequences of score interpretation and use (Messick, 1990), therefore, validity is unified, but multifaceted, and needs different types of evidence to support the claims for score interpretation and use. The on-going process of validity evidence collection and empirical evaluation is validation, which has been a constant topic in the 30 volumes of *Language Testing* being studied here for a number of scholars (e.g. Kunnan, 1994; Alderson, 2013).

The third category contains topics related to language-use tasks, such as *reading, oral, comprehension, speaking, writing, listening* and *vocabulary*, which are the most commonly used tasks in language tests. They are the contextualized realization of language ability in using language in specific language tasks. There is a considerable amount of research concerning the investigation of language ability in different tasks and contexts, yet accurate assessment is complicated by such construct-irrelevant variances as task characteristics, and test methods, as well as test takers themselves, therefore, much attention has been given to this category.

The fourth category concerns research methodologies, which is represented by *analysis, model, and approach*. They make a difference in estimating the particular test performance, thus being conducive to the process of construct validation, such as the application of Multifaceted Rasch measurement (Hsieh, 2013), structural equation modeling approach (Kunnan, 1994), discourse-based analysis (He & Dai, 2006) and DIF analysis (Takala & Kaftandjieva, 2000).

The last category covers factors affecting validity, such as *students, task, item, effect, score* and *rater*. These factors, other than the ability being measured that affect score interpretation and use, have long been of concern in validation study, whose effect on language performance and score interpretation has been closely estimated by a number of researches, such as students’ (test-takers’) characteristics (Lumley & O’Sullivan, 2005), task type (Shohamy & Inbar, 1991), item format (Lee & Winke, 2013) and rater variable (Weigle, 1994).
Abstracts of research articles. Word frequency count in abstracts of the 492 research articles was done in a similar fashion, aiming to deepen the understanding of the research foci and changes in LT over the six periods, as well as the methodologies employed.

Figure 3 shows that, as expected, the most frequent words in article abstracts reflect the fundamental considerations in language testing. The macro facet of language testing dealing with the framework of language ability assessment includes such words as language, assessment, score, tests, performance, measure, proficiency, testing, validity, ability and L2, while the micro facet addressing detailed concerns in test validity embraces words like item, students, task, rater, group, reading, model, analysis, teachers, effect, rating, writing, factor and data.

Figure 3. Most Frequent Words in Abstracts of Research Articles (Frequency ≥ 150)

To be specific, the former addresses what language testing is, setting the scene for the major concerns of language testing, that is, the developing and use of tests or measures to assess language proficiency or ability, and that test score interpretations or use should be valid. As for the latter, these words of high frequency specify different factors affecting validity, different methods applied in testing and analyzing, and language-use tasks most commonly examined (e.g. reading, writing). The characteristics of students, raters and teachers will have an effect on the accuracy of ability measurement, and this is also true of item and task facets. Validation of a particular test usually turns to the empirical evidence coupled with different methods such as grouping testing, Rasch model, quantitative and qualitative analysis, and factor analysis.

Affiliations of research articles. The most influential research centers of language testing were also figured out, among which Educational Testing Service (ETS) stands out and remains far ahead of other testing/testing research centers. This is not surprising, as ETS has a strong research team with some of the most distinguished individuals in this field, including Grant Henning, Samuel Messick, Michael Kane, Donald Powers, Gary Buck, and Xiaoming Xi. The University of Melbourne, ranking second, is also actively involved in testing research with such eminent figures as Tim F. McNamara, Catherine Elder, Brian Lynch, Tom Lumley, Annie Brown, Gillian Wigglesworth, Kieran O’Loughlin, Carsten Roever, and Ute Knoch. The productivity of the University of California at Los Angeles, in terms of testing research, has also been extraordinary, and this can be attributed to the contributions made by Lyle F. Bachman, Thom Hudson, as well as Brian Lynch and Fred Davidson in their early years there. Other research centers following the top 3 have also contributed to the theoretical and practical professionalization of language testing coupled with rich perspectives and approaches. Particularly noteworthy are those research centers which reflect the deep root of language testing in the USA, the UK and Australia, boasting the most prolific research centers.

Reviews

Book reviews. There were altogether 101 book reviews published during the period, and the books reviewed are arguably the most popular state-of-the-art books. We extracted the most frequent words of the book titles to approach the mainstream of testing research from a different angle, and found that these words overlap with the findings of keywords in the research articles. These books are within the research realm of language testing, mainly focusing on guiding or enlightening language tests and language assessment in a theoretical, methodological and practical way. The timeliness of review publishing was also calculated to evidence the pursuit of research fronts in this field. Eighty-two (82)% of the book reviews were published within three years, and 98% within five years; only 2%, as the outlier, were more than five years, which were McNamara’s retrospective review of two earlier landmark books – *Fundamental Considerations in Language Testing* (Bachman, 1990) and *Language Testing in Practice* (Bachman & Palmer, 1996). Most of the book reviews were published within a very short time, closely following the research fronts explored by the books.

Test reviews. There are 23 test reviews published in *Language Testing* over the past thirty years, covering language tests in first, second and foreign languages across different countries for different purposes. Since most language assessments are done by these tests, it is desirable to critically inform stakeholders (test users, test takers, test specialists and decision-makers) of the very tests and the key concepts of the tests (like validity, reliability, fairness and impact), and to raise awareness and trigger discussion in test development and research towards higher standards of test quality. These tests can be used for a variety of purposes, including proficiency, achievement and aptitude, and more specifically placement, certification, employment, and diagnosis, while some have more than one specific purpose.

Particularly noteworthy is that the test reviews deal mostly with the tests for English whose purposes are unanimously to evaluate English proficiency of non-native speakers of English. This phenomenon echoes the previous findings in keyword analysis of the article titles that English is dominant in language assessment. In addition, most of these tests belong to high-stakes tests, indicating that discussion of high-stakes language tests have commanded the attention of researchers, which also echoes the findings in article abstracts; yet more forays into low-stakes tests are wanting.
Research Notes, Correspondence and Commentaries
Apart from formal articles and reviews, research notes, correspondence and commentaries have been regular features of this journal since its beginning, totaling 46 pieces. The diverse content of coverage is devoted to encouraging interesting issues with tentative accounts (research notes) and stimulating critical discussion on published articles (correspondence and commentaries), thus enlightening the exchange of information and ideas in various forms.

First, there are 13 research notes in total. The first period witnesses a cluster of 7 research notes mainly focusing on item formats in reading and listening comprehension. These reports correspond to the important forays in objective testing in the face of criticism leveled at the cloze test after its burst in the 1960s. The second period, with two research notes, extended the research discussion on multiple-choice tests to its test-taking strategies on the one hand, and explored the new tool of differential item functioning (DIF) in analyzing items from two EFL proficiency tests against each other. With no research notes in the third period, there were three in the fourth period. The three reports were included in a special issue on classroom assessment of young learners against professional testing practice, which represented a range of techniques that include observation-driven assessment, self-assessment, as well as the more traditional pencil-and-paper test (Rea-Dickens, 2000). The fifth period had only one research note, while the sixth period had none. The one in the fifth period reported on an analysis of English as an Additional Language (EAL) assessment framework in Australia and the USA, which helped to enlighten the classroom-based teacher assessment. Overall, research notes have decreased over the years, indicating that research is becoming more mature with statistically significant results and clear conclusions.

Secondly, there were 15 correspondence articles in the six periods, relating to critical responses to previous articles, other testing issues and author’s replies, mirroring the fact that open academic debate and critical thinking have contributed to the refinement of language testing. The first period drew attention to theoretical issues of language ability and methodological problems in item analysis. For example, Oller (1984) reflected on Alderson’s research of the cloze test and argued for the issue of controversy, the UCH (Unitary Competence Hypothesis). The second period mainly discussed the method facet in item analysis and technical innovations. For example, Hamp-Lyons (1989) questioned the validating process of two previous studies on Rasch analysis and its beneficial impact on curriculum. The third period witnessed some fair comments with criticisms, compliments and rebuttals by Alderson’s responses and Lumley’s replies (Alderson & Lumley, 1995) on Lumley’s (1993) article, as well as Hammerly’s (1997) validation of his book against Cohen’s questions concerning the French Immersion Test (FIT). With none in the fourth and sixth period, the fifth period stands out with two sets of responses and replies, both of which are pertinent to the investigation of test design. One article relates to text organization and response format in reading comprehension, while the other article is about ‘chain-preserving’ deletion (CPD) procedures in cloze testing.

Thirdly, there are 18 commentaries emerging exclusively in the first and the sixth periods, illustrating a recurrence of theoretical concerns on validation and technical application. The first period embraced a collection of selected comments on ‘LT + 25’ and other theoretical and methodological comments on testing issues published previously. Other testing issues commented on include methodological concerns on verbal reports (Cohen, 1986), questions raised on Skehan’s concept of foreign language aptitude (Hughes, 1986), and comments on the introduction of performance tests in TOEFL (Nevo, 1986) and OTESL (Ontario Test of ESL) (Seaton, 1987). Commentaries of the sixth period are directed at two special commentary issues on test fairness and argument-based validation, and
one brief commentary on elaboration of the statistical measurement model of Wilson and Moore (McNamara, 2011), which indicates a theoretical reorientation to validity argument and statistical emphasis on data interpretation.

**Conclusion**

In the process of corpus analysis of 30 volumes of *LT*, the aim of this paper has been generally fulfilled, that is, this paper has identified the research foci and changes, methodologies, representative scholars and research centers of language testing. Based on quantitative analysis of the articles, reviews and citation information, the following conclusions can be safely drawn. First, the research foci of the journal reside in the assessment of language ability and test validation studies, evidenced by the data extracted from the titles and abstracts of articles. Second, the research methodologies are becoming increasingly sophisticated, diversified and refined, tending towards the mixed methods of quantitative and qualitative approaches. Third, the deep root of language testing originates in the USA, the UK and Australia, with their most influential scholars and research centers; however, other countries with their prominent scholars are also emerging. In addition, the qualitative analysis of research notes, correspondence and commentaries suggests that the diverse content of coverage greatly inspires the exchange of ideas and critical discussion on interesting, yet controversial issues, in language testing, contributing to the refinement of testing research.

To look back, all of these findings have confirmed that *Language Testing* has been and is reflecting and promoting research and changes in this field and beyond. To look forward, we would like to conclude, in Bachman’s term, that “it is breadth of coverage (including considerations of both validity and impact), a linkage of theoretical considerations to practical realities, and a richness of research perspectives and approaches that must inform our research agenda for the years to come” (Bachman, 2000, p. 24).

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Gender Conflict and Binary Opposition in “The Chinese Woman, The Chinese Man”

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[Abstract] This paper is an attempt to analyze the binary opposition and gender role conflict in a patriarchal society in “The Chinese Woman, the Chinese Man”, a short drama by Robert Walser. It focuses mainly on self-expression and protest of the Chinese woman, the punishment mechanisms of a male-dominated society and psychological changes. The purpose of this paper is to explore how a male-dominated, value-oriented society is questioned and doubted in this drama.

[Keywords] gender conflict, binary opposition, self-expression, punishment mechanism

Introduction
“Die Chinesin, der Chinese” (The Chinese Woman, The Chinese Man) is a short drama written by Robert Walser in 1997. A Chinese woman betrays her husband and loves another man. She is sentenced to prison for starvation. She begs a Chinese man passing by for food. The Chinese man is very hesitant and complies with the law. He thinks the woman should be punished and persuades her to accept the punishment. The woman pretends to do so in order to obtain his help. The man is still hesitant and tells her the hidden purpose of this punishment, that is, to be submissive as a woman. At this moment, the woman exposes the true features of this man. Finally, the woman is caught in an illusion while the man leaves the prison.

In the many dramas and prose of Robert Walser, the female figure with her gentle and submissive character is always described as the opposite of the male figures, who are normally aggressive and dominant. This is the only drama that characterizes a female who refuses to be meek and seeks to protest against a male-dominated society. This analysis focuses mainly on how the drama reflects gender conflicts between male and female, and how the woman protests by expressing herself. This analysis also tries to point out how a male-dominated society runs its punishment mechanism and to expose the psychological changes in the Chinese woman and the Chinese man.

Gender Conflict and Binary Opposition
A significant binary opposition can be easily found in the drama. It is obvious that there exists a different status between a weak, hungry and dying woman and a powerful man. On the one hand, it is an emotional, emotion-driven woman, as she states that she has become acquainted with another man who loves her, because her husband doesn’t love her. On the other hand, it is a man who appears to have a rather rational and reasonable character, as he says, “So leid es mir tut, dich leiden zu sehen, halte ich es für recht und billig, mich dabei still zu verhalten” (I feel really sorry to watch you suffering, but I think it is right and proper for me to do nothing here.) Beside this contrast, this drama also shows the difference between a free man outside the fence and a woman behind bars and the conflict between the freedom the woman wants and the obedience the man requires. Finally, the drama also shows a binary opposition of male-female dichotomy in an asymmetric power relation, namely, the punished female prisoner and the male with high

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1 Since there is no English version of this drama available, all citations from the drama are translated by the author of this paper.
ethical standards who attempts to convince the woman to accept the fact that she would starve to death, as well as the contradiction between sympathy and harsh laws.

The role setting in this play is very similar to the role setting in traditional gender culture. Armeil (1999) puts, “virtually across time and place, men and women are unequal in the power they have, either in society or over their own lives” (p. 3). Wisdom and reason are considered to be men’s specialty; women are thought to be the incarnation of intuition and emotion. In this kind of differentiation of gender roles, the males are in a superior and dominant position, while the females are in an inferior and subservient one.

From the above analysis, it can be inferred that sense and rationalities represented by the men and laws goes over emotion and sensibility, the Chinese man should be more powerful than the Chinese woman, the free man is superior to the female prisoner, and the Chinese woman should be in disadvantage. Nevertheless, the image of this weak Chinese woman is strengthened and she shows her strength and resistance gradually. On the contrary, the man’s position and power is continually weakened. He seems to have the initiative at the beginning, yet the man progressively falls into a passive position. Facing the woman’s questioning, he eventually becomes speechless.

The opposition between freedom and obedience is also reflected in this drama. The freedom here refers to not only the woman’s yearning for love, but also her yearning for freedom and identity. And obedience the man requires does not just mean the woman’s acceptance of her punishment; it is also to obey the social conventions and rules. As Rousseau (1979) once said, “from this habitual constrain comes a docility which women need all their lives, since they never cease to be subjected either to a man or to the judgments of men and they are never permitted to put themselves above these judgments” (p. 370). This actually reflects the confrontation and conflicts between male and females; this confrontation comes originally from the requirements and positioning for the male and female in the society. In addition, the drama also indicates an apparent contrast of power. The right to express oneself is important in the gender relations between men and women. In a patriarchal society, the right to speak and express oneself is controlled by the males who stand in the center of power. The females are excluded from the male discourse and they are deprived of the right to make a point.

**The Chinese Woman: Self-Expression and Revolt**

The right to express oneself can be seen as a priority in the fight for power between men and women. Usually this right is located in the hand of dominant males, however, the helpless female image at the beginning of this drama becomes more and more dominant. In the beginning, the Chinese woman asks herself a question and then a question of the man, “Bin ich schon eine Tote? Reichest du mir nicht etwas zu essen?” (Am I already dead? Don’t you give me something to eat?). Then, the woman talks to the man, she encourages him when he hesitates, she supports him when he wavers, she questions him when he refuses, she leads him back to their topic when he tries to change it, she pretends to obey him when he seems impossible to pervert, she commands him when he boggles, she urges him when he becomes halting, and in the end she makes a conclusion that he is cowardly and independent.

In their dialogue, the woman repeatedly questions the man and urges him to make a decision. When he says that he cannot give the woman anything to eat, “wegen der Schmach, wegen der Schande” (because of shame, because of dishonor), the woman thereupon asks him, “Ist es eine Unehre, Mitleid zu zeigen” (Is it a shame to show sympathy)? When the man answers, “Aber dir ist ja der Hunger von Gesetz wegen zuerkannt” (But the starvation is the legal judgment for you), the woman presses him immediately, “Wagst du das Gesetz nicht aus Menschenliebe nichtzuachten” (For the love of humanity, don’t you dare to defy
the law? The man answers her with his faith in the law, “dir helfen ist ja ein Verbrechen, und ich habe keine Lust, ein Verbrechen zu begehen” (it is a crime to help you, and I don’t want to commit a crime). The woman then asks him at once, “nennst du Zuschauen, wie ich umkomme, etwas Sittliches” (do you think watching me suffering is something moral)?

In addition, the woman often expresses her dissatisfaction with the man, such as “deine Wohlgeleinheit nützt mir nichts” (your kindness is of no help to me). And when he tries to persuade her to accept her fate of starving to death, she pretends to accept the man’s persuasion because she knows the man’s blind obedience of law, but still she doesn’t give up and attempts to convince him. She carefully brings up the topic and says to him, “Da du dich über meine Gelehrigkeit freust, so unterstütze mich, hilf mir” (Since you are satisfied with my docility, so support me and help me); this attempt also fails. When the man haltingly says, “In diesem Fall ...” (Well ...... in this case), she uses a brief and imperative sentence, directly and emphatically responding to him, “Was? So sag’s doch!” (What? Just say it)! Yet he becomes hesitant. At this very moment, she gives her conclusion to the man, “Dich verläßt deine Geisteskraft” (You have no mental strength).

Although the woman is physically very weak at this moment, she takes an advantageous position, both spiritually and psychologically. At the end of this talk, the man finally reveals the crux of this punishment – to force her to be completely obedient.

Rousseau (1979) holds such a position when he talks about the education of women. “Dependence is a condition natural to women, and thus, girls feel themselves made to obey” (p. 370). In this drama, the woman’s search for freedom becomes something that the male-dominated society tries to exclude. Rousseau points out, “Idleness and disobedience are the two most dangerous defects for them and the ones least easily cured once contracted. (...) They ought to be constrained very early. This misfortune, if it is one for them, is inseparable from their sex, and they are never delivered from it without suffering far more cruel misfortunes. All their lives they will be enslaved to the most continual and most severe of constraints—that of the proprieties. They must first be exercised in constraint, so that it never costs them anything to tame all their caprices in order to submit them to the wills of others” (p. 369). This proves the judgment of de Beauvoir (1956), “One is not born, but rather becomes, a woman. No biological, psychological, or economic fate determines the figure that the human female presents in society. (...) Only the intervention of someone else can establish an individual as an Other” (p. 273). Except in this drama, it seems that regardless of the fact that the woman is hallucinated because of hunger in the end, she neither seems to intend to surrender under the physical tortures, nor does she admit her behavior as a crime.

The drama begins with the woman’s question. The process that the woman refutes the man’s moralization or pretends to accept his suggestion could also be viewed as a process of the woman’s self-expression. We may divide it into three phases: The first stage is putting the punishment system represented by the man in doubt. The woman asks the man many questions and this questioning implies the inhumanity and unreasonableness of this punishment, which goes against human nature. The second stage is justifying her freedom to seek true love, when the man asks why she betrayed her husband, she says, “Er liebte mich nicht. Ich lernte einen kennen, der mich liebte” (He doesn’t love me; I met a person who loves me). When they talk about the woman’s love story, the tense situation between them appears to be relaxed. The man also expresses his sympathy for this. Additionally, the woman speaks grievously about her life, “Der Tag ist so schön. Muß ich den Tod dulden, weil ich duldeste, daß ich mich im Leben ergötzte” (The day is so beautiful. Must I tolerate the death, because I have tolerated my desire of amusing my life)? This is not only a doubt on her own behaviors, but also a doubt on the whole system. The third stage is her resistance and
revolt against the male-dominated society. When she pretends to accept the recommendations of the man, facing the fate of her death peacefully, yet later attempts to get help but fails because of the man’s hesitance, she gives a clear and forceful comment on the man that he does not have mental strength. When the man lets her know that they have punished her so that she can learn to be submissive, she gets caught in a hallucination and breaks off the communication with the man, which can be regarded as a refusal to obey.

**The Punishment Mechanism**

Attention should be paid to the punishment the woman suffers – namely starvation because of her longing for love. This punishment – the hunger – is a deprivation of physiological desire. Historians long ago have considered the body as the seat of needs and appetites (Foucault, 1995, p. 25). In Chinese Confucian thoughts, dining and intercourse between male and female are the most basic and important human natures. Lust and gluttony, the excessive pursuit of food and sexual desire are thought to be the very first two sins in Christianity. A woman who pursues love and happiness is deprived of physical fullness and desire. It is a denial of the woman’s sensual desire, including physical and psychological desire.

Seeing the woman suffering, the man refuses to help her. As he says, helping the woman is a shame. However, refusing to help is in her eyes dishonorable and inhumane. This punishment ignores a basic rule, “that punishment must have ‘humanity’ as its ‘measure’” (Foucault, 1995, p. 75). When the woman accuses the man’s behavior as shameful and asks him, “Nennst du Zuschauen, wie ich umkomme, etwas Sittliches” (do you think watching me suffering is something moral)? The man tells the woman that she has nothing else to do but give in to her destiny and make friends with death. This shows that the man is standing by the side of the law. The woman then asks the man to go to the judge and beg for her, because she thinks the judge would show mercy on her. The man crushes her hopes and tells her, the judge would reply that “ihr Beruf darin besteht, keinerlei Nachsicht zu haben. Sie sind erkoren, an die Zweckmäßigkeit ihrer Urteilsprechung zu glauben” (their job leaves them no forbearance. They must believe in the authority of their sentence). Foucault (1995) once suggested for punishment: “Do not imagine that the sentences that we judges pass are activated by a desire to punish; they are intended to correct, reclaim, ‘cure’” (p. 10). And correction and healing in this drama is, like the man says at the end, to make the woman become submissive to her destiny, to force her to comply with ethics and to obey the law.

Throughout the dialogue, we can clearly see the man’s obedience and defense of this institutionalized system of punishment, while the woman shows her fight and revolt against this punishment system. It is hard for her to convince the man who symbolizes intellect, responsibility and justice.

**The Chinese Man: A Weak Hesitant Abuser**

When the woman begs the man, he speaks for the first time. At that time, he is still a potential savior with a dominant position. He replies with a subjunctive, “Das täte ich vielleicht ganz gern” (I would like to do so). This brings the female prisoner a glimmer of hope, yet that hope is dashed. At the beginning of this dialogue, the man is a cold, immovable follower of the law, which makes him an abuser inside this punishment mechanism. Unlike the judges behind the scenes, he is by the woman’s side while she is dying and he would like to watch this happen. When the woman asks him if he would dare to defy the law for the love of humanity, he uses the word “Lust” (passion, desire, pleasure) three times to answer, “Ich hätte wohl Lust, es zu wagen, aber ich habe eben so viel Lust, zum Gesetz ja und zum Wagnis nein zu sagen. Es ist eine gewisse Lust in mir, zu beklagen, was mir geschieht” (I would probably like to go for it, but I’ve got as much pleasure to say yes to the law and no to the risk. There is a certain desire in me to sorrow over
what’s happening with you). The word “Lust” is always related to satisfaction. As the man says, it is to meet his emotional needs. When he expresses his passion to go against the law, his desire to comply with the law and meanwhile his pleasure to show some sympathy to the woman, he gives hope to the woman and pulls it back again. This shows the man’s hypocritical sympathy.

When the woman repeatedly emphasizes her hunger and suffering, the man tries to change the topic and asks the woman why she betrayed her husband. Hearing the woman says that she just wanted to pursue love, the man shows his empathy by expressing his understanding. Anyway, he reminds himself that he should not try to understand others, because “Das Unverstandenenwerden schützt uns” (An incomprehension will protect us). This can be seen as his seeking comfort so that he can continue to comply with the law and he seeks for excuses not to help this woman.

Nevertheless, the man is no longer a cruel abuser. He begins to persuade and comfort this woman. When the woman asks him to beg the judge, he doesn’t consider that as a solution. Hearing the woman’s desire for life, he reluctantly interrupts her imagination. He persuades the woman to accept her current situation, and encourages her to accept this as the only option. The woman pretends to agree with him. Yet he doesn’t understand the woman is just pretending, and she still wants help. At this time, the man becomes hesitant again. The woman now has used up all her patience, she not only questions him and commands him to tell her the truth, but also shows her contempt. In this situation, the man makes a confession. “Everyone must see punishment not only as natural, but in his own interest; everyone must be able to read in it his own advantage” (Foucault, 1995, p. 109). In the man’s opinion, the advantage here for the woman is to learn obedience. When the woman learns about this hidden purpose, she is caught up in hallucinations. The man cannot bear it, so he leaves the prison.

**Conclusion**

At the end of the play, there is a short first-person narration. The narrator first explains the background of the story, saying that the woman dies eight days later and that her lover dares not go to see her. Her husband is eighty years old. While the woman is sentenced to death, her lover is not harmed and gets to walk away from this. Gender differences lead to differences in social status. All of the men in this drama, including the Chinese man, the judges, her old husband and her lover, represent the rational, rigid and timid male image. No doubt that the woman here has a very strong gender consciousness and has been trying to change her status and situation by expressing herself, because “the development of a language that fully or adequately represents women has seemed necessary to foster the political visibility of women” (Butler, 2006, p. 2).

The narrator then says, “Die meisten Leute sind ungeheuer brav. Ich habe mir an den vielen Exemplaren ein Beispiel genommen und bin ebenfalls brav geworden. Ich gehe rechtzeitig ins Bett und stehe rechtzeitig auf. Ich glaube, ich bin auf dem Weg, mich der Gesellschaft nützlich zu machen. Glauben Sie nicht, daß ich das imstande bin? In mir leben hochanständige Überzeugungen” (Most people are extremely well-behaved. I have taken an example from these copies and have also become well-behaved. I go to sleep and get up in time. I think, I will make myself useful to society. Don’t you think that I am capable of that? Highly respectable beliefs lie in me). This statement about behaving well has nothing to do with submissiveness; on the contrary, it is a resistance and denial of conformity. It is full of ironies, referring to the woman who is starved to death due to her pursuit of love and human nature and whom the man and the mechanism behind him try to restrain. This figure who does not want conformity and obedience can be seen as a resistance against the male-dominated, value-oriented society.
References
Relationship between Measures of Syntactic Complexity and Judgments of EFL Writing Quality

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Abstract This paper reports on an empirical study on the relationship between syntactic complexity measures and EFL writing quality. Conceptualized as a multi-dimensional construct, syntactic complexity is gauged by a total of seven measures. Analysis of 114 writing samples from EFL learners at an intermediate proficiency level shows that, except for the measures of phrasal coordination and non-finite subordination, all other measures correlated significantly with writing scores and could differentiate between writing proficiency at the intermediate-high and intermediate-low levels. Findings of this study hold important implications for L2 writing pedagogy.

Keywords syntactic complexity; syntactic complexity measures; writing quality; EFL learners at intermediate level

Introduction

Syntactic complexity, i.e. the range and degree of sophistication of forms that surface in language production, has always been considered an important construct in second language research, because the growth of syntactic repertoire is considered an essential aspect of L2 learners’ language development (Ortega, 2003). However, the large number of syntactic complexity measures used in past studies, and the various aspects of research design employed make it difficult to pool results from the literature (Ai & Lu, 2013; Norris & Ortega, 2009). Furthermore, past efforts have been largely concentrated on ESL learners (Ferris, 1994; Grant & Ginther, 2000; Yang, et al., 2015) or EFL learners at advanced levels (Ai & Lu, 2013; Lu, 2011), with few studies looking specifically at writing by EFL learners at the intermediate level. In an attempt to remedy this situation, the present study seeks to measure syntactic complexity as a multi-dimensional construct (Norris & Ortega, 2009), and investigate its relationship with the writing quality of intermediate-level EFL learners.

The rest of the paper is organized as follows: First, the author reviews studies examining the relationship between syntactic complexity and second language writing. This is followed by a discussion about how syntactic complexity is defined and measured in the present study. Next, the method section describes the research questions addressed, the data collected for this study, as well as the analytic procedure. The author then presents the results and discusses the findings. Finally, the paper concludes with a brief discussion of the pedagogical implications of the research findings.

Literature Review

Studies on Syntactic Complexity in Second Language Writing

In order to find valid and reliable indices to objectively measure L2 writing proficiency and its development, a number of studies have been carried out by researchers interested in second language writing (Kim, 2014; Lu, 2011; Ortega, 2003; Wolfe-Quintero, et al., 1998; Yang, et al., 2015). One type of study looked into
changes in syntactic complexity in an L2 writing over a period of time (Casanave, 1994; Norrby 2007; Ortega, 2000). For instance, Casanave (1994) analyzed a small group of EFL student’s journal writing over a period of three semesters, and found that the writing of all the students changed over time, but in a variety of ways not necessarily predicted by the T-unit research. In an attempt to understand how linguistic complexity interacts with L2 learners’ morpho-syntactic development, Norrby (2007) analyzed sentence length and subordination in adult L2 learners of Swedish, both spoken and written product, over a period of one year. Such longitudinal studies, however, are fewer compared with studies that adopt a cross-sectional design. These studies, by focusing on certain selected indices, investigated how measures of syntactic complexity correlated to or had an effect on writing proficiency. For instance, Kim (2014), in an attempt to investigate the relationship between linguistic complexity indices and writing proficiency of Korean EFL learners, found that measures characterizing length of production, the use of complex nominals and the use of complex T-units could differentiate lower and higher proficiency of L2 writing. Yang, et al. (2015) looked into the relationships among writing topics, measures of syntactic complexity and ESL writing quality. They found that the two global measures of mean length of sentence (MLS) and mean length of T-unit (MLT) can significantly and consistently predict writing scores across topics. However, as pointed out by several scholars (Ai & Lu 2013; Wolfe-Quintero, et al., 1998; Yang, et al., 2015), these longitudinal and cross-sectional studies differed significantly along several dimensions, including the choice and definition of the specific measures examined, conceptualizations of proficiency levels, types of learners, and number of writing samples examined, thus “making it challenging to synthesize the cumulative knowledge presented” (Ai & Lu, 2013, p. 252).

**Measuring L2 Syntactic Complexity as a Multi-Dimensional Construct**

As indicated in the previous section, the inconsistency in the way syntactic complexity was defined and operationalized has resulted in mixed findings being reported for the measures under investigation. Moreover, such practice has also called into question what the construct of syntactic complexity actually is and what measures are appropriate (Yang, et al., 2015). Most of the measures examined in previous research seek to quantify one of the following: length of production units, amount of embedding or subordination, amount of coordination, range of surface syntactic structures, and degree of sophistication of particular syntactic structures (Ortega, 2003). As Norris and Ortega (2009, p. 560) usefully pointed out, many of these measures are redundant, as they essentially measure the same dimension, whereas others “gauge distinct qualities and dimensions”. Therefore, they proposed examining syntactic complexity as a multi-dimensional construct, which is represented at the levels of global complexity, clausal complexity (finite), clausal subordination, and sub-clausal elaboration, which is realized through non-finite subordination, phrasal coordination and noun phrase complexity (Norris & Ortega, 2009).

Following Norris and Ortega’s (2009) definition, the present study seeks to measure syntactic complexity at the sentence, clausal and sub-clausal levels. Table 1 summarizes the measures investigated in the present study, the sub-constructs they represent, and their definitions.
Table 1. Syntactic Complexity Measures

<table>
<thead>
<tr>
<th>Sub-construct</th>
<th>Measure</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall sentence complexity</td>
<td>Mean length of sentence (MLS)</td>
<td>Number of words divided by number of sentences</td>
</tr>
<tr>
<td>Overall T-unit complexity</td>
<td>Mean length of T-unit (MLTU)</td>
<td>Number of words divided by number of T-units</td>
</tr>
<tr>
<td>Clausal subordination</td>
<td>Dependent clauses per clause (DC/C)</td>
<td>Number of dependent clauses divided by number of clauses</td>
</tr>
<tr>
<td>Overall clause complexity</td>
<td>Mean length of clause (MLC)</td>
<td>Number of words divided by number of clauses</td>
</tr>
<tr>
<td>Phrasal coordination</td>
<td>Coordinate phrases per clause (CP/C)</td>
<td>Number of coordinate phrases divided by number of clauses</td>
</tr>
<tr>
<td>Noun phrase complexity</td>
<td>Complex nominals per clause (CN/C)</td>
<td>Number of complex nominals divided by number of clauses</td>
</tr>
<tr>
<td>Non-finite subordination</td>
<td>Non-finite elements per clause (NFE/C)</td>
<td>Number of non-finite elements divided by number of clauses</td>
</tr>
</tbody>
</table>

It should be noted that no measure of clausal coordination, usually gauged by the number of T-units per sentence (TU/S), was investigated by the present study. The decision for not including this measure was based on the theoretical assumption that coordination is the most indicative source of complexification at beginning level of development (Norris & Ortega, 2009). It thus follows that the examination of measures gauging sentence-level coordination may not yield meaningful results in an investigation into L2 writing proficiency at the intermediate level. Furthermore, this assumption is supported by empirical studies, such as Yang, et al. (2015), who found that TU/S did not correlate significantly with writing scores. With regard to the unit of analysis at local levels, the present study used clause, as it was found to be a more informative unit of analysis than T-unit (Lu, 2011).

Due to the limitation on the length of the report, please see Ai and Lu (2013) for the definitions of the production units and syntactic structures used in the calculation of the aforementioned measures.

Research Design

Research Questions

The present study seeks to explore the relationship between measures of syntactic complexity and EFL writing quality. Specifically, the study aims at addressing the following two research questions:

1. What is the relationship between syntactic complexity measures and writing quality of EFL learners at intermediate level?
2. To what extent can syntactic complexity measures differentiate EFL writing proficiency at intermediate-high, -mid, and -low levels?

Data Collection

The data used in the study consisted of essays on a single writing topic from 114 first-year non-English major students in a university in southeast China. All students were matriculated undergraduates from diverse fields of study including social sciences, engineering and natural sciences, and all had learned English as a foreign language for at least six years. Their CET-4 (College-English Band 4) score ranged from 399 to 650, with an average of 546 (SD=53.2). Thus, the students’ English proficiency can be said to be at the range of intermediate-low to intermediate-high. The prompt asked the students to discuss whether children should be allowed more time to play. Since this topic requires writers to “justify their beliefs, and
support interpretations of why events follow each other by giving reasons”, it is believed to elicit causal reasoning (Robinson, 2005), which, as predicted by Robinson (2007, 2011), can lead to increased syntactic complexity in language production.

The students had 30 minutes to finish writing the essay in class. Each essay was rated on a 15-point scale by two experienced EFL teachers using the CET-4 holistic essay rating scale. Spearman’s rho between the scores awarded by the two raters reached 0.85. The average of the two ratings was used as the final score for each essay. Though the CET-4 essay rating scale does not explicitly address syntactic complexity as a criterion, essays with higher scores are expected to exhibit greater syntactic complexity.

The essays were compiled at three different levels of writing proficiency. Essays with scores ranging from 10 to 13 were categorized as intermediate-high (N=39), essays with scores ranging from 7 to 9 as intermediate-mid (N=44), and essays with scores ranging from 3 and 6 were rated as intermediate-low (N=31). A one-way ANOVA analysis revealed that the three groups of essays differed significantly in terms of the scores received (F=302.335, p=0.000). Tukey’s HSD test, a post-hoc multiple comparison test, showed that there were significant differences between any two of the three groups (p<.05).

Data Analysis
The essays were analyzed using the L2 Syntactic Complexity Analyzer (Lu, 2010), a computational system designed to automatically analyze the syntactic complexity of writing samples produced by college-level L2 English learners. The analyzer took the written English text as input and produced frequent counts of the nine linguistic units in the text, including word, sentence, clause, dependent clause, T-unit, complex T-unit, coordinate phrase, complex nominal, and verb phrase, and returned 14 measures of syntactic complexity for the text, including 6 of the measures investigated in the present study. Following Yang, et al. (2015), the one measure – non-finite element per clause (NFE/C), which is not generated by the analyzer, is calculated by subtracting one from the measure of verb phrases per clause, since “by definition a clause contains one finite VP, and the other VPs are therefore non-finite” (Yang, et al., 2015, p. 59).

The complexity measures and writing scores of the essays were then analyzed to answer the two research questions. First, Pearson’s product-moment correlation between syntactic complexity measures and writing scores were calculated to identify the relationship between syntactic complexity and quality of EFL writing. Second, One-way ANOVA and post-hoc tests were run to assess to what extent the seven measures could differentiate EFL writing proficiency at the three levels.

Results
Research Question 1: Relationship between Syntactic Complexity Measures and Writing Quality
A Pearson’s product moment analysis was run to probe the relationship between the seven syntactic complexity measures and EFL writing quality. Given that seven measures were being investigated, and therefore seven tests were being performed on the same dataset simultaneously, the Bonferroni correction was employed to avoid spurious positives. This set the alpha value for each correlation analysis to .05/7, or .007.
Table 2. Pearson Correlations between Syntactic Complexity Measures and Writing Scores

<table>
<thead>
<tr>
<th>Sub-construct</th>
<th>Measure</th>
<th>( r )</th>
</tr>
</thead>
<tbody>
<tr>
<td>Overall sentence complexity</td>
<td>Mean length of sentence (MLS)</td>
<td>.432**</td>
</tr>
<tr>
<td>Overall T-unit complexity</td>
<td>Mean length of T-unit (MLT)</td>
<td>.421**</td>
</tr>
<tr>
<td>Clausal subordination</td>
<td>Dependent clauses per clause (DC/C)</td>
<td>.330**</td>
</tr>
<tr>
<td>Overall clause complexity</td>
<td>Mean length of clause (MLC)</td>
<td>.310*</td>
</tr>
<tr>
<td>Phrasal coordination</td>
<td>Coordinate phrases per clause (CP/C)</td>
<td>.197</td>
</tr>
<tr>
<td>Noun phrase complexity</td>
<td>Complex nominals per clause (CN/C)</td>
<td>.342**</td>
</tr>
<tr>
<td>Non-finite subordination</td>
<td>Non-finite elements per clause (NFE/C)</td>
<td>.151</td>
</tr>
</tbody>
</table>

Table 2 summarizes the correlations between each of the seven syntactic complexity measures and writing scores. First, MLS and MLT, measures of overall sentence complexity and overall T-unit complexity, were significantly positively correlated with the writing scores. Second, DC/C, which measures finite clause subordination, also was significantly correlated with the writing scores. Third, among the four measures pertaining to elaboration at the finite clause level – MLC, CP/C, CN/C and NFE/C, only MLC and CN/C significantly positively correlated with the writing scores. Finally, the strength of the relationship for all significant findings was overall moderate, ranging from .310 to .432.

Research Question 2: Differences in Syntactic Complexity Measures among the Three Writing Proficiency Levels

In order to examine whether there were statistically significant differences among the three writing proficiency levels in terms of the mean complexity values, a one-way ANOVA was conducted. However, since the assumption of homogeneity of variance was not met for MLS (Mean Length of Sentence), Welch’s F test was run for this particular measure. The result revealed statistically significant differences among the three writing proficiency levels in relation to MLS, Welch’s \( F(2, 56.474) = 10.457, p < .05 \). Meanwhile, one-way ANOVA analysis on the other six measures showed statistically significant differences among the three writing proficiency levels in the main values for MLT, DC/C, MLC and CN/C. It should be noted that Bonferroni correction was again applied here. Since six tests were being conducted on the same dataset simultaneously, the alpha level was adjusted to .05/6, or .008.

For the four measures that showed statistically significant between-group differences, Tukey’s HSD test, a post-hoc multiple comparison test, was run to determine whether significant differences existed between any two of the three levels. Meanwhile, Games-Howell post hoc procedure was used to determine which pairs of MLS differed significantly. Results of the five post hoc tests are summarized in Table 3.

Table 3. Differences in Main Complexity Values Among the Three Writing Proficiency Levels

<table>
<thead>
<tr>
<th>Measure</th>
<th>Intermediate-high vs. intermediate-mid</th>
<th>Intermediate-high vs. intermediate-low</th>
<th>Intermediate-mid vs. intermediate-low</th>
</tr>
</thead>
<tbody>
<tr>
<td>MLS</td>
<td>°</td>
<td>*</td>
<td>*</td>
</tr>
<tr>
<td>MLT</td>
<td>-</td>
<td>**</td>
<td>-</td>
</tr>
<tr>
<td>DC/C</td>
<td>-</td>
<td>**</td>
<td>-</td>
</tr>
<tr>
<td>MLC</td>
<td>**</td>
<td>**</td>
<td>-</td>
</tr>
<tr>
<td>CN/C</td>
<td>-</td>
<td>**</td>
<td>-</td>
</tr>
</tbody>
</table>

* indicates a statistically significant difference (\( p < .05 \)); ** indicates a statistically significant difference (\( p < .008 \)); ° indicates a non-significant difference (\( p \geq .05 \)); - indicates a non-significant difference (\( p \geq .008 \)).
As can be seen from Table 3, post-hoc tests revealed statistically significant differences between intermediate-high and intermediate-low in the main values of all five measures. The only other statistically significant difference was found between intermediate-high and intermediate-mid in the main value of mean length of clause.

Discussion

By examining syntactic complexity as a multi-dimensional construct (Norris & Ortega, 2009), the present study revealed important findings regarding the relationship between syntactic complexity and writing quality. First, correlation analysis indicated that writing quality correlated significantly with syntactic complexity measures gauging global complexity (MLS and MLT), overall clausal complexity (MLC), clausal subordination (DC/C) and sub-clausal elaboration (CN/C). This finding is largely consistent with previous observations (Wolfe-Quintero, et al., 1998; Yang, et al., 2015). However, unlike Yang, et al. (2015), neither phrasal coordination (CP/C), nor non-finite subordination (NFE/C) was found to correlate significantly with writing quality. Given that the writing topic used by Yang, et al. (2015) also demanded causal reasoning, it is unlikely that the differences were caused by topic effect. Nevertheless, as Yang, et al.’s study (2015) involved matriculated graduates whose English proficiency was believed to be at the range of intermediate-high to advanced levels, it could be speculated that the difference in the participants’ English proficiency levels might be the reason for the discrepancies in the findings.

With regard to the differences in the main values of the syntactic complexity measures among the three writing proficiency levels, the present study found that, except for CP/C and NFE/C, the other five measures could all discriminate between writing at intermediate-high and intermediate-low levels. Furthermore, MLC, which measures overall clausal complexity, could also discriminate between the two adjacent levels of intermediate-high and intermediate-mid. With regard to the two global complexity measures, i.e. MLS and MLT, the findings of the present study are in line with past observations that they could discriminate between EFL writers at lower and higher proficiency levels (Lu, 2011; Ai & Lu, 2013). However, in terms of the amount of subordination used, the findings of the present study differed from past studies, which revealed no statistically significant increase between lower- and higher-level EFL learners (Ai & Lu, 2013). Finally, the present study partially supported past findings that MLC and CN/C were the best developmental indices in terms of their power of discriminating between EFL writing at different proficiency levels (Lu, 2011).

Conclusion

Findings of the present study clearly indicate a close relationship between syntactic complexity and EFL writing quality, and carry important implications for L2 educators. To begin with, the clear gap between intermediate-low and intermediate-high students in all dimensions of syntactic complexity, calls for the implementation of relevant pedagogical intervention to enhance intermediate-low students’ syntactic competence. Furthermore, the lack of significant differences across writing proficiency levels measures gauging phrasal coordination, and non-finite subordination indicates that these might be challenging structures even for students of relatively high proficiency levels. Therefore, students should be encouraged to employ such syntactic structures as coordinate phrases, gerund, infinitives, participles and verb-less clauses, in their writing practice.
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Does L2 English Transfer Work on L3 Chinese Writing?

An Analysis on Korean CFL Learners’ Referential Errors

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[Abstract] The present study is an extension of Kang’s (2004) studies of L1 Korean referential strategies to L2 English writing into a new context of L3 Chinese writing. It looks at to what extent L1 Korean and L2 English have influence on L3 Chinese writing. The results show that there is not only L1 Korean transfer (a higher use of full nouns), but also L2 English transfer (a higher use of pronouns) in their L3 Chinese writing, and Korean students with high L2 English proficiency use more pronouns than Korean students with low L2 English proficiency in their Chinese writing, as compared to Chinese students.

[Keywords] Korean CFL (Chinese as a foreign language) learners; reference errors; L1/L2 transfer

Introduction

As Kang (2004) pointed out, reference is an important source of discourse cohesion as it increases pragmatic competence such as handling referential continuity/discontinuity while continuously assessing characters’ changing relationship to the story. The appropriate use of the referential system effectively and strategically could make a narrator become a more native-like writer.

Recently, as Chinese has become a more popular target language, many Korean students are coming to China to learn Chinese as a foreign language. Since getting a high score in HSK is directly related to getting a job in Korea, Korean students tends to be quite concerned with HSK tests. However, the Chinese writing test in HSK is regarded as one of the hardest parts to get a high score on because of grammar errors in their Chinese writing; many studies found that Korean students had trouble treating referential strategies in their Chinese writing (Liu, 2005; Xu & Xiao, 2009; Cao, 2000). For example, Korean students tend to use full nouns much more, as compared to native Chinese (Xu & Xiao, 2009; Cao, 2000) and 79.7% anaphora errors (a higher use of pronouns) were made by Korean students (Liu, 2005). Some researchers analyzed the causes for the referential errors (Liu, 2005; Huang, 2014). For example, Liu (2005) analyzed the cause for the zero-anaphora errors, pointing out that the main cause is the influence of L1 transfer. She explained that zero-anaphora errors are related to Korean students’ higher use of conjunctions because they seem to use pronouns right after using a conjunction.

It seems that many related studies on referential errors have not focused on L2 English transfer, but instead only on L1 transfer. Most Korean students have completed 8.5 years of formal, compulsory EFL education in Korea before they begin to learn Chinese as L3, and so they already have a prior knowledge of referential strategies (i.e., a higher use of pronouns) in L2 English, which might have some influence on their L3 Chinese writing. It seems that it is necessary to analyze the reasons for making the same referential errors in Korean CFL learners’ Chinese writing, with both L1 transfer and L2 English transfer.
Literature Review

Korean CFL Learners’ Fossilization of Reference Errors in Chinese Writing

According to Selinker (1972), fossilization is identified with the persistence of formal errors in non-native speakers during the language development process. Trillo (2002) expanded the range of fossilization to the pragmatic level and defined pragmatic fossilization as when a native speaker systematically uses certain forms inappropriately at the pragmatic level of communication. Korean CFL learners’ overuse of full-noun and pronouns would be categorized as pragmatic fossilization. Examples of Korean CFL learners’ reference errors are presented below:

(a) 但（a）的家環境我家不一樣，恩京(b)的家家庭很富有。恩京(c)以前告诉我他的父母结婚八年才得女儿，所以恩京(d)没有兄弟姐妹。恩京(e)家的财产大约有十几亿左右。(Cao, 2000)

En-gyueng’s family is different from my family. En-gyueng’s family is rich. En-gyueng told me that her parents had a daughter 8 years after they got married. So, En-gyueng doesn’t have siblings. En-gyengs’ family is a billionaire (Cao, 2000)

(b) 我来到中国以后最吃惊的是他们(a)每个民族都很好地保留着他们(b)的风俗习惯。到延边以后,我本想他们(c)虽然是朝鲜族,但他们(d)肯定保留不了朝鲜族的精神。因为他们(e)已经离开家乡很多年了。还有他们(f)大多已系第二代、第三代人。(曹秀玲, 2000)

After I came to China, I was surprised that ethnic groups in China maintain their own cultures well. When I came to Yanbian, I thought that though they were Koreans, they might not keep the spirit of Korean. Since they have left their hometown for a long time, and most of them are second or third generation (Cao, 2000)

Comparison of Referential Strategies Between Three Languages

According to Taso (1982), Chinese tend to use more full noun strategies in context where pronouns might be preferred in English. As far as the topic is understood, a full noun is preferred in Chinese, which forms a direct contrast with the referential strategies in English. Zhao Hong and Shao Zhihong (2005, p. 176) pointed out that Zero-Anaphora in Chinese is more observed than in English, see below:

(a) Full-noun

woxihuanzhebeizi, zhehebeizi hen piaoliang.

I like this cup, this cup very beautiful

I like this cup. It is beautiful.

(b) Zero-Anaphora

朋友有点不好意思地解释说，买这座大房子时，孩子们还上着学，如今都成家立业了

My friend looked somewhat ill at ease when he told me this: At the time when he bought this big house, his children had all been at school. Now they had their own homes and jobs.

The Korean language has the same features as Chinese in regard to dealing with referential strategies in context because Korean is also a language in which noun phrases may be omitted as long as the referent
can be understood in the context and which conventionally uses name or titles for the second and third person instead of pronouns (Kim, 1994). This feature is reflected in Koreans students’ Chinese writing. For example, Cao (2000) mentioned that Korean students showed a higher use of full-nouns in their Chinese writing and Liu (2005) discussed the problem of zero-anaphora in Korean CFL learners’ Chinese writing.

(c) A higher use of full noun errors
但恩京(a)的家庭环境我家不一样，恩京(b)的家庭很富有。恩京(c)以前告诉我他的父母结婚八年才得女所以恩京(d)没有兄弟姐妹。恩京(e)家的财产大约有十几亿左右(曹秀玲, 2000)

En-gyueng’s family is different from my family. En-gyueng’s family is rich. En-gyueng told me that her parents had a daughter 8 years after they got married. So, En-gyueng doesn’t have siblings. En-gyeng’s family is a billionaire (Cao, 2000)

(d) Zero-Anaphora errors
上班时，他显得心事重重,(他-)为自己昨天的表现后悔 (刘建霞, 2005)

While he was working, he was worried, because he regretted for his behavior yesterday (Liu, 2005).

小王觉得很有意思，所以(他-)做这样的事情越来越厉害 (刘建霞, 2005)

Xiaowang thinks it is interesting, so he is getting better on that (Liu, 2005)

Strangely, Korean students seemed to use more pronouns in their L2 English writing than in their L1 Korean writing, which was not a feature of Korea (Kang, 2005). It seemed that Korean students were aware of the appropriate use of pronouns in L2 English writing. It could foretell that a Korean CFL learner may have a higher use of pronouns, which is neither a Korean feature nor a Chinese feature in their L3 Chinese writing.

(e) A higher use of pronouns errors
我来到中国以后最吃惊的是他们(a)每个民族都很好地保留着他们(b)的风俗习惯。到延边以后，我本想他们(c)虽然是朝鲜族，但他们(d)肯定保留不了朝鲜族的精神。因为他们(e)已经离开家乡很多年了。还有他们(f)大多已是第二代、第三代人。(曹秀玲, 2000)

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For this reason, the present study was designed to investigate to what extent Korean CFL learners’ L1 Korean transfer and L2 English transfer with different L2 English proficiencies have influence on Chinese writing.

L2 English Transfers in L3 Chinese writing
Cross-linguistic influence (CLI) has long interested scholars in the field of third or additional language acquisition (Angelis, 2007; Cenoz & Gorter, 2011). One of the notable differences between L2 and L3 acquisition is transfer in L3 acquisition that occurs from either one of the two other existing systems. That means it is possible that L2 transfer works on L3 production.
Several recent studies have shown that the second language is one source of transfer in L3 acquisition (Bardel & Falk, 2007; Falk & Bardel, 2011). For example, Falk and Bardel (2011) indicated that L2 seems to take on a stronger transfer than the first language in L3 German syntax. And as Williams and Hammarberg (1998) proposed in their case study that L2 proficiency might influence L3 production, and high proficiency in the L2 transfer has also proved to be decisive factor for L3 English oral production (Muñoz, 2006).

**Research Questions**
When Korean CFL learners use reference in L3 Chinese writing,
1. Is there L1 transfer in L3 Chinese writing?
2. Is there L2 transfer in L3 Chinese writing?

**Methodology**
Gass’s (2013) Error Analysis Model was adapted to this study. Four steps were taken in conducting an error analysis, namely, collecting data, classifying errors, quantifying errors, and analyzing errors.

**Collecting Data**
The data used in this study were gathered during 2014-2015. Thirty-six (36) participants in this study consisted of three groups: 12 Koreans students with low L2 English proficiency, 12 Korean students with high L2 English proficiency and 12 Chinese students. Since all Korean participants were college students enrolled in the HSK 6 level class; we assumed that they had a similar level in Chinese (intermediate level). Since there was no accurate way of matching the two Korean groups regarding their L2 English proficiency, the roughly estimated TOEIC score was used to distinguish the two groups: The Korean students who got more than 800/990 as a group have high L2 English proficiency, and the Korean students who got less than 800/990 as a group have low L2 English proficiency. The Chinese participants were chosen because their writing allows a reliable comparison of the ways in which Korean participants perform the same task. Although native Chinese writings cannot be used as the absolute correct answers, they are important data in that they indicate one of the most likely understandings among the native Chinese. The native Chinese participants were graduate school students with different majors in China.

All participants were given the same writing prompt, which is one of HSK test prompts (Two doctors) and asked to re-compose the story (400 words) in Chinese. The writing time was limited to 45 minutes, the same as required in HSK writing. The same protocol was followed for both the Korean students and the native Chinese students in order to make the content comparable, otherwise it may be affected by the content of the writing.

**Classifying Errors**
A higher use of full-nouns (old doctor [老医生]) in Korean CFL learners’ re-composition of Chinese writing was identified as L1 Korean transfer errors and a higher use of pronouns (he [他]) in Korean CFL learners’ re-composition of Chinese writing was identified as L2 English transfer errors in this study. The two different uses of referential errors were analyzed compared with those Chinese students.

**Quantifying Errors**
Gass and Selinker (1983) insisted that the existence of transfer cannot be established unless a frequency analysis is conducted. This study used Kang (2004)’s work as an analytical frame work. The frequencies of referential choices (full-noun phrase, pronouns) were counted in Korean CFL learners’ Chinese
writing. Analysis of variance (One-Way ANOVA) was used to test if there was a significant group difference between the Korean students with high L2 English proficiency, the Korean students with low L2 English proficiency, and the Chinese students’ writing.

For transcription and coding, in this study Kang (2004)’s method of transcription and coding was adapted. Expressions referring to the main character (old doctor) in the story were classified as follows: Full noun phrase (i.e., old doctor [老医生]), or pronouns (i.e., he [他]). In particular, the frequencies of referential choices (i.e., full noun, pronoun) for the main character were converted to proportions of the total mentions of words to see how similarly or differently the Korean CFL learner with high L2 English proficiency and the Korean CFL learners with low L2 English proficiency use their referential choices compared to the Chinese students in their writing.

To avoid missing counts (i.e., the pronoun ‘he’ was not only used for ‘old doctor’, but also ‘young doctor’ in the story of two doctors), ten randomly selected Chinese writings, which constituted approximately 25% of the data, were coded by a Chinese researcher to test the reliability of the designed coding system. The Pearson correlation, a measure of inter coder agreement that correct for chance, was 0.90 for Chinese writing.

Results

Analyzing Errors

For the main character, ‘old doctor’, there was no significant group difference in the portion of full noun phrases used for old doctor, which indicated that the Koreans may have transferred their use of such features from their L1 Korean into their Chinese writing, while there was a statistically significant group difference in terms of using pronouns to refer to the old doctor between the three groups ($F = 18.66$, $p<0.001$, $M=0.0062$, $SD=0.0068$). The post hoc test indicated that Korean students with high L2 English proficiency used significantly more pronouns compared to both the Korean students with low L2 English proficiency and the Chinese group ($p<0.001$). In particular, the Korean students with high L2 English used significantly more pronouns to refer to the ‘old doctor’ than the Korean students with low L2 English and the Chinese students did in their Chinese writing, and the Korean students with low L2 English students and the Chinese students showed only a small difference; there was no 0.05 level of significance.

The result indicated the Korean students with high L2 English proficiency failed to employ native Chinese-like referential choices with less use of pronouns in their Chinese writing. The Korean CFL learners with different L2 English proficiencies differentiated in their frequency of using pronoun for the main character in their Chinese writing which might be related to their L2 English effect in their Chinese writing.

![Figure 1. ANOVA Test Referential Choices for “Old Doctor” Across Groups](image-url)
Discussion

L2 English Transfer in Korean CFL Learners’ L3 Chinese Writing
The quantitative analyses between groups revealed that there was L1 Korean transfer, such as a higher use of full-noun phrasing for the main character in their Chinese writing; this result is consistent with Cao (2000) and even in Korean EFL learners’ L2 English writing (Kang, 2005). Since both the Korean and Chinese languages have the same features, L1 Korean transfer worked as a positive transfer in Chinese writing. At the same time, L2 English transfer was also represented in Korean CFL learners’ Chinese writing. There was a higher use of pronouns, which is not a feature of either the Korean or Chinese language but it is for English, for the main character in a story, compared to Chinese students.

The Over-Explicitness and Lack of Teaching Zero-Anaphora Might Boost L1 Korean Transfer and L2 English Transfer
The over-explicitness during both early and later states of second language acquisition is a common phenomenon, observed in many other L2 acquisition studies (Hendriks, 2003; Klein & Perdue, 1992; Williams & Hammarberg, 1998). Liu (2005) pointed out that using zero-anaphora is an area of persistent challenge to Korean students and has been a problem of the lack of teaching about it. Thus, the over-explicitness and lack of teaching the zero-anaphor might increase referential errors in the Korean CFL learners’ Chinese writing.

Both Korean and Chinese languages have the feature of using full nouns, and the phenomenon that a higher use of full nouns might be related to either the over-explicitness or the lack of teaching zero-anaphora. However, this study was not concerned with which feature could have more influence on using full noun phrases, rather it might be said that those features could work as a catalyst making L1 Korean transfers in Chinese writing. The phenomenon of a higher use of pronouns in Korean CFL learners’ Chinese writing might be also related to the over-explicitness and lack of teaching zero-anaphora. However, the Korean students with high L2 English proficiency used more pronouns regarding the main character than those Korean students with low L2 English. It seemed that the over-explicitness and the lack of teaching zero-anaphora might not be the main reason for the higher use of pronouns; these features worked as a booster to use more pronouns in Korean CFL learners’ Chinese writing.

Conclusion
The reason for the cause of Korean CFL learners’ referential errors in L3 Chinese writing demonstrates that there was not only L1 Korean transfer, but also L2 English transfer in Korean CFL learners’ L3 Chinese writing. The appropriate way of using referential choices is directly linked to writing cohesion; Chinese teachers should pay much more attention to Korean CFL Learners’ referential errors. Furthermore, explanations are needed for Korean CFL learners’ referential errors to avoid their making false fossilization at the beginning. Because the present study is a case study, it allows for limited generation only. Nonetheless, this study has taken a hopefully significant first attempt toward looking at whether there is L2 English transfer and to guide Korean CFL learners’ Chinese writing.

References


A Study on the Application of Relevance Theory in Legal Translation –
A Case Study of Rules for the Implementation of the Patent Law of the People's Republic of China

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[Abstract] From the perspective of Relevance Theory and with a case study on Rules for the Implementation of the Patent Law of the People’s Republic of China, this article aims to research its application in legal translation at the lexical, sentential and discourse levels. Eventually, it comes to the conclusion that it’s feasible and effective to probe into legal translation from the perspective of Relevance Theory, which can better deliver the pragmatic connotation of the source language and make contributions to the deeper development of legal translation.

[Keywords] Relevance Theory; legal translation; Rules for the Implementation of the Patent Law of the People’s Republic of China

Introduction
Due to the increasing economic interdependence all over the world, cases concerning patent disputes and infringements happen frequently. Foreign corporations are in dire need of understanding the rights and obligations prescribed in Chinese legislative documents. Therefore, the translation of legal documents and regulations concerning Patent Law becomes an important task for legal workers and translators. There have been many studies concerning its legal translation but many of them have focused on the theory of semantic equivalence. Under the guidance of systematic theories, there still exists some deficiencies in its studies from the perspective of context, relevance and audiences’ cognition that belong to the pragmatic level.

As a significant theory of pragmatics, Relevance Theory illustrates language operating mechanism, which can provide a new perspective for studying legal translation. In this article, legal translation will be studied from the perspective of Relevance Theory to prove that it is feasible and valuable to do so. This article combines the “top-down” translation method with the “bottom-up” method, which means that it not only focuses on the lexical and sentential levels of language, but also takes the whole discourse and context into consideration. It mainly consists of three parts. First of all, a literature review will present the previous studies of Rules for the Implementation of the Patent Law of the People’s Republic of China and legal translation under Relevance Theory. Then, Relevance Theory is applied to analyze the legal translation at lexical, sentential and discourse levels in Rules for the Implementation of the Patent Law of the People's Republic of China. Finally, a conclusion will be drawn.

Literature Review
Rules for the Implementation of the Patent Law of the People’s Republic of China was promulgated in 1985 and took effect in 1985. The latest amendment was made in 2009 by the State Council and came into force in 2010 with some administrative regulations and departmental rules revised. According to Maley (1994, p. 17), legislative text is “the largest and most powerful source of law in society”. Therefore, it seems significant and meaningful to study it.
In recent years, many legal workers and scholars have exerted great efforts to its amendment and enforcement. Most studies focused on the main contents of the amendments, their significance and their expectations. Sun Ping (2010) analyzes the amended contents and advocates that we should focus more on its amendment and implementation. Its creativity is discussed by Chen Yu (2010) and he points out that the specification and refinement of related clauses will contribute more to its protection. There are also some scholars concentrating on its problems and improvement such as Jiang, Chi, & Jiang (2012) and Liu, Li, Ma, & Meihong (2013).

It seems that most studies focused on the improvement of the Chinese legislative texts and few concentrated on the Chinese-English translation analysis. However, it’s of great significance to study its translation to make its rights and obligations understood by the international community. Legal English translation has a long history abroad because of the earliest legal origin and prosperity in western countries. Proper legal translation will help the social and economic development. Susan Sarcevic (1997) reviewed the history of western legal translation in New Approach to Legal Translation. According to her, legal translation can be traced back to 1271 BC with the existence of the two translation editions of Egyptian-Hittite Peace Treaty (Sarcevic, 1997, p. 23). From her perspective, legal translation is no more simple code switching but “an act of communication in the mechanism of law” (Sarcevic, 1997, pp. 3-4).

The development of legal translation in western countries has always been influencing its development in China. According to Liu Yi in Peking University, the legal translation in the recent 30 years (1978-2008) can be generally divided into three stages: in the first stage, from 1978 to 1992, the legal translation stayed in a stage of emergence; the second stage, from 1992 to 1999, belonged to the transfer stage because China put forward the target of building a country ruled by law; the third stage, from 2000 to 2008, came to the stage of prosperity (Liu Yi, 2009).

Many scholars in China have also made some contributions to the development of legal translation. As for the studied contents of legal translation, the scholars mainly probe into the micro-level analysis, such as the lexical characteristics of legal English texts, legal terms and the legal translation strategies. For example, stylistic features and translation strategies of legal English were studied by Niu Jiezhen and Wang Suying (2010). Zhang Ruirong (2013) probed into the vague expressions in legal English and its translation strategies. The translation strategies of long sentences in legal English were also studied by Xin Jinrong and Tang Shuhua (2013).

The translators have also made great efforts to better carry out legal translation by applying many general theories. Xie Jinrong and Xiong Demi (2013) noted that Skopostheorie can provide a reasonable elucidation for the translation strategies adopted in target texts. Functional Equivalence Theory was applied by Zhu Minguan (2011) to guide the translation of legal texts with typical legal examples. Legal English translation is “not the simple word-to-word translation, but the translation with different factors and context that should be comprehensively considered” (Wang, 2012). Therefore, Wang Meihua (2012) applied the theory of frame semantics to analyze three kinds of legal translation strategies: frame correspondence, frame selection and frame transfer. However, there are still some exceptions that cannot be explained by these theories and the lack of systematic theoretical guidance is still a problem. Relevance Theory can provide a new perspective for guiding legal translation.

Gutt, a student of Sperber and Deirdre, published Translation and Relevance: Cognition and Context in 1991, in which he put forward the relevance translation theory. As the first one who applied Relevance Theory to translation studies, he believes translation is an inferential process related to brain mechanism,
which is related to not only the code-switching, but also to the dynamic inference based on the dynamic context. In addition, inference is based on relevance.

Under the guidance of Relevance Theory, translation is a kind of cross-cultural communication. As a double ostensive-inferential process, it involves three communicators: the author of the source text, the translator and the target language readers. The first ostensive-inferential activity is carried out between the author and the translator, the second one between the translator and the target language readers. What’s more, every activity must follow the principles of communication, which are applied to find the language connotation in the first activity and applied to transmit the optimal relevance to the target language readers in the second one. In other words, the translators should find the intentions of the author, and then choose the optimal relevance through the cognitive reference for the target language readers so as to help the readers achieve the author’s pragmatic connotations of the legal text. This Ostentive-Inferential translation process can be illustrated by the following schema:

![Figure 1. Ostentive Inferential Translation Process (Zhang Xinhong and He Ziran, 2001: 289)](image)

According to the introduction mentioned above, Relevance Theory can be a new perspective to account for legal translation, considering it mainly as a cognitive or psychological thinking process rather than a mere linguistic trans-coding process.

**The Application of Relevance Theory in Legal Translation**

Under Relevance Theory, legal translation is regarded as a kind of interlingual interpretation activity. In order to grasp the cognitive contexts of the author and the reader and then achieve the optimal relevance, it’s necessary for translators to have a good understanding of the lexical, syntactic and sentential features of the legal texts. In this part, the application of Relevance Theory will be analyzed at the lexical level, sentential level and discourse level in legal translation of rules for patent law with some examples listed.

**The Application in Legal Translation at Lexical Level**

Article 1. These Rules are formulated in accordance with the Patent Law of the People's Republic of China (hereinafter referred to as “the Patent Law”)

Article 2. “Invention” as mentioned in the Patent Law means any new technical solution relating to a product, a process or an improvement thereof.
According to the two examples mentioned above, "以下" and "其" are translated as “hereinafter” and “thereof”, which are old English words. The use of the old English words can achieve the semantic explicitness, compact structure and solemnness of the legal text (Lu, 2012). The translators tend to tell the readers that this is a legal text and make them appreciate the solemnness, which accords with the pragmatic connotation of the author. In this way, the readers can achieve enough contextual effects with the smallest efforts.

The Application in Legal Translation at the Sentential Level

Generally, the legislators strive for pertinence and exactness of the law, however, the uncertainty is still inevitable throughout the whole legal activity. The legal language strikes a balance between the exactness and uncertainty. (Du, 2001). So some vague expressions are sometimes used to reflect some uncertain situations in legal activities. For example, in the above two examples, “有可能的话” and “适当” are two vague expressions. While translating, the translators are not responsible to explain the two expressions clearly so they are translated as “if possible” and “proper”, respectively. The literal translation adopted by the translators can conform to the intentions of the author and the expectations of the audiences. In addition, it also reflects the use of vague expressions as one particular characteristics of legal English.
translated into English. The frequent use of passive sentences is a distinct characteristic of legal English, which can make the whole discourse more neutral and authoritative compared with the active sentences (Song Lei, 2010). The basic meaning and cognitive effects are reserved after the indirect translation. The translators take the cognitive contexts of both Chinese and English into consideration so that the target language readers can achieve the optimal contextual effects with smallest efforts.

第十条 除专利法第二十八条和第四十二条规定的情形外，专利法所称申请日，有优先权的，指优先权日。本细则所称申请日，除另有规定的外，是指专利法第二十八条规定申请日。

Article 10. Except for the circumstances provided in Article 28 and Article 42 of the Patent Law, the application date mentioned in the Patent Law means the priority date if there is a right of priority concerned. Unless otherwise provided, the application date mentioned in these Rules means the one provided in Article 28 of the Patent Law.

第八条 发明专利申请涉及国防方面的国家秘密需要保密的，由国防专利机构受理。

Article 8. Where an application for a patent for invention involves any State secret in respect to national defense that needs to be maintained confidential, it shall be accepted by the institution for patent of national defense.

In English, there are many frequently-used sentence patterns, which have their own corresponding fixed translations. So when the Chinese legal texts are translated into English, the fixed translations can reflect the consistency and identity of legal texts. In the first example, in the Chinese edition, “除.....外” are translated into the sentence guided by “Except for”. In the second one, “...的” are translated into the sentence guided by “where”. Then they are fixed in the whole legal texts. There are also many other examples, like sentences guided by “otherwise unless”, “for the purpose of”, “subject to” and “without prejudice to” and so on. Taking this phenomenon into consideration, the translators make efforts to make the translated texts conform to the cognitive habits of the target language readers, which can make them achieve the optimal relevance with smallest efforts.

**The Application in Legal Translation at the Discourse Level**

第二十五条 申请专利的发明涉及新的生物材料，该生物材料公众不能得到，并且对该生物材料的说明不足以使所属领域的技术人员实施其发明的，除应当符合专利法和本细则的有关规定外，申请人还应办理下列手续：

Article 25. Where an application for a patent for invention involves a new biomaterial which is not available to the public, and the specification on this biomaterial is not enough to make the technicians who belong to this field to exploit the invention, the applicant shall, in addition to complying with the relevant provisions in the Patent Law and these Rules, fulfill the following formalities:

第二十八条 申请外观设计专利的，必要时应当写明对外观设计的简要说明。外观设计的简要说明应当写明使用该外观设计的产品的设计要点、请求保护色彩、省略视图等情况。简要说明不得使用商业性宣传用语，也不能用来说产品的性能。

Article 28. Where an application for a patent for design is filed, a brief explanation of the design shall, when necessary, be indicated. The brief explanation of the design shall include the design essentials for the use of the design, the colors for which protection is sought and the omission of the view of the product incorporating the design. The brief explanation
shall not contain any commercial advertising diction or be used to indicate the functions of the product.

In the first discourse, only two conjunctions, “并且” and “和”, are used in the Chinese editions, while in the English edition, four conjunctions, “where”, “which”, “and”, and “who” are used. In the second one, no conjunctions are used in the Chinese edition, while five conjunctions, “where”, “when”, “which”, “and” and “or” are used in the English edition. The reason why the translators do so is: The English sentences are made of syntax and vocabulary so hypotaxis is the main characteristic of English syntax structures while the Chinese sentences are linked up by meanings so parataxis is the main characteristic of Chinese syntax structure. Therefore, conjunctions are more frequently used in English than Chinese (Li K., 2005). While translating, the author gives enough contextual effects to the readers based on his cognitive knowledge and the readers’ cognitive inference.

第二条 专利法所称实用新型，是指对产品的形状、构造或者其结合所提出的适于实用的新的技术方案。

Article 2. “Utility model” as mentioned in the Patent Law means any new technical solution relating to a product's shape, structure, or a combination thereof, which is fit for practical use.

第七十七条 本章关于奖金和报酬的规定，中国其他单位可以参照执行。

Article 77. Other Chinese entities may award money prizes and remuneration by making reference to the provisions in this Chapter.

The legal discourse has striking characteristics in terms of diction and wording, which should be paid attention to when the translators are translating. Therefore, the translators should choose appropriate words to be suitable to the cognitive contexts of both the author and the readers in order to make the relevance of the legal discourse to be optimal. For example, in Article 2, the two legal terms of art, “实用新型” and “技术方案”, are translated into “utility model” and “technical solution”. In Article 77, “奖金和报酬” are translated into “prizes and remuneration”. According to the cognition for the context, the translator chooses remuneration instead of reward, salary or wages that have similar meanings. Then in the whole legal discourse, such words are translated the same, which reflects the solemnness, rigorousness and accurateness of legal texts.

Conclusion

Rules for the Implementation of the Patent Law of the People's Republic of China plays an important role in dealing with the legal disputes related to patents. What’s more, since the opening reform, the translation of the Chinese legal documents has become more and more urgent. The history of legal translation is not that long and the level needs to be improved. Therefore, the study of legal translation is meaningful and valuable.

By applying theoretical framework of Relevance Theory to the legal translation of the Patent Law, we can come to the following conclusion about legal translation:

The above analysis of legal translation ensures the advantages of Relevance Theory to its full play. From the analysis, it can be found that Relevance Theory can effectively help translators to adopt appropriate translation strategies to deliver the accurate connotation of the source language to the target language readers. Therefore, it is reasonable and supportive to apply Relevance Theory to analyze legal
translation. And Relevance Theory is an advanced pragmatic perspective and has a great development prospect.

However, limitations unavoidably exist in this article. A major weakness is the problem of in-exhaustiveness. It is obvious that there are still many other examples. We could not list all of them due to the limit of length. Therefore, if we want to fully testify this theory, we should find more data and resources to give eloquent proof. Besides, Relevance Theory is still in the course of development. Lots of researchers at home concentrate more on the application of Relevance Theory, however, the theory itself needs further perfecting. We hope researchers can make their contributions to the construction of the theoretical framework of Relevance Theory.

Acknowledgments
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References
Automatic Measurement of Syntactic Complexity for Chinese EFL Learners: L2SCA and D-Level Analyzer as the Tools

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[Abstract] This article reports the experimental automatic measurement for syntactic complexity of L2 written data from a provincial inter-college English writing contest with an L2SCA and a D-level analyzer as the tools. Four out of the 15 indices were found related to the holistic score of the essays. ANOVA analysis shows significant differences on 10 indices in argumentative essays and seven in the narrative ones, suggesting the toolslish writing contest with argumentative writing. It confirms that genre is an important factor influencing syntactic complexity for Chinese EFL learners. Although not showing statistically significant differences, most of the indices present a linear progression tendency.

[Keywords] syntactic complexity; automatic measurement; Chinese EFL learners

Introduction
Research on L2 syntactic complexity started as early as the 1970s, and the related measurements applied by the researchers have amounted to as many as over 40 in the synthesis research by Wolfe-Quintero, et al. (1998). The result from the previous research, however, did not always agree with others on the effectiveness of these indices because of differences in corpora, methods and index definitions. The early 21st century witnessed larger corpora-based studies on a variety of syntactic complexity indices with automatic systems, which effectively reduced the difficulty in comparability of the research results for the above-mentioned factors (Lu, 2010; 2011).

By contrast, similar research seems to be relatively rare in China. This paper reports the results of an experimental automated measurement for syntactic complexity of Chinese EFL learners, with L2SCA (L2 Syntactic Complexity Analyzer) and D-Level Analyzer1 (Syntactic Developmental Level Analyzer) as the tools.

Research Background
Syntax is an important aspect in language production, which underlies its general performance and quality, and thus, is always a major topic of discussion in studying L2 acquisition. Syntactic complexity, also called syntactic sophistication or syntactic maturity, is defined as “the range and degree of sophistication of the syntactic structures that are produced” (Ortega, 2003, p. 492), which investigates a “manifest in writing primarily in terms of grammatical variation and sophistication” (Wolfe-Quintero, et al., 1998, p. 69).

We categorized the indices for syntactic complexity into two groups, with T-unit2 representative of surface indices and the complex nominal phrase of comprehensive ones. Because the second type is not as direct and convenient as the first in measurement, researchers are apt to use surface indices. Consequently,

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1 Both tools were developed by Lu X., associate professor of Pennsylvania State University, and can be downloaded from http://www.personal.psu.edu/xxl13/downloads.

2 T-unit is a main clause plus any subordinate clause or no clausal structure that is attached to or embedded in it. Hunt coined the term in 1965 for the first time and it was originally used for L1 research. Later it is used in L2 studies and widely accepted as a descriptive unit for sentence structure despite some still controversial opinions around it.
there has been little research conducted on exploring the comprehensive indices, and, even if there were any, none give a holistic grade to corpus from a perspective of syntactic structure.

Currently, automatic measurement for syntactic complexity enjoys more and more popularity around the world (Lu, 2009; 2010; 2011) in that it allows for more thorough research, which used to be both labor- and time-consuming. On the other hand, the studies in this domain in mainland China lag behind, are still labor-dependent (Ji, 2009; Bao, 2009, 2010; Zeng, 2011; Zhao & Chen, 2012; Xu, 2013), and focus primarily on the argumentative writing of English majors. Until now, few reported research have referred to Chinese EFL learners as a general and distinguished learner group or have been based relevant groups in more than one genre.

Nowadays, large-size corpora built by various countries are conveniently accessible to scholars, and therefore, materials can be acquired without difficulty. However, a study is unlikely to run smoothly without the proper tools. There are diverse tools for syntactic complexity evaluation, including Coh-Metrix, MacWhinney, and CLAN, etc., but none of them were solely designed for this purpose. Hence, in this study, L2SCA and D-Analyzer are utilized because they were originally constructed to tackle the issue explored in this paper. In the next section a brief illustration of the tools is presented.

**Tools**

L2SCA (Lu, 2010) is an automatic measurement tool for L2 syntactic complexity which was developed on the basis of what Wolfe-Quintero, et al., (1998) and Ortega (2003) have achieved. It involves the 14 most frequently used indices that can be grouped into 5 different types (shown in Table 1). “Although these two reviews were conducted a decade ago, the set of syntactic complexity measures discussed therein still adequately represent the repertoire of measures that second and foreign language researchers draw upon” (Lu, 2014, p. 134).

**Table 1. Indices Measured by L2SCA**

<table>
<thead>
<tr>
<th>Type</th>
<th>Code</th>
<th>Definition</th>
<th>Type</th>
<th>Code</th>
<th>Definition</th>
</tr>
</thead>
<tbody>
<tr>
<td>Unit length (words)</td>
<td>W/S</td>
<td>Average sentence length</td>
<td>Sentence complexity</td>
<td>C/S</td>
<td>Clause per sentence (frequency)</td>
</tr>
<tr>
<td></td>
<td>W/T</td>
<td>Average T-unit length</td>
<td>Coordination (frequency)</td>
<td>CP/C</td>
<td>Coordinated phrase per clause</td>
</tr>
<tr>
<td></td>
<td>W/C</td>
<td>Average clause length</td>
<td></td>
<td>CP/T</td>
<td>Coordinated phrase per T-unit</td>
</tr>
<tr>
<td></td>
<td>C/T</td>
<td>Clause per T-unit</td>
<td></td>
<td>T/S</td>
<td>T-unit per sentence</td>
</tr>
<tr>
<td></td>
<td>CT/T</td>
<td>Complex T-unit per T-unit</td>
<td>Phrase structure (frequency)</td>
<td>CN/C</td>
<td>Complex nominal phrase per clause</td>
</tr>
<tr>
<td></td>
<td>DC/C</td>
<td>Dependent clause per clause</td>
<td></td>
<td>CN/T</td>
<td>Complex nominal phrase per T-unit</td>
</tr>
<tr>
<td></td>
<td>DC/T</td>
<td>Dependent clause per T-unit</td>
<td></td>
<td>VP/T</td>
<td>Phrasal verb per T-unit</td>
</tr>
</tbody>
</table>

*Note: All definitions for the measures have been borrowed directly from the system developer (Lu, 2014, p. 136). As far as the researcher knows, L2SCA is an efficient tool for L2 syntactic complexity measurement, but the developer also warns that “it is not appropriate for analyzing English samples with a large number of run-on sentences, incomplete sentences, or missing sentence-final punctuation marks” (Lu, 2014, p. 137). Still, we can rest assured because Lu claims that punctuation marks, upper or lower case, spelling, determiner, singular or plural form, and collocation, etc. pose little effect on the analysis results*.3

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3 According to an email from Lu on March, 30th, 2015.
It can be seen from Table 1. that the measures of L2SCA are mostly from the perspective of traditional unit-like words, and sentence, etc., and therefore L2SCA is hardly able to measure deep-down structure. In this case, D-level Analyzer may assist the study to fulfill this analysis.

The D-level Analyzer was originally developed for and applied to children’s syntactic development measurement which we consider to be feasible in L2 study as well. The reasons are: 1) Since L2 syntactic complexity measurement originates from that of L1 and they both adopt the same set of surface measurement unit-like sentences, clauses, etc., they can also adopt the same set of more sophisticated measurement units. 2) Although L2 acquisition has its different developmental patterns from L1, what matters in this study is not acquisition; instead, we care more about whether the tool can differentiate linguistic samples of different syntactic complexity. 3) Gui⁴ pointed out that EFL learners in China, if examined from their sentence-making ability, stay mostly in the preliminary stage.

The D-level Analyzer was developed on the D-level Scale which was presented first by Rosenberg & Abbeduto and later improved by Covington, et al. (2006). It is regarded as “the only acquisition-based sentence complexity scale in current use” (Covington, et al., 2006, p. 1). Therefore, what the D-level Analyzer indicates is not the L2 acquisition level, but roughly corresponds to the different age spans in L1 speakers’ language development processes. It does not compute any surface indices; instead, it groups each sentence into one of the grades from 0-7, thus yielding an average value for text (the code being ML). Apart from ML, the output lines tell the number of sentences at each level. The previous experiment shows an average value of 1.156 for L1 children’s sentence structure aged 4-5; the correlation coefficient between value and age is 0.628 (Lu, 2009, p. 24).

Research Design and Questions
The data comes from a provincial online English writing competition between both undergraduates and graduates of all majors – altogether 98 texts, half argumentative and half narrative. Each of the 5 graders gave a score to the essays and an average score of 3 grades, neither the highest nor the lowest, provide the final score for an essay. Both writing skill and language quality, respectively, make up to 30% in the scoring, and the rest goes to content.

All the data is preprocessed. Mistakes having slight impact on the measuring result, such as a typing error, are corrected in order to help smooth the follow-up operation. Since the efficiency and effectiveness test of the tools is an important part in the study, the essays are expertly classified into roughly three groups of different syntactic complexity levels with the consideration that the holistic essay score is influenced by many factors, which means essays with the highest scores are not necessarily those ranking the best in syntactic skill. While this study focuses especially on syntactic complexity, the holistic score, combined with closer observation on syntactic complexity, makes a better criterion in order to group the essays.

This study aims to answer the following questions:

1. What are Chinese EFL learners’ features in the automatic measurement for their syntactic complexity? Which indices are correlated to holistic essay score?
2. How does genre as a factor influence Chinese EFL learners in their syntactic complexity? Which indices show significant differences between groups? Do the results for the two genres agree?

The preprocessed data was analyzed with L2SCA and D-level Analyzer before SPSS 20.0 was adopted to analyze the statistics.

⁴ Gui, Shichun (1930 - ) is recognized as one of the founders of Applied Linguistics in China.
### Result and Discussion

Table 2 shows that at least 4 indices correlate with essay score: MLS, C/S, CN/T and ML. The former two are surface ones and the latter two are comprehensive.

#### Table 2. Pearson Correlation Analysis Between Measurements and Holistic Score

<table>
<thead>
<tr>
<th>Code</th>
<th>Correlation</th>
<th>Code</th>
<th>Correlation</th>
<th>Code</th>
<th>Correlation</th>
</tr>
</thead>
<tbody>
<tr>
<td>ML</td>
<td>.276**</td>
<td>VP/T</td>
<td>0.196</td>
<td>CT/T</td>
<td>0.177</td>
</tr>
<tr>
<td>MLS</td>
<td>.210*</td>
<td>C/T</td>
<td>0.190</td>
<td>CP/T</td>
<td>0.184</td>
</tr>
<tr>
<td>MLT</td>
<td>0.169</td>
<td>DC/C</td>
<td>0.170</td>
<td>CP/C</td>
<td>0.112</td>
</tr>
<tr>
<td>MLC</td>
<td>0.092</td>
<td>DC/T</td>
<td>0.142</td>
<td>CN/T</td>
<td>.204*</td>
</tr>
<tr>
<td>C/S</td>
<td>.245*</td>
<td>T/S</td>
<td>0.121</td>
<td>CN/C</td>
<td>0.183</td>
</tr>
</tbody>
</table>

Previous research seldom shows statistically significant correlation between the holistic essay score and syntactic complexity (see more details in Wolfe-Quintero, et al., 1998, Appendix E), but this study yields the opposite result. This is thought partly due to the scoring system that attaches great importance to variation and variety in syntactic structures and the importance is explicitly stated in the language quality. The result shows L2SCA works well with corpus beyond the advanced English learners.

Independent samples $t$-test for the two genres revealed that ML measured by D-level Analyzer shows a significant difference. The 14 indices, except C/S and T/S, show significant differences. Lu (2011, p. 49) applied L2SCA earlier to WECCCL\(^5\) and revealed a similar result. Only T/S in his study also showed significant difference and actually, T/S in this study almost shows a significant difference ($p=0.067$). Obviously, both of these two studies indicate that C/S is insensitive to genre. Given its correlation with the holistic essay score, we think C/S can be used as a comparatively stable measurement for syntactic complexity.

\(^5\) Written English Corpus of Chinese Learners – all the data is collected from English majors across different grades and universities in Beijing.
Table 3. ANOVA Analysis of the Measurements Between the Three Groups

<table>
<thead>
<tr>
<th>Code</th>
<th>Genre</th>
<th>Advanced</th>
<th>Intermediate</th>
<th>Primary</th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>Mean</td>
<td>SD</td>
<td>Mean</td>
<td>SD</td>
<td>Mean</td>
<td>SD</td>
<td>F</td>
<td>Sig.</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ML</td>
<td>A</td>
<td>4.991</td>
<td>0.795</td>
<td>3.928</td>
<td>0.688</td>
<td>3.254</td>
<td>1.002</td>
<td>17.000</td>
<td>.000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>3.795</td>
<td>1.054</td>
<td>2.932</td>
<td>0.812</td>
<td>2.603</td>
<td>0.835</td>
<td>7.460</td>
<td>.002</td>
<td></td>
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<td></td>
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<tr>
<td></td>
<td>N</td>
<td>17.742</td>
<td>6.031</td>
<td>12.854</td>
<td>2.354</td>
<td>11.578</td>
<td>2.092</td>
<td>10.911</td>
<td>.000</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>MLC</td>
<td>A</td>
<td>10.287</td>
<td>1.638</td>
<td>9.146</td>
<td>1.022</td>
<td>9.225</td>
<td>0.377</td>
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<td>N</td>
<td>8.868</td>
<td>1.637</td>
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<td>7.022</td>
<td>0.835</td>
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<tr>
<td>C/S</td>
<td>A</td>
<td>2.294</td>
<td>0.570</td>
<td>2.202</td>
<td>0.323</td>
<td>2.049</td>
<td>0.365</td>
<td>10.356</td>
<td>.000</td>
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<tr>
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<td>1.720</td>
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<td>0.274</td>
<td>6.223</td>
<td>.004</td>
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<tr>
<td>VP/T</td>
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<td>2.893</td>
<td>0.813</td>
<td>2.202</td>
<td>0.323</td>
<td>2.049</td>
<td>0.365</td>
<td>10.356</td>
<td>.000</td>
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<td></td>
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<tr>
<td></td>
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<td>0.598</td>
<td>1.809</td>
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<td>0.257</td>
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<tr>
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<td>0.091</td>
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<tr>
<td></td>
<td>N</td>
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<td>0.112</td>
<td>0.307</td>
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<td>0.441</td>
<td>0.595</td>
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<td>0.495</td>
<td>0.266</td>
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<tr>
<td></td>
<td>N</td>
<td>0.676</td>
<td>0.438</td>
<td>0.500</td>
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<td>0.179</td>
<td>3.725</td>
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<td></td>
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<tr>
<td>T/S</td>
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<td>1.095</td>
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<td>1.139</td>
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<tr>
<td>CT/T</td>
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<td>0.132</td>
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<tr>
<td></td>
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<td>0.122</td>
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</tr>
<tr>
<td>CP/T</td>
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<td>0.497</td>
<td>0.274</td>
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<td>0.356</td>
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<tr>
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<td>0.179</td>
<td>0.171</td>
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<td>0.163</td>
<td>8.402</td>
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<td></td>
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</tr>
<tr>
<td>CP/C</td>
<td>A</td>
<td>0.245</td>
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<td>0.255</td>
<td>0.292</td>
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<td>.775</td>
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<td></td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>0.195</td>
<td>0.085</td>
<td>0.111</td>
<td>0.064</td>
<td>0.109</td>
<td>0.091</td>
<td>6.234</td>
<td>.004</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CN/ T</td>
<td>A</td>
<td>3.011</td>
<td>1.534</td>
<td>1.912</td>
<td>0.464</td>
<td>1.628</td>
<td>0.834</td>
<td>7.758</td>
<td>.001</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>1.823</td>
<td>1.037</td>
<td>1.012</td>
<td>0.357</td>
<td>0.881</td>
<td>0.316</td>
<td>9.561</td>
<td>.000</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>CN/C</td>
<td>A</td>
<td>1.408</td>
<td>0.356</td>
<td>1.161</td>
<td>0.284</td>
<td>1.080</td>
<td>0.693</td>
<td>2.410</td>
<td>.101</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>N</td>
<td>0.982</td>
<td>0.315</td>
<td>0.639</td>
<td>0.174</td>
<td>0.604</td>
<td>0.176</td>
<td>13.237</td>
<td>.000</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Note: A refers to argumentative writing, and N refers to narrative writing.

Table 3 indicates that four out of the 15 indices show significant differences for both genres, namely, ML, MLS, MLT and CN/T, which is similar to the result of the t-test between the two genres.
Apart from the four indices, another six show significant differences for argumentative essays and another three for narrative ones. Earlier related studies on English majors suggested that unit length indices reflect syntactic complexity better (Bao, 2009; Qin, & Wen, 2007; Xu, 2013), which is also suggested by this study. The result of unit density indices C/T and DC/C varies across the earlier studies. Bao (2009) finds them insufficient to distinguish texts of different syntactic complexity while this study supports the conclusion drawn by Qin & Wen (2007) and Xu (2013) that the two indices can well differentiate Chinese EFL learners’ argumentative essays of different syntactic complexity levels.

The coordination index T/S for both of these two genres and another two (CP/T and CP/C), for argumentative essays, show a nonlinear progression and each of the valley values appears in the medium group. This phenomenon suggests that the coordination indices do not function well in this study to measure Chinese EFL learners’ syntactic complexity, which contradicts Lu (2011, pp. 56-57). It might be explained by the fact that the data in this study is from a contest and produced by learners who passed a preliminary test, so they are roughly at a similar acquisition level of syntax, and therefore have similar usage frequency and tendency too.

Except for the three indices above, all of the rest show linear progressions; there is no statistically significant difference, though. Lu (2011) applied L2SCA to the argumentative essays produced by English majors and found only 7 indices show a significant linear progression while this research found that most indices for argumentative essays and almost half of the indices for narrative essays show significant differences. This research result supports automatic measurement of syntactic complexity by the two tools on Chinese EFL learners. Table 4 shows the statistic analysis results for the output from D-level Analyzer.
### Table 4. Descriptive Statistics of D-Level Analyzer Measurement

<table>
<thead>
<tr>
<th>Level</th>
<th>Group</th>
<th>Argumentative</th>
<th>Narrative</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>N</td>
<td>Mean</td>
</tr>
<tr>
<td>0</td>
<td>1</td>
<td>17</td>
<td>4.00</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>8.86</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>12.18</td>
</tr>
<tr>
<td>1</td>
<td>1</td>
<td>17</td>
<td>0.59</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>0.67</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>1.09</td>
</tr>
<tr>
<td>2</td>
<td>1</td>
<td>17</td>
<td>1.53</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>1.67</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>1.27</td>
</tr>
<tr>
<td>3</td>
<td>1</td>
<td>17</td>
<td>2.71</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>4.48</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>3.36</td>
</tr>
<tr>
<td>4</td>
<td>1</td>
<td>17</td>
<td>0.35</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>0.67</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>0.45</td>
</tr>
<tr>
<td>5</td>
<td>1</td>
<td>17</td>
<td>2.12</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>2.95</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>1.91</td>
</tr>
<tr>
<td>6</td>
<td>1</td>
<td>17</td>
<td>0.59</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>0.90</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>0.55</td>
</tr>
<tr>
<td>7</td>
<td>1</td>
<td>17</td>
<td>13.06</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>11.10</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>7.00</td>
</tr>
<tr>
<td>ML</td>
<td>1</td>
<td>17</td>
<td>4.92</td>
</tr>
<tr>
<td></td>
<td>2</td>
<td>21</td>
<td>3.81</td>
</tr>
<tr>
<td></td>
<td>3</td>
<td>11</td>
<td>3.04</td>
</tr>
</tbody>
</table>

Most sentences in the corpus are classified by D-level Analyzer into grades 0 and 7, with grades 2, 3 and 5 being the next most probable grades they are assigned to. These findings lend much support to Lu’s
experiment report of the tool (2009, p. 20) in which he claims that D-level Analyzer performs best in identifying sentence structures of grades 0, 1, 3, 5 and 7, followed by those of grade 2, and it performs unsatisfactorily on sentence structures of grades 4 and 6. Because the tool manifests sentence structures between the scales and is hard to identify into either simple or complex sentences, which correspond respectively to grades 0 and 7, the measurement values tend to go to the extreme. In addition, learners under a competition atmosphere may strategically adopt more concise structures instead of more complex ones, which also causes a number of sentences to fall into grade 0. Generally Speaking, this research shows that D-level Analyzer is successful in this L2 data measurement experiment.

ANOVA analysis indicates that grades 0, 7 and ML for argumentative essays, and grade 7 and ML for narrative essays, show significant differences (p < .05) across the three groups. Details about the values of mean and standard deviation for these items can be seen in Table 4. The values of the grades between for the advanced group stay mostly mediocre. On the contrary, those for the intermediate group usually come to a peak, which does not mean it has greater syntactic complexity than the advanced group; instead, it confirms the earlier proposed L2 learners’ possible syntactic developmental order (Wolfe-Quintero, et al., 1998; Biber, 2011; Xu, et al., 2014) and supports the conclusion (Xu, 2013, p. 274) that the advanced learners use more contracted sentences.

Conclusions

The experimental automatic measurement with L2SCA and D-level Analyzer for Chinese EFL learners’ syntactic complexity shows that four out of the 15 indices are found to correlate with essay quality: MLS, C/S, CN/T and ML. Independent samples T-test of the two genres reveals a significant, or almost significant difference, of all of the indices except C/S. Genre is found to have an obvious impact on learners’ syntactic complexity. ANOVA analysis indicates that there are significant differences in 10 indices for argumentative essays and seven for narrative ones, with four indices in common: ML, MLS, MLT and CN/T. This result approximates that of the correlation analysis between measurements and essay scores, which indirectly suggests correlation of syntactic complexity with essay holistic scores. The advanced group shows its peak values only in top grade 7 and average grade ML; the rest of the peak values appear mostly in the intermediate group. It reflects more frequent occurrences of contracted sentences on advanced learners, which agrees with earlier studies. Without consideration of significant differences, all indices except coordination ones progress linearly across the three groups. The experimental study shows that both the tools have an overall better performance on argumentative essays than on narrative ones. L2SCA and D-level Analyzer is supported by this study to be applied to Chinese EFL learners’ syntactic complexity measurement.

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References


Interaction of Judicial Discourse: Statement Validity and Power Control

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[Abstract] This article investigates the context and power control of Chinese judicial discourse from the perspective of corpus linguistics. This paper discusses the validity of the statement and the framework of the power relationship in the judicial process. Interaction in judicial discourse constitutes a crucial part in the judicial process. Although the interaction is in oral form, the written form of this process represents not only a historical phenomenon in law, but also the current reality. Therefore, in most jurisdictions, records of judicial process in written form represent the major means of narrating the judicial process and recording legal practices. Based on the interface and differences of judicial interactions and ordinary conversations, the authors analyze, from macro linguistic phenomena, 100 texts that occurred in judicial investigations. This study explores the dimension of the validity of statement and speech function distribution in judicial discourse, shedding light on the control of discursive interaction and its global linguistic features.

[Keywords] judicial discourse; corpus linguistics; statement validity; content controlling

Introduction
The linguistic turn brought influence to the humanities and social sciences such as literature, law, and philosophy. The semantic analysis of law and legal hermeneutics, represented by Hart’s works, were greatly influenced by linguistics, marked as “the linguistic turn in law” (Dong, 2007; Galdia, 2009). The adoption of the research method of linguistics in law helped to contribute to a breakthrough and innovation in the research paradigm of law studies. Recent years has witnessed scholars’ researching judicial discourse from various perspectives in terms of legal reasoning, evidence recognition, and cross-cultural communication. Wagner & Cheng (2011) explored power and control in courtroom discourse from the perspective of cultural analysis and meta-discourse analysis. Shuy (2014), starting from forensic evidence, analyzed grammatical features, speech act patterns and structures of discourse of perjury information in 11 cases, revealing linguistic impacts on the development of the cases. Gruber (2014) examined 52 apologetic allocutions during federal sentencing hearings, using case law, and sociolinguistic and historical resources to explore the framework of the defendants’ communicative goals.

In comparison with the adversarial system used in the U.S and U.K., China’s trial procedure follows the inquisitorial tradition where the judge endeavors to discover facts. In the judicial procedure, before the trial of a criminal case, the public security organizations began the investigation process to find evidence and confirm the crime, with transcripts of the investigation discourse kept for later trial procedures (Wang, 2009, p. 70). Criminal courts deliver judgments based on the transcripts with no substantial investigation to the validity, that are transferred to the courts after trials; therefore, the existing file-transcript-oriented judgment has an increasing influence on judgment fairness (Chen, 2006, p. 64). Since the defense seldom submits evidence to the court, the vast majority of evidence is provided by the
prosecution in court, so thus, the way the prosecution produces evidence to the court generally determines how the court presides over the investigation (Chen, 2006, p. 66). In other words, the transcripts that carry and convey investigation discourse reconstruct facts and influence judgment fairness. Shuy (1998) pioneered studies of how police develop interrogation and illustrated these speech acts through case studies. Later, investigation discourse was examined from various perspectives, such as genre (e.g. Ye, 2010; van Charlordan, 2013), confessions and interrogation (e.g. Berk-Seligson, 2009; Richardson, 2014) and interrogation tactics (e.g. van Charlordan, 2014). During the investigation stage, western law enforcement officials claim that they do not interrogate, but interview the parties in cases (Shuy, 1998, p. 12). When western law enforcers avoid the word interrogation, that might convey the status of inequality between the investigators and the investigated. In China, however, there are two types of investigation – interrogation with the suspects and interviews with victims and witnesses (Ye, 2010, p. 5). This study used the texts of interrogations and interviews during the investigation period. Based on the interface and differences of legal language and common language, we analyzed the interaction of the language in legal discourse from the perspective of macro linguistic phenomena. From a corpus and quantitative perspective, we examined the frequencies and percentages of lexical features in comparison with those of other discourses to explore the features of this genre.

Methods and Materials
The interaction of investigation orientation and turn-taking were explored from the macro features (function and mood) concerning Conversation Analysis (CA) (e.g. Sacks, Schegloff, & Jefferson, 1974) in general. The materials were attained under consent with private information removed (including the proper names of places, names, and phone and id numbers). The corpora constituted of 60 transcripts of interrogations (IT1) and 40 transcripts of interviews (IT2) (200,000 words in total) covering illegal and criminal cases which happened frequently, including drugs, whoring, prostitution, theft, fraud, gambling, intentional injury and robbery. Because of different degrees of complexities, each case involved different numbers of people and amounts of evidence. Due to individual differences, the time of investigation and the length of transcripts were also different. The corpora were parsed based on the 863 criterion due to more accurate parsing in proper names. The study delineated the pragmatic profile of the speech function from a quantitative perspective.

Results and Analyses
In order to show the general features of the corpora, the first step of the analysis was to determine basic generic features of texts (e.g. van Dijk, 1977, 1997; Dooley & Levinsohn, 2000). Huang & Liu (2009) worked on the parameters of corpora, including word length, sentence length, frequencies of the usage of part of speeches, and the frequencies of punctuation for generic typology. With 16 linguistic features considered as potential parameters, the clustering analysis showed desirable results in distinguishing the genre of oral Chinese data (SHSS) and written Chinese data (XWLB). Therefore, in this study the following parameters were chosen to contract oral texts in the judicial process: common oral Chinese and common written Chinese (See Table 1).
Table 1. Distribution of Linguistic Structure

<table>
<thead>
<tr>
<th></th>
<th>Interrogation Transcripts (IT1)</th>
<th>Interview Transcripts (IT2)</th>
<th>SHSS Oral</th>
<th>XWLB Written</th>
</tr>
</thead>
<tbody>
<tr>
<td>Word length</td>
<td>1.2447</td>
<td>1.2875</td>
<td>1.3993</td>
<td>1.71090</td>
</tr>
<tr>
<td>Sentence length</td>
<td>12.2734</td>
<td>12.5813</td>
<td>21.6871</td>
<td>29.9834</td>
</tr>
<tr>
<td>Noun</td>
<td>0.1381</td>
<td>0.1530</td>
<td>0.1671</td>
<td>0.3245</td>
</tr>
<tr>
<td>Pronoun</td>
<td>0.0951</td>
<td>0.0923</td>
<td>0.0851</td>
<td>0.0070</td>
</tr>
<tr>
<td>Auxiliary word</td>
<td>0.0922</td>
<td>0.8888</td>
<td>0.0843</td>
<td>0.0675</td>
</tr>
<tr>
<td>Adverb</td>
<td>0.0568</td>
<td>0.0567</td>
<td>0.0773</td>
<td>0.0267</td>
</tr>
<tr>
<td>Abbreviation</td>
<td>0.0020</td>
<td>0.0026</td>
<td>0.0009</td>
<td>0.0090</td>
</tr>
<tr>
<td>Punctuation</td>
<td>0.1442</td>
<td>0.1364</td>
<td>0.1430</td>
<td>0.1255</td>
</tr>
</tbody>
</table>

Compared with data XWLB and SHSS, the sentence length of IT1 and IT2 were much shorter, revealing fragmental features of conversations. Huang & Liu (2009, p. 27) discovered that the frequencies of nouns, pronouns, and adverbs in texts could be salient features to distinguish oral texts from written ones. As shown in Figure 1, both IT1 and IT2 delivered better statistical results than SHSS in terms of oral features. The frequency of the nouns in IT1 and IT2 were 0.1381 and 0.1530, which were consistent with 0.1671 in SHSS, much lower than that of the written text. On the contrary, the frequency of pronouns and the frequency of adverbs in the oral accounted for a higher degree than that in the written data. It is argued that the transcripts in the judicial process might be attended by the recorders’ note taking (Liu, 2004; Wang, 2009); however, the results above testified the oral nature of these transcripts and confirmed this authenticity of form and style transform in the linguistic elements from a quantitative dimension.

The type-token ratio (TTR) was a measure of vocabulary variation within a written text or a persons’ speech, and calculated as the ratio of the number of different words (types) to the total number of words (tokens) (e.g. Silverman, 1977). When the number of tokens in each of the texts was almost the same, the TTR of the oral and written text were different: the vocabulary was less varied in the spoken text (18.04%) than in the written text (33.74%) (Huang & Liu, 2009, p. 26). In other words, TTR reflected vocabulary and context variety. The basic TTR calculations relied on the size of the corpora (e.g. Covington & McFall, 2010). This study examined the variation of TTRs in terms of different tokens in the texts. The TTRs of IT1 data were examined in comparison with transcripts of other interactions. To add data used for comparison to the evaluation, we sampled texts randomly from interviews of talk show programs as were available from the National Broadcast Media Language Corpus in China (National Broadcast Media Language Corpus Page, http://ling.cuc.edu.cn/RawPub/default.aspx). We found that the materials of talk shows were mostly longer than the mean of tokens of files in IT1 and IT2 (1500 some tokens per file) and we extracted the same length of text on average from each talk show file (40 transcripts from Talk Show LuyuYouyue, LYT, and 40 transcripts from Talk Show QiangqiangSanrenxing, QST). As shown in Table 2 and Figure 1, TTRs of IT1 were lower than those of LYT and QST in each level of text length.

Table 2. TTR Variation in Four Data

<table>
<thead>
<tr>
<th>File Number</th>
<th>TTR of IT1</th>
<th>TTR of IT2</th>
<th>TTR of LYT</th>
<th>TTR of QST</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>8.55%</td>
<td>12.84%</td>
<td>17.49%</td>
<td>17.38%</td>
</tr>
<tr>
<td>20</td>
<td>7.41%</td>
<td>10.84%</td>
<td>13.29%</td>
<td>14.64%</td>
</tr>
<tr>
<td>30</td>
<td>6.41%</td>
<td>8.87%</td>
<td>11.36%</td>
<td>12.53%</td>
</tr>
<tr>
<td>40</td>
<td>5.57%</td>
<td>7.57%</td>
<td>9.96%</td>
<td>11.12%</td>
</tr>
</tbody>
</table>
In the study, we tried to fit the function (1) $y=ax+b$ to the data, and obtained $R^2 = 0.996$, $R^2 = 0.991$, $R^2 = 0.934$, and $R^2 = 0.980$ in IT1, IT2, LYT, and QST, respectively, which signals a satisfactory result. The TTR decreased with the increase of text length; in other words, as shown in Figure 1, as long as the tokens were large enough, the TTRs of texts of the genres would decrease and approach the ratios of other data. Thus, in function (1), the constant $a$, the slope, could help determine the variety of vocabulary and content. From the result of the data, compared with LYT and QST, IT1 and IT2 had a less varied vocabulary and content, however, the slope in the data of IT2 was closer to those in LYT and QST. On the other hand, the constant $b$, the $y$ intercept, was much lower in the data of IT1 and IT2 than those of the other two. This indicates that the IT1 and IT2 unfolded quite a controlled topic even at the beginning of the elapse of the discourse when building textual meanings and that IT1 were much more confined to topics of investigation than IT2.

More micro-leveled inspection of turn-taking revealed detailed distinctions between the two data, IT1 and IT2 under the same genre from the perspective of CA. Eggins (2004) came up with four basic move types, statement, question, offer and command as what Halliday referred to as speech functions. Ye (2010) examined the categories of policing questioning and divided questions into four categories, namely: positive-negative question, yes-no question, alternative question and wh-question. Due to the homogeny between positive-negative question and yes-no question and the slow frequency (1%) (Ye, 2010, p. 71) of alternative questions which also had the fixed polarity answers A and B as general questions, this study incorporated the aforementioned into one type, the general questions (yes-no questions) and therefore, investigated the distribution of general questions and wh-questions. What these two genera of judicial interaction and common interaction shared were the reality they constructed: casual conversation was “anything but trivial” in constructing social reality (Eggins & Slad, 2005, p. 17), while in the judicial genre, especially the investigation stages, the turn-taking process reconstructed facts in the cases (Ye, 2010, p. 60). Preliminary observation of investigation interaction revealed the lack of an offer.
function in the initiating move. Thus, it investigated four types of initiation moves by the police, namely, a general question (interrogative mood), a special question (interrogative mood), a statement (declarative mood) and a command (imperative mood) (Halliday, 1994, p. 69; Eggins, 2004, p. 147) in the data IT1 and IT2. In this study, 20 files were randomly selected from the two datasets respectively. Functions of initiating moves were examined and annotated manually. Due to difference in the size and number of the turn-takings in each file, the frequency of the functions were nominalized based on the number of turn-takings (2) – Standard frequency (per 1000 turn-taking) = observed frequency/total frequency * 1000 (See Table 3).

Table 3. Frequency Distribution of Speech Functions of Initiating Moves

<table>
<thead>
<tr>
<th>Function of initiation move</th>
<th>IT1</th>
<th></th>
<th>IT2</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Mean</td>
<td>Std. Deviation</td>
<td>Mean</td>
<td>Std. Deviation</td>
</tr>
<tr>
<td>General question (interrogative mood)</td>
<td>132.77</td>
<td>61.12</td>
<td>173.33</td>
<td>58.97</td>
</tr>
<tr>
<td>Special question (interrogative mood)</td>
<td>250.37</td>
<td>83.24</td>
<td>249.89</td>
<td>56.86</td>
</tr>
<tr>
<td>Statement (declarative mood)</td>
<td>33.05</td>
<td>22.49</td>
<td>32.78</td>
<td>12.32</td>
</tr>
<tr>
<td>Command (imperative mood)</td>
<td>83.79</td>
<td>62.42</td>
<td>43.99</td>
<td>25.47</td>
</tr>
</tbody>
</table>

As shown in Table 3, the frequency of command results showed notable distinctions, 83.79 in IT1 and 43.99 in IT2. Later, a 2 x 2 Chi-Squared contingency table was used to test the hypothesis that the imperative mood was related to the sub-genre in discourse of investigation. The Chi-Square Test for independence showed that the use of command (imperative mood) in investigation discourse was related to the types of presumed investigation, $\chi^2(1, N=20000) = 284.22, p < 0.001$, Cramer’s $\varphi = 0.119$.

**Discussion and Conclusion**

From the above findings, transcripts in interrogations with suspects and interviews with victims and witnesses both showed distinctive features of oral language. They indicated that the statements during the judicial process were preserved in their original state from a quantitative perspective. This observation confirmed that the practice of file-transcripts-centrism had its validity in trials, especially when the court adopted the trial elements in an adversarial system and the procurator would be responsible to provide the evidence to court. The investigation files provided by the procurator were all used to support prosecution cases; be it the transcripts of defendants, victims or witnesses, the transcripts were read in court to provide the evidence without judicial review, and, thus, the transcripts became the origin of evidence (Chen, 2006, pp. 64-66). In other words, it implied that the notion of validity of statement and judgment fairness preceded the trial stage in the judicial process in criminal cases. The examined linguistic features of transcripts showed desirable results in the reconstruction of facts (primary reality) and investigation (secondary reality) (Gibbons, 2003).

The examination of the trend of TTRs revealed the generic differences between judicial discourse and ordinary conversation. The slope and intercept of the linear fitting model reconfirmed that investigation discourse was a highly controlled interaction that did not allow much discursive discussion and content. The results also showed that judicial discourse involving suspects was carried on in a more confined, controlled style than those that involved victims and witness. It indicated that police allowed some discursive freedom to victims and witnesses in order to discover the evidence that might help the
cases (Ma, 2008). Later analysis of moves in turn-taking under the framework of CA presented more differences between interrogation discourse and interview discourse in China. While the question as a speech function dominated initiating moves by the police in both interrogations and interviews, the command function in the two corpora revealed a significant statistical difference. It signaled that during the interaction with suspects, the police would intend to use the imperative mood in order to exert more control power through language over the investigation. The results of this study reflected that, the presumption of guilt seemed to prevail in the practices of police interrogation and interviews from a linguistic perspective before the delivery of a judgment that determined whether the suspects were innocent or not, and it could impact the suspects’ sentence results in the trial stage (e.g. Chen, 2012).

The study examined macro language elements in comparison with discourse in other genres by adopting a corpus and quantitative approach to analysis power control in judicial discourse. The results gave linguistic support for validation of transcripts as evidence in future trials, to some extent, and provided quantitative measurements to power control in judicial discourse and variation examination within its sub-genres. This study could bring new understandings of power control in language strategies deployed by the police. This study also provided new approaches on genre analysis and content variety. The limitations concerned with this method are that it gave a general view of the power control tendency and typological features in comparison with other genres. The examined parameters largely relied on the holistic characteristics of language. Wording and tactics of instruction performance are in want of more discussion in future studies. Further works could also focus on multi-linear transcriptions and prosodic manifestation from a sociolinguistic perspective.

Acknowledgments
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Anaphoric Preferences of Null and Overt Subject Pronouns in Chinese

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Abstract The Position of Antecedent Hypothesis (PAH) proposed by Carminati (2002) suggests that null pronouns and overt pronouns in the subject position have a division of labor in Italian and are biased towards looking for their antecedent in different structural positions within the preceding syntactic structure. Through a questionnaire experiment, the present study aims to find out whether PAH makes a correct prediction for Chinese. The results further confirm the cross-linguistic validity of PAH and the prediction that the preference of overt pronouns may be weaker than that of null pronouns overall.

Keywords PAH; null pronoun; overt pronoun

Introduction
Many languages in the world, such as Italian, Spanish, Korean, and Chinese allow pronouns to remain unexpressed; that is, they allow null pronouns. In these so-called pro(noun)-drop languages, there are two pronominal forms, namely, null pronouns and overt pronouns, and the alternation of these two pronominal forms produces subtle interpretational differences in the discourse. The Position of Antecedent Hypothesis (PAH), originally proposed by Carminati (2002) to account for the different functions of the null and overt pronouns in intra-sentential anaphora in Italian, has been tested and generally confirmed in a cross-linguistic dimension during the last decade. However, there has been no evidence supporting the validity of PAH in Chinese so far. Instead, empirical data from Yang, et al. (1999) indicated that the two types of pronoun contribute equally to discourse coherence.

Through a questionnaire experiment, the present study aims to find out whether PAH makes a correct prediction for Chinese. The results of the experiment are compared with the results by Carminati (2002) and Yang, et al. (1999), and possible reasons for the discrepancies are analyzed.

Research Background
Carminati (2002) studied the distribution of overt and null pronouns in Italian and proposed the PAH as defined below for the null and overt pronouns in Italian in intra-sentential contexts:

The Position of Antecedent Hypothesis: Null pronouns prefer to retrieve an antecedent in the (highest) Spec IP, whereas overt pronouns prefer an antecedent in a lower syntactic position.

This hypothesis is in accordance with Accessibility Theory (Ariel, 1990), which predicts a preference for less informative and more ambiguous forms to refer to highly accessible antecedents and a preference for more informative and less ambiguous forms to refer to less accessible antecedents.

Carminati (2002) tested the validity of PAH for Italian in a series of off-line and on-line experiments. Overall, her findings supported the PAH, as opposed to other hypotheses, such as a hypotheses based on an economy principle (favoring null pronouns in general), or those based on the avoidance of ambiguity (favoring overt pronouns because they carry more information). Her findings also showed that the antecedent preference of overt pronouns is less stable and more context-dependent than that of null
In order to test the universal applicability of the PAH, Carminati (2002) conducted a brief cross-linguistic survey to one or two speakers of some pro-drop languages, including Spanish, Russian, Polish, Hebrew, Korean, and Japanese. The results indicated that while null pronouns have a special affinity for the subject antecedent across these languages, overt pronouns either prefer to retrieve the direct object or show no particular preference for a subject or an object antecedent. Based on these facts, she concluded that the special preference of null pronouns for the subject antecedent is a universal feature that can be expected to occur in all languages that have null and overt pronoun alternation, while the preference of overt pronouns may be weaker overall. Motivated by Carminati’s pilot study, some other linguists have conducted more in-depth investigations to examine the cross-linguistic validity of PAH. Their findings supported the PAH in general (Alonso-Ovalle, et al., 2002; Mayol & Clark, 2010; Kweon, 2011; Filiaci, et al., 2013), and showed that the preference of overt pronouns are weaker than null pronouns in Spanish (Alonso-Ovalle, et al., 2002; Filiaci, et al., 2013) and Korean (Kweon, 2011).

There has been no previous study directly testing the PAH so far in Chinese, but empirical data from Yang, et al. (1999) seem to provide counter-evidence for the validity of PAH in Chinese. Through a series of self-paced reading experiments, Yang, et al. (1999) observed that null and overt pronouns affect reading time for Chinese text in a manner that is very similar to what had been proposed by Gordon & Hendrick (1998) for English. When overt and zero pronouns refer to a subject antecedent, they show no significant difference in processing cost. When they refer to an object antecedent, the relative ease of understanding the two types of pronouns depends on whether the semantic features do specifically identify an antecedent. When overt pronouns are ambiguous, no difference is observed in the comprehension of sentences with overt and zero pronouns; when the overt pronouns unambiguously refer to an antecedent, overt pronouns are more easily understood than zero pronouns. The relative advantage of overt pronouns in the latter case is actually a result of the grammatical coding of semantic features rather than a pragmatic principle. Based on these findings, Yang, et al. (1999) reached the conclusion that the two types of pronoun contribute equally to discourse coherence.

However, this conclusion has failed to account for the extensive use of zero pronouns, a phenomenon in support of the belief that zero pronouns in Chinese perform specific roles with respect to meaning that are different from the roles of overt pronouns (Li & Thompson, 1981; Chen, 1984; Tao, 1996). Therefore, whether there is any processing difference between null pronouns and overt pronouns in Chinese remains open to further investigations.

**Experiment**

The aim of this experiment is to test the validity of PAH in Chinese, i.e., whether the null and overt pronouns show a division of labor according to which the null pronouns prefer an antecedent in the subject position and the overt pronouns prefer an antecedent in an object position.

**Participants**

The participants of the study were 44 under-graduate college students with varied majors. All of them were native speakers of Chinese Mandarin.

**Materials**

Sixteen (16) two-clause experimental sentences were constructed, each occurring in two conditions. The first clause introduces two antecedents by means of two proper names conventionally of the same gender, one in the subject position and the other in the object position. The second clause begins with either a null
subject pronoun or an overt subject pronoun, each of which could felicitously refer to either of the two antecedents in the initial clause, thus making the sentence anaphorically ambiguous. Each sentence is followed by a comprehension question probing the resolution of the null pronoun or overt pronoun. Eight of these sentences are subordinate-main type sentences similar to the sentences used by Carminati (2002) and Kweon (2011). In this type of sentence, the first clause is a subordinate clause, and the second clause is a main clause, as illustrated in Example 1. The other 8 sentences are independent-clause type sentences, as illustrated in Example 2. In this type of sentence, the two clauses are syntactically independent but semantically connected, similar to the pattern used by Yang, et al. (1999), Alonso-Ovalle, et al. (2002) and Mayol & Clark (2010). While they use such a pattern in inter-sentential contexts, we adapted it for intra-sentential contexts in the light of the fact that null pronoun anaphora are usually used intra-sententially instead of inter-sententially in Chinese (Hu, 2008).

**Example 1**

*null pronoun condition*

当 张云 邀请 赵红 的时候, Ø 很 犹豫。

Dang Zhangyun yaoqing Zhaohong de shihou, Ø hen youyu.

When Zhangyun invited Zhaohong, Ø was very hesitant.

*overt pronoun condition*

当 张云 邀请 赵红 的时候, 她 很 犹豫。

Dang Zhangyun yaoqing Zhaohong de shihou, ta hen youyu.

When Zhangyun invited Zhaohong, she was very hesitant.

**Example 2**

*null pronoun condition*

王强 抓住 了李明, Ø 大叫了一声。

Wangqiang zhuazhu le Liming, Ø yelled.

Wangqiang caught Liming, Ø yelled.

*overt pronoun condition*

王强 抓住 了李明, 他 大叫了一声。

Wangqiang zhuazhu le Liming, ta yelled.

Wangqiang caught Liming, he yelled.

**Procedure**

A preliminary test was administered to 22 students who did not participate in the main test to guarantee the semantic felicity for both the subject and the object of the first clause to function as the antecedent of the null or overt pronoun in the second clause. The subject position in the second clause for each item was filled with the proper name in either subject or object position of the first clause respectively, and the 22 students were asked to evaluate the acceptability of the sentences with a Likert scale, ranging from 1 (least likely) to 10 (most likely). 20 candidate items were tested and all of them scored 7 or higher in both subject antecedent and object antecedent conditions. The highest-scoring 16 items were eventually selected as the main test items.

Two counterbalanced forms of the questionnaire were constructed. In each, half the items contained null pronoun condition and half contained overt pronoun condition. The resulting twelve experiment
items were combined with twenty-four filler items used for another study. The 44 participants were randomly assigned to the two questionnaire forms, with 22 participants for each form. Therefore, each participant saw only one experimental condition of each of the 16 items.

In the main test, the participants were given written instructions, which asked them to read each item carefully and write down the answer to the question that followed it, without any time constraints. The percentage of frequencies that participants selected the subject and the object antecedent was calculated for each of the two conditions.

**Results**
The results in raw percentages for subordinate-main type sentences and independent-clause type sentences are shown in Table 1 and Table 2, respectively:

<table>
<thead>
<tr>
<th>Table 1. Percentage of Subject and Object Antecedent Choices for the Null and Overt Pronoun Conditions in Subordinate-Main Type Sentences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subject Antecedent</td>
</tr>
<tr>
<td>---------------------</td>
</tr>
<tr>
<td>Null pronoun condition</td>
</tr>
<tr>
<td>Overt pronoun condition</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Table 2. Percentage of Subject and Object Antecedent Choices for the Null and Overt Pronoun Conditions in Independent-Clause Type Sentences</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subject Antecedent</td>
</tr>
<tr>
<td>---------------------</td>
</tr>
<tr>
<td>Null pronoun condition</td>
</tr>
<tr>
<td>Overt pronoun condition</td>
</tr>
</tbody>
</table>

Tables 1 and 2 show that in the null pronoun condition, the subject antecedents in both subordinate-main type sentences and independent-clause type sentences were predominantly preferred over object antecedents. In contrast, in overt pronoun conditions, the object antecedents in both two types of sentences were preferred, but less predominantly, over subject antecedents. A one-way ANOVA test of the frequency with which the subject antecedent was chosen in the null vs. overt pronoun conditions was performed with subjects and items as random effects. The differences were highly significant in both subordinate-main type sentences (F(1,43) = 39.215, p<0.001; F(2,1,7) = 61.691, p<0.001) and independent-clause type sentences (F(1,43) = 23.135, p<0.001; F(2,1,7) = 34.729, p<0.001). Another one-way ANOVA revealed that the difference between the preferred antecedent choices in the null vs. overt pronoun conditions was also highly significant in independent-clause type sentences (F(1,43) = 33.362, p<0.001; F(2,1,7) = 25.002, p<0.001), and marginally significant by items in subordinate-main type sentences (F(1,43) = 2.593, p = 0.115; F(2,1,7) = 4.079, p = 0.063). This result suggests that in both subordinate-main type sentences and independent-clause type sentences, participants preferentially selected subject antecedents for null pronouns and object antecedent for overt pronouns, but there was a preponderance of subject antecedent choices for the null pronoun compared to object antecedent choices for the overt pronoun.

**Discussion**
The results of this study with the Chinese data provide clear support for the PAH by showing a significant difference in the preference pattern between the null and overt pronouns in retrieving their antecedents in the previous clause. In comparison with the Italian data offered by Carminati (2002), there is a
significantly weaker preference of overt pronouns in the Chinese data. Therefore, this study also confirms the prediction made by Carminati (2002) that preference of overt pronouns may be weaker overall cross-linguistically.

The discrepancy between Italian and Chinese overt pronoun preferences can be attributed to the typological difference between these two languages. Chinese has an impoverished verbal morphology, and the identification of the antecedents of null pronouns relies heavily on contextual information. The overt pronouns, which carry gender and number information, can offer some additional advantages over null pronouns in helping to identify the antecedents. Therefore, overt pronouns in Chinese act like what Carminati (2002) calls “general purpose” pronominal device and are pragmatically useful in retrieving both subject antecedents and object antecedents. In contrast, the rich verbal morphology in Italian may actually have a (pro)nominal content and can even be analyzed as a clitic pronoun, thus making the semantic features of the overt pronouns less important for correctly identifying the antecedent. When retrieving subject antecedents in Italian contexts, overt pronouns offer no additional advantage over null pronouns, but the more information it carries would add to the processing cost, thus resulting in an imbalance between cost and function. Therefore, unlike the Chinese overt pronouns which serve a general purpose, overt pronouns in Italian are more specialized in serving a somewhat complementary function to null pronouns, that is, retrieving object antecedents against which null pronouns show a clear bias.

Another noteworthy contrast comes from the research of Yang, et al. (1999), which showed that in Chinese discourses, null pronouns and overt pronouns contribute equally to discourse coherence both when the pronouns refer to the subject of the preceding clause and when the pronouns refer to the object of the preceding clause. Two possible explanations can be offered to account for the failure of Yang, et al.’s research to capture the processing differences between null and overt pronouns in Chinese. One explanation is that the processing cost revealed in the self-paced reading experiment is not the only factor affecting the use of pronouns in naturally generated discourses. There might be other factors, such as the principle of economy, and stylistic value, as suggested by Yang, et al. (1999), that could account for the different pragmatic functions served by null and overt pronouns in Chinese discourses. The other possible explanation is that the experimental items designed by Yang, et al. (1999) are flawed in nature, and therefore, cannot reflect the division of labor between null and overt pronouns in naturally generated Chinese discourses. Corpus statistics show that in Chinese discourses, null pronouns and their antecedents appear most commonly in the same sentence (Hu, 2008). However, in the experimental items used by Yang, et al. (1999), the antecedents and the pronouns appear in two successive sentences separated by a sentence mark. Such experimental items, adapted from experiments testing the difference between names and overt pronouns, are actually not suitable for testing the processing of null pronouns in Chinese. Since null pronouns are not felicitous in inter-sentential anaphora, the division of labor between null pronouns and overt pronouns would not work in such contexts. Therefore, when the overt pronoun is ambiguous, comprehenders have to rely solely on the contextual information to identify the antecedent of the pronouns. In this way, the two types of pronouns would show no obvious difference in their contribution to discourse coherence.

Conclusion

Through a questionnaire experiment conducted on native Chinese speakers, this study further confirms the cross-linguistic validity of PAH proposed by Carminati (2002). It is assumed that morphological difference should account for the weaker preference of overt pronouns in Chinese as compared with that
of their Italian counterparts. And possible explanations for the discrepancy between the conclusion of this study and that of Yang, et al. (1999) are also offered. In the future, studies using more experimental paradigms and with larger data than the present one should be conducted to further explore the anaphoric differences between null and overt pronouns in Chinese.

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Personal Pronouns in Chinese and English Discourses Based on a Translational Corpus of Selected Works of Mao Tse-tung

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[Abstract] Based on a translational corpus of selected works of Mao Tse-tung, the present paper explores the distribution and semantic characteristics of personal pronouns. Results show that Chinese texts use more overt personal pronouns than English texts, the ratio of which is 3.2:1. The Chinese word “wo” ‘I’ has variation in number (which denotes the plural reference as women ‘we’); 3rd person feminine forms are mostly used to denote country names in English texts, while in the same contexts, Chinese texts use proper names more often; Chinese texts tend to use marked 1st person genitive forms more than unmarked ones.

[Keywords] translational corpus; personal pronouns; number; case; gender

Introduction

Contrastive linguistics takes two or a few languages as its subjects, and considers the cross-linguistic differences, while linguistic typology takes large-scale language samples to explore language universals, and at the same time, recognizes cross-linguistic differences (Shang, 2013). All human languages should be taken into consideration when conducting comparative studies on English and Chinese to make it more convincing. What position it is in the whole human language variation system should be made clear (Shen, 2012).

From a typological perspective, person markers rarely mark a person only. The most closely connected grammatical category is number, followed by gender and case. Further grammatical categories which may also be marked together with person include definiteness, obviation, tense, aspect, mood and polarity (Siewierska, 2004, p. 3). Sometimes they have sociolinguistic meaning, e.g. personal pronouns in Thai language (Palakornkul, 1975).

Early comparative studies on English and Chinese show that Chinese speakers prefers to use zero pronouns (Huang & Zhang, 2009), but there is no quantitative research to explore their frequency. Few zero forms in discourse are automatically identifiable, therefore, few quantitative studies have been conducted in order to probe in this phenomenon.

This paper tries to explore the distribution and other semantic and grammatical categories related to personal pronouns based on the translational corpus of Selected Works of Mao Tse-tung, aiming to learn how the overt and zero pronouns are distributed and how categories like person, number, case and gender are encoded in them. Three questions are investigated in this paper:

a) Suppose that the Chinese and English versions are semantically equivalent, how are the personal pronouns distributed in Chinese and English texts in terms of person, number, case and gender?

b) To what extent are the zero personal pronouns used in Chinese texts? What is the ratio of the overt forms in Chinese and English texts?

c) What results in these difference between Chinese and English texts?
Literature Review

Chinese personal pronouns have their distinctive features cross-linguistically. First, there is a lack of enough inflection, with no morphological distinction in nominatives and objectives. Even the genitives tend to be omitted, or Chinese omit the genitive marker de. Second, Chinese personal pronouns have deficient gender category. In present day spoken Chinese, the three forms ta/ta/ta ‘he/she/it’ could not be identified phonologically. In written Chinese, the three are also unequal in usage. The gender category also differs a lot in English. Chinese ta ‘it’ could not be used in some of those grammatical contexts that are valid in English, like dummy subjects. Second, the plural personal pronoun marker men and the genitive marker de in Chinese sometimes would be omitted in use, like wo guo ‘I country’ = womende guojia ‘our country’. Further, zero forms are often used to replace overt personal pronouns in Chinese, which sometimes cause ambiguity. The referents, case, number and gender can hardly be determined in isolated sentences. Most researches on Chinese zero personal pronouns are mainly confined in zero anaphora (Huang & Zhang, 2009). 1st and 2nd personal pronouns also have zero forms, for example:

最后因敌入猛攻，Φ才失去永新，随后又失去莲华、宁冈。
Zuihou yin diren meng gong, Φ cai shiqu yongxin, suihou you shiqu lianhua, ninggang.
In the end because of enemy fierce assault Φ only lost Yunghsin shortly afterwards also lost Lienhua Ningkang
In the end we lost Yunghsin because of the enemy's fierce assault, and also lost Lienhua and Ningkang shortly afterwards.

(the struggle in the Chingkang Mountains, 1st volume of Selected Works of Mao Tse-tung)

Early studies were concerned more about the translational strategies of personal pronouns (Wang, & Hu, 2010), and they were almost all form-based. They rarely focused on the semantic and pragmatic meaning in contexts. In fact, there exists inconsistencies between form and meaning in contexts. Personal pronouns have variation in number; for example, the 1st person plural pronouns could be used as singular reference (Chen, 2008), and vice versa. It is also likely to have variation in person, like 2nd person in some specific contexts could be considered as impersonal (Myers, & Lampropoulou, 2012).

Pronouns help to achieve cohesion in English discourses, while in Chinese, most of the time, noun phrases will do that (Zhu, Zheng, & Miao, 2001), and even the noun phrases would be omitted. When translating from Chinese to English, the noun phrases and zero forms are often translated into personal pronouns or demonstratives, in that case, overt personal pronouns are larger in number in English discourses than in Chinese.

English and Chinese personal pronouns both have three persons (1st person, 2nd person and 3rd person), but they differ in number, case, and gender distinctions. For example, English has no number of distinctions on 2nd person; Chinese 3rd person pronouns cannot be distinguished phonologically, but English can; English generally have distinctive forms for cases, but the distinction form in Chinese is blurred. So the personal pronouns in focus should be annotated for their grammatical categories and meaning in contexts.
Methodology

Data
For the present research, we used the translational corpus of The Selected Works of Mao Tse-tung. The Chinese version of The Selected Works of Mao Tse-tung consists of four volumes, published by People’s Publishing House, with a total of 714,000 words. The English version was published by Foreign Language Press, with 385,000 words.

We chose this corpus for two main reasons: the great influence of Chairman Mao and his works on modern China, and the high quality of the source and translation. The translation should be very careful; the original meaning should not be altered. Thus, we suppose that the Chinese version and the English version are semantically equivalent, which means every zero personal pronoun in the Chinese version should have an equivalent semantic unit in the translation. Studies on The Selected Works of Mao Tse-tung are not scarce; most of the studies are about observing different editions (Pan, 2000), the translating styles and ideologies (Cai, 2014), but none have been about personal pronouns.

Experiment Design
Necessary clearance of the texts in the corpus was done, including deleting the leads and notes, naming the documents in a uniform format, etc. Antconc 3.2.4w (Anthony, 2004) was used to search for various forms of personal pronouns, including the English I, my, me, mine, myself, we, our, us, ours, ourselves, you, your, yours, yourself, yourselves, he, his, him, himself, she, her, hers, herself, they, their, them, theirs, themselves, it, its, itself and the Chinese  wo “I/my/me”, yu “I/my/me”, wode “my/mine”, women “we/our/us”, womende “our/ours”, ni “you/your (singular)”, nide “you/your (singular)”, nimen “you/your (plural)”, nimende “your/yours (plural)”, ta “he/his/him”, tade “his”, tamen “they/their/them (male)”, tamende “their/their (male)”, ta “she/her”, tade “her/hers”, tamen “they/their/them (female)”, tamende “their/their (female)”, ta “it/its”, tade “its”, tamen “they/their/them (neuter)”, and tamende “their/their (neuter)”. Functions of English it are not limited to person marker, therefore, further statistics would exclude the 3rd person singular neutrals.

Following a general look at the corpus, we selected The Struggle in the Chingkang Mountains for further semantic and grammatical annotation. After raw frequencies were retrieved, the data were further analyzed in terms of person, number, case and gender.

Excel was used to process the data. The frequencies reported below were normalized (per 1000 words).

Results and Discussion
Overall Distribution in Terms of Person
There are all together 8,492 overt personal pronouns in the Chinese version, while in the English version, there are 22,137. According to Figure 1, the ratios of Chinese and English personal pronouns are 1:3.8 and 1:3.2, respectively, when including 3rd person singular neutrals and excluding them. All the statistics from now on exclude the 3rd person neutrals, if no special mention.

For all three persons, overt forms in the English version significantly outnumber those in the Chinese. If we suppose, under ideal conditions, the zero forms in the Chinese were all translated into English, then zero forms approximately account for 31.24% in Chinese (just an approximation).

The 3rd person shows the most significant differences between Chinese and English. This might be the result of the difference of the first, 2nd person and the 3rd person in nature. First- and second-person forms are inherently deictic expressions, that is, their interpretation is dependent on the properties of the
extra-linguistic context of the utterance in which they occur. Third person forms, on the other hand, are essentially anaphoric expressions. Their interpretation depends not on the extra-linguistic, but on the linguistic context of the utterance. (Siewierska, 2004, p. 7). That means, the 3rd person is more likely to be used as a cohesion device than the 1st and 2nd person. English texts would use them much more frequently to achieve cohesion; that’s why in third person the difference is greatest.

**Figure 1. Overall Distribution of Overt Personal Pronouns in Terms of Person**

**Gender**

There are no gender distinctions in 1st and 2nd person pronouns in either Chinese and English. The reason is rather simple cross-linguistically. Normally, the gender of the 1st and 2nd are evident because they are the addressee. But the 3rd person is not always involved in the speech act, and sometimes not present. So there is a need for the 3rd person to have gender distinction. Hence, it is the case in Chinese, English, and also some other languages, e.g. German. English has gender distinction only in 3rd person singular, while in Chinese, the distinction not only lies in the singular, but in the plural as well. In this study, we only consider the 3rd person singular, masculine and feminine.

**Figure 2. Gender Distribution**

The English version outnumbers the Chinese version in both 3rd person masculine and 3rd person feminine (see Figure 2). But the 3rd person singular feminine shows an astonishing ratio of 1:239.1. There are only two tokens of 3rd person singular feminine in the entire Chinese version. Third person feminine in the English version mostly denotes country, but the Chinese version uses proper names or just zero forms when mentioned again, for example:

中国还是一个半殖民地，现在正在走向殖民地。
Zhongguo haishi yige banzhimindi, xianzai zhengzai zouxiang zhimindi
China was then still a semi-colony, but now she is on the way to becoming a colony.

(On Tactics Against Japanese Imperialism, 1st volume of *Selected Works of Mao Tse-tung*)
**Number**

The English 2nd person singular and 2nd person plural could not be distinguished morphologically, except for the reflexives. Actually, some researchers argue that some expressions such as “you guys”, “you all” are now gradually winning their status as new 2nd person plurals (Heyd, 2010). Because English neuters have functions other than person, here we just consider 1st person and 3rd person (excluding neuters). Again, the English version outnumbers the Chinese version in 1st person plural, 3rd person singular and 3rd person plural, but here only in 1st person singular, the Chinese version outnumbers the English version (see Figure 3).

Is there any possibility in number variation in terms of wo and women? Chinese women in certain contexts could be perceived as singular meaning (Chen, 2008), and wo was a 1st singular form in ancient Chinese, until later it got its plural morpheme men, so there might be wos in the Chinese version which actually are plural in reference. Moreover, in modern Mandarin Chinese and some dialects, women is sometimes used as a singular reference. So there might be womens as singulars.

To verify this hypothesis, we use The Struggle in the Chingkang Mountains in the first volume as our sample. To see whether wo and women are used with number variation, we annotated the Chinese source and the English translation of this article for how wos in Chinese version are translated into English and what are the sources of wes in English translation.

![Figure 4. How Wos are Translated](image)

![Figure 5. The Source of Wes in the English Version](image)

*null means no corresponding semantic or grammatical unit was found*

Figure 4 and Figure 5 show that it was caused by the number variation in wo. In the 19 wos, 12 are translated into first person plurals. Our analysis in contexts show that 18 out of the 19 are actually plural reference. So the ratio of variation is as high as 94.7%, for example:

设我大队不往湘南，

If our major detachment not moved to southern Hunan,

Had our major detachment not moved to southern Hunan,

*(The Struggle in the Chingkang Mountains, 1st volume of The Selected Works of Mao Tsetung)*

The corpus in focus is highly political, therefore, to some extent, the translation should be relatively cautious. The original connotations could not be distorted, especially for such first person singulars with high subjectivity. Thus, it is no surprise that in The Struggle in the Chingkang Mountains, no zero forms are translated into first person singulars, and even some overt wos weren’t translated into anything. While there were 194 wes in the English version, 110 (56.7%) were translated/transferred from zero forms in the Chinese version, but only 50 (26%) were from first person plurals.
Case

The Struggle in the Chingkang Mountains again serves as the sample for case analysis, and we chose 1st person to fulfill further case annotation. Both first person genitives and objectives in English outnumber that in Chinese, but the Chinese outnumbers the English in first person nominatives (see Table 1).

Table 1. Case Distribution in First Person (rRw Frequencies and Percentages)

<table>
<thead>
<tr>
<th>Case</th>
<th>N</th>
<th>P</th>
<th>O</th>
<th>total</th>
<th>N%</th>
<th>P%</th>
<th>O%</th>
<th>Total (%)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chinese version</td>
<td>21</td>
<td>38</td>
<td>16</td>
<td>75</td>
<td>28.00</td>
<td>50.67</td>
<td>21.33</td>
<td>100</td>
</tr>
<tr>
<td>English version</td>
<td>91</td>
<td>74</td>
<td>30</td>
<td>195</td>
<td>46.67</td>
<td>37.95</td>
<td>15.38</td>
<td>100</td>
</tr>
</tbody>
</table>

Unmarked genitives in Chinese are those with genitive markers like de or zhi, while marked forms are without these markers, and morphologically the same as the corresponding nominatives. Marked forms account for 63.16% (see Table 2), that is, Chinese first person genitives prefers marked forms.

Table 2. Marked Forms and Unmarked Forms in First Person Genitives

<table>
<thead>
<tr>
<th>Genitives</th>
<th>Tokens</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>wo/women</td>
<td>23</td>
<td>60.53%</td>
</tr>
<tr>
<td>womende/wozhi</td>
<td>15</td>
<td>39.47%</td>
</tr>
<tr>
<td>Total</td>
<td>38</td>
<td>100.00%</td>
</tr>
</tbody>
</table>

Conclusion

Four conclusions can be drawn from this quantitative research on personal pronouns based on a translational corpus of The Selected Works of Mao Tse-tung: Chinese texts use more overt personal pronouns than English texts, the ratio of which is 3.2:1; Chinese wo ‘I’ has variation in number (which denotes plural reference as women ‘we’); 3rd person feminine forms are mostly used to denote country names in English texts, while in the same contexts, Chinese texts use proper names more often; Chinese texts tend to use marked 1st person genitive forms more than unmarked.

Due to limited time and space, this study has not probed into the analyses on 2nd and 3rd person in terms of their case distribution. In addition, the generalization of the conclusions is limited. Our further researches will enlarge the corpora, containing more samples in order to prove whether the conclusions are universal.

References


On Lexical Frequency Features in English-Chinese Translation:
A Corpus-Based Study

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Abstract Lexis plays a crucial role in languages, as well as in translational language. This study focuses on some certain lexical frequency features in English-Chinese translation. According to the corpus-based investigation and analysis, the result shows that, in general, English-Chinese translation indicates two types of features: the first one is controllable, which presents significant features of explicitation and normalization; the other type, which maybe mainly caused by interference from the source language or the limitation of the target language, is not easy to control. It may be the nature of language, also a part of language development.

Keywords English-Chinese translation; lexical frequency; translation features; corpus

Introduction
Grammar and words are traditionally regarded as two basic categories which construct the language mode. The former prescribes a frame and the latter fill it in. In the early stage of word grammar, lexis plays a very crucial role, either the only unit which composes sentences, or the maximum morphemic unit. According to Sinclair (1991, 1998), lexis is as important as grammar. They are co-related and undoubtedly rely on each other. A language model should be constructed from the starting point of lexis. Therefore, the feature of a certain language may be reflected significantly by the words selected and used in it, as well as the language in translation. The features of word frequency of a language reflect the features of that language representatively. Translational language has its own features, which were called “inter-language” by Toury (1979), “the third code” by Frawley (1984), and a “hybrid language” by Schäffner (2001). Olohan (2004) also discussed that a language in translation has its own features, and the features are produced during the process of translation, which are the “features of translation”. Unlike other natural languages, the features and complexity of translational language are implicated in the translation process, but not in the language itself. Though there are numerous variables in the process, which may concern psychology, cognition, feeling, society, and culture, etc., we try to explore them in a controllable range. Therefore, in the present research we will observe and analyze the lexical frequency features of the data extracted from a small-scaled corpus, anticipating discussion and revealing some tips of the iceberg of translational language features.

Research Aims, Corpus, Instruments and Methodology
This study focuses on some certain lexical frequency features in English-Chinese translation according to different registers, i.e., high frequency words, hapax legomena, collocation and colligation of some high frequently used words. For this purpose, we chose a balanced sample corpus which contains over 3,000,000 tokens from the General Chinese-English Parallel Corpus (GCEPC, Wang 2004, Beijing Foreign Language Study University). The part of E-C translation texts is about 60% of the total amount, and the part of Chinese original texts is about 40%, with each part containing two categories: fiction and non-fiction. The former includes two styles – novels and prose, and the latter includes texts mainly about
news, reports, techniques and laws. Hence, there are four sub-corpora: Chinese original fiction, Chinese original non-fiction, E-C translated fiction, and E-C translated non-fiction. Sentences in the source texts and in the target texts are aligned and tagged with part of speech information respectively.

Data acquired from the corpus were concordanced and analyzed by some related tools, mainly by WordSmith Tools 5.0, and SPSS 20.0. A methodology combining qualitative and quantitative means was adopted in the present research and analysis.

**Observation and Comparative Analysis of Lexical Frequency Features: Chinese Originals vs. E-C Translations**

Previous researches (e.g. Puurtinen, 2003; Xiao, 2012, etc.) show that it would be objective and effective to observe any phenomenon both from its macro and micro sides. Hence, following the successful experience of the prior researchers, the features observed in the present research will be described both on macro level and micro level.

**The Macro Level**

**High frequency words (HFW).** Laviosa (1998) defines HFW as a word which accounts for more 0.10% of the whole corpus it belongs to. In the present investigation, we followed Laviosa’s method. According to our experience or inference, the amount of HFW may be greater in translations. In order to compare the proportions of HFWs in the original and translated Chinese texts, we calculated the percentages of types of HFW to the whole word types in the corpus.

![Proportions of HFW in C/E-C Fictional/Non-Fictional Texts](image)

*Figure 1. The Proportions of HFW in C/E-C Fictional/Non-Fictional Texts*

From Figure 1 we can observe that both in fictional and non-fictional texts, the frequencies of HFW in translational texts are lower than those in original texts ($p <0.001$), and it is even more significant in non-fictional texts. This phenomenon means that the change of vocabulary is more abundant, which apparently points to explicitation, which is viewed as inherent in the process of translation. (Blum-Kulka, 1986, p. 70).

**Hapax legomena (HL).** Hapax legomena means those words which appear only once in the text (Carroll, et al., 1971; Kennedy, 1998; Manning & Schutze, 2000). Because more evidence from the corresponding English original texts are needed to test the change of information capacity, due to the limit of paper length we only took HL as an index which indicates the richness of linguistic forms.
From Figure 2 we can see an evident difference between fictional and non-fictional texts, either original or translated. In original Chinese people tend to use more HL in fictional texts. It is normal because this is the linguistic feature in this genre. While in translated Chinese the situation is totally reversed.

A reasonable explanation to the increase of HL in non-fictional translated texts is that there are more loan-words and proper nouns, therefore more word types. Secondly, this type of text is more informative (Reiss, 1977; Chesterman, 1989, p. 105). In translation the translators would pay more attention to the text-type feature and make it as much as informative, therefore lead to some explicitation. But how to explain the decrease of HL in fictional translated texts? This phenomenon may partly support the hypotheses of simplification (Blum-Kulka & Levenston, 1983, p. 119; Vanderavera, 1985; Baker, 1996) and normalization (Baker, 1996) in translation. Because this type of text is more expressive (Reiss, 1977; Chesterman, 1989, p.105), the translators may adopt a domestic-oriented strategy to make it easier to read for target readers. From these phenomena we can see different translation strategies are adopted by translators according to different text types, and also different cognitive tendencies.

![Figure 2. The Proportions of HL in C/E-C Fictional/Non-Fictional texts](image)

**The Micro Level**

**Collocation of high frequently used words.** Collocation refers to a systematic mode of co-occurrence of a target word with other words (Biber, et al. 1998, p. 6; Jantunen, 2004, p. 14). Sinclair (2004, p. 18) said, “A grammar is a grammar of meanings not of words”. We may understand it as: grammar is composed mainly by meaning, not only by words. Therefore, the ability of a word’s collocation refers to all the meaning it may express by combining with other words or phrases, i.e. the information it can load. It is performed by the collocation and co-occurrence with other words.

The high frequently used words in this part are different from those mentioned formerly. We investigated the 10 most frequently used words in each sub-corpus and extracted 5 words (的、了、是、在、不) randomly from them, which appeared in all of the four sub-corpora, and observed and compared their features of co-occurrence. The collocation of these words are as the following figure shows. (T > 2, span = 4)
Figure 3. The collocation of “的、了、是、在、不” in C/E-C fictional/non-fictional texts

From Figure 3 we observed that the ability of most of the words raise up after translation, which may indicate an increase of lexical density and therefore, some explicitation tendency in translated texts. While in fictional translations, the amount of collocations “decline. In non-fictional texts the collocations with “了” and “不” also decline. The reason for the declination of “了” may attribute to its unique function as modal particles in Chinese. There are no correspondent words in English and these kind of words mainly appear in fictional texts. In addition, in the type of non-fictional texts, people tend to adopt a more formal language, while “了” appears more colloquial. Therefore, the collocation ability of this word declines in non-fictional texts after translation. As to the decline of “不”的 collocation, we may make a further investigation and comparison on negative sentences both in Chinese and English at another time because of the limit of paper length.

Colligation of high frequently used words. Colligation refers to the phenomenon that a node word co-occurs or relates to a certain type of grammatical component, and it is concerned about classification of words and sentences (Firth 1968, p. 188; Tognini Bonelli, 1996, p. 74). In the present research, we only focus on lexis. The following figure shows the ability of colligation of the five word in the corpus (t >0, span =4).

Figure 4. The Colligation of “的、了、是、在、不” in C/E-C Fictional/Non-Fictional Texts
According to Figure 4, we find that except for “在” in non-fictional texts and “不” in fictional texts, most words’ colligation ability is expanded after being translated. This implies that after translation most words’ collocation and colligation ability are promoted, and the expressions become more abundant and various/changeable. This supports explicitation on the one hand, and on the other hand, it may provide some support to the “untypical collocation” hypothesis proposed by Mauranen (2000).

Conclusion
Through the above investigation of the lexical frequency features in English-Chinese translation, we found that compared with Chinese original texts, E-C translations in general have the following two features:

1. In general, the lexical variation in translated texts become more abundant, the collocation and colligation ability of words are reinforced in general, and the ratio of hapax legomena is decreased. The features of explicitation and normalization are obvious. Therefore, translational texts would be more readable than the original ones, but also there may be less characteristic features compared with the original texts.

2. The change of some specific words, such as the change of “的”, “了”, and “不” maybe mostly due to the interference of the source or limitation of the target language. And also according to different text types, the texts presents different features, which indicate the complexity of language/translation and the need for some further and more meticulous research.

The first type of feature is controllable for translators. To a large extent they are determined by the translators’ cognitive abilities, professional abilities, translation norms, translation aims, and translation strategies, etc. To compare with the first type of features, the second type is more difficult to control in practice. But from another perspective, there is no need to control it on purpose because this is the nature of language. Languages keep developing by usage and communication. The differences between languages are the source of translationese or translation universals. Just as W. Benjamin (1923) said, all the languages share a “kinship”. That means even the greatest translation at last will become part of the language used, and ultimately develop toward a “pure” language. From this perspective, translationese may be a result during communication which we cannot avoid, and it is inseparable with the development of languages.

References


Aspects of Modal Verbs and Terminologies in the Criminal Law and the Criminal Procedure Law of the People’s Republic of China and their English Translation: A Sociosemiotic Perspective

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[Abstract] This study is corpus-based and is focusing on analyzing two aspects of the Criminal Law (hereafter CCL) and the Criminal Procedure Law (hereafter CCPL) of the People’s Republic of China (hereafter P. R. C.): modal verbs and terminologies. The study starts from clarifying what legal register is and its distinct features. Then, the study analyzes the issues of modal verbs and legal terms and terminologies in the two laws and their English translations. Third, the discussion turns to a perspective of sociosemiotics to explore these two linguistic phenomena. The goal is not to end the discussion on a solution that can apply to C-E legal translation because in this vast domain it is impossible to press all legal texts into a mold given legal forces of different laws and regulations are in disparity. Instead, the study is managing to provide a strategy to deal with the C-E legal translation.

[Keyword] modal verbs; terminologies; functional equivalence; social semiotics

Introduction
Translation between one language and the other has proved to be complex (Nida, 2001, p. 3; Cao, 2008, pp. 32-35). According to Nida, it is impossible to create a completely perfect or timeless translation (Nida, 2001, p. 5). Moreover, Nida also states that “the paradoxes of translating are basically the paradoxes of language and of culture” (Nida, 2001, p.7). Therefore, he proposed the concept of “functional equivalence” in translation: a concept consists of a minimal or realistic definition and a maximal or ideal definition (Nida, 2001, p.87). In addition, Nida considers that adjustment is always necessary, and the degree of it is based on the inter-lingual, intra-lingual and social discrepancies in/between source and target languages (Nida, 2001, p.7). “Functional Equivalence” in translation indicates, to some extent, adequacy and accuracy (Nida, 2001, pp. 86-96). Nowadays, the study of legal translation is embedded in discrete contexts: there are a majority of studies on multilingual legal documents/legislation and jurisdiction in the European Union (McAuliffe, 2010/2011; Sarcevic, 2007), on bilingual legal documents/legislation and jurisdiction in Canada (Cao, 2007), as well as on French-English transference of legal documents (Wagner, 1999), on bilingual jurisdiction (English-Chinese) in Hong Kong (Sin & Roebuck, 1996; Cheng & Sin, 2008/2011; Wang & Sin, 2013), and on general bilingual or multilingual legal translation (Cao, 2009; Cheng, Sin & Cheng, 2014; Sin, 2013; Ni & Sin, 2011). Cheng, Sin and Cheng (2014) purport that the accomplishment of legal translation can be studied from a sociosemiotic perspective.

Modern semiotics originated from Ferdinand de Saussure and Charles Sanders Peirce. Saussure’s sémiologie or semiology adopts a dichotomous view (A sign consists of the signified and the signifier), while the latter is trichotomous (interpretant, representamen and object) (Chandler, 2007, pp. 14-35). Then, Halliday introduced the term “Social Semiotics” in his book entitled Language as Social Semiotic” (Halliday 1978). From his stance, language, its meanings and its functions are studied in the context of society: Saussure admitted the social inheritance of a sign, but he did not explore such inheritance, instead,
he regarded the relationship between signifier and signified as “conventional” (Chandler, 2007, p. 27). In terms of social semiotics, the social factors encapsulated in sign carriers are studied (Halliday & Hasan, 1989, p. 11), therefore, an object, its interpretant and representamen are treated as “variance” rather than “convention”.

This research focuses on studying modal verbs and terminologies in the Chinese and English versions of the Criminal Law and its 9 Amendments (hereafter CCL) and the Criminal Procedure Law (hereafter CCPL) issued by NPC and its Standing Committees (The CCL and its Amendments consist of 452 articles and the CCPL consists of 290 articles). The former defines crimes and penalties, as well as protects fayi or legal interests (including individual interests, state interests, and social interests, etc.). In addition, it safeguards the liberty of legal persons and entities. The latter assures procedural justice in criminal proceedings (criminal trials, and criminal litigations, etc., included), which is one of the Procedural Laws. The legal texts (the CCL, as well as its 9 amendments and the CCPL) analyzed by this corpus-based study are authentic, of which the Chinese legal texts and their English versions are from the database of NPC. Moreover, Bilingual Laws Information System (hereafter BLIS) and Lexis was consulted when comparing Chinese and English legal terminologies. The software Antcon was employed to count the occurrence of words in English in the legal texts and Microsoft Word was utilized to count words in Chinese.

**Legal Register**

Register “can be defined as a configuration of meanings that are typically associated with a particular situational configuration of field, mode, and tenor” (Halliday & Hasan, 1989, pp. 38-39). Hence, legal register consists of legal terminologies, texts, and documents, which are dealt by persons practicing law in events associated with laws. On the other hand, the concept of “Legal Language” is also frequently mentioned. Nevertheless, the term “Legal Language” is rather controversial. According to Pan (1985), there is no language that should be called “legal language”. He also argues that languages used in different domains will reflect different characteristics and people of diverse discourse communities are likely to use distinct corpora and rhetoric. Thus, in this study, the term “Legal Register” will be used in order to avoid controversy.

Field, tenor and mode are three dimensions of variation in register (Halliday & Hasan, 1989, p. 12). In legal texts, legitimate or illegitimate conducts and stretches are discussed, and they belong to the field of the legal register; legal person, natural person and the State are the three main entities of Law and laws of the PRC. In legal register, the three can be referred to as the “tenor”. Or, in legal activities, plaintiffs/appellants, defendants/appellees/criminals, judges and lawyers are the “tenor”. In the case of mode, it indicates how languages function in interaction (Halliday & Hasan, 1989, 12). In legal documents, it is coercive, obligatory, and binding, etc. Declarative and conditional sentences are two sole components of the syntactical structure (Pan, 2004). At the lexical level (English), modals verbs (shall/may/can/should), nominal clauses and terminologies, etc. are likely to take place. These are marked forms in daily discourse, whereas they are “unmarked” in legal interaction (Halliday & Matthiessen, 2008, pp. 71-73). For example, nowadays, the modal verb “shall” is rarely used in oral and written English, but in legal texts “shall” is an active figure. Also, words like “allege”, “grant”, and “argue”, etc. are also frequent in legal register.

Laws and legal interpretation are inseparable, and, amongst various methodologies, literal interpretation is adopted most frequently and in priority. However, the premise of literal interpretation is to accurately define the connotation(s) of a legal term (Wei, 2014). Consequently, the requirement for accurate definition arouses a dilemma: the carriers (words and expressions) are static, but the meanings, as well as
what they refer to, are sensitive to social and cultural differences and trends. For instance, “vehicle” is defined in U.S. Code as “every description of carriage or other artificial contrivance used or capable of being used, as a means of transportation on land.”¹ In the Code, it later defines “motor vehicle” as “a vehicle driven or drawn by mechanical power and manufactured primarily for use on public streets, roads, and highways, but does not include a vehicle operated only on a rail line.”² On the contrary, in Law of the PRC on Road Traffic Safety, there is a definition for “vehicles” which includes “motor vehicle” and “non-motor vehicle”. “Motor vehicle” in the U.S. Code covers the range of “motor vehicle” and “non-motor vehicle” but in the U.S. “non-motor vehicle” does not exist. Instead, in the U.S. there is “low-speed electrical bicycle”, which is “a two- or three-wheeled vehicle with fully operable pedals and an electric motor of less than 750 watts (1 h.p.), whose maximum speed on a paved level surface, when powered solely by such a motor while ridden by an operator who weighs 170 pounds, is less than 20 mph.”³ However, it is inappropriate to connect “low-speed electrical vehicle” in the U.S. with “non-motor vehicle” in the PRC, for in the PRC, “non-motor vehicle” shall weigh less than 40 kilograms and the speed is less than 20 kilometers per hour.⁴ As a result, hardly can such disparity be solved by analyzing languages; instead, it is necessary to go beyond the signs and to understand the relationship between signs and their connotations within legal and social scenarios.

Therefore, this author purports that there are several characteristics in legal register: first, it is regulative and the connotations of languages within the register are different from them, spoken or written in daily life; second, persons who are involved in legal events are likely to use languages in legal register; third, each legal register is characterized by its contexts of Law/laws and society.

Linguistic Aspects of Legal Texts in the Source Language and the Translation in the Target Language

The following subsections will contribute to two linguistic aspects of the translation of the Criminal Law of the P. R. C. and the Criminal Procedure Law of the P. R. C.: modal verbs, and legal terms and terminologies.

Modal Verbs

Modal verbs express modality, which is cross language (Palmer, 2001, p.1). Both philosophers and linguists have been exploring modality from distinct aspects (This study concentrates on the linguistic aspects and is refined in the domain of Chinese and English). In Grammar Talk from Mr. Ma, or Mashi Wentong, Chinese modal verbs are defined as auxiliary verbs enhancing or diminishing the degree of successive verbs (Ma, 1983, pp. 177-212). Wang states that Chinese modal verbs belong to nengyuan mode, which can be further classified as probability and volition (Wang, 1985, pp. 68-76). Lü purports that Chinese modal verbs express capability, permission, probability and obligation (Lü, 2014, pp. 346-359). Peng (2007) also discusses Chinese modal verbs and modality from a philosophical perspective. In terms of English modal verbs and modality, various scholars have stabbed into this domain from different stances. Linguistically, a majority of western research on modal verbs and modality are rooted in English (Peng, 2007, p. 24). Von Wright (1951) classified modality into alethic modality, epistemic modality, deontic

¹ 1 U.S. Code § 4 (1947)
² 49 U.S. Code § 30102 (1966)

Although modality has been classified in such a diverse way, the uniqueness of legal texts determines that the function of most modal verbs in this register is deontic modality. Chinese modal verbs in legal texts are ying1dang1 or ying1, bi4xu1, ke2yi3 and bu4de2 or bu4ying1. Ying1dang1 or ying1 expresses obligation, and its negation bu4ying1 indicates prohibition. Bi4xu1 acts as obligation and necessity and ke2yi3 refers permission (bu4de2 as the negation of ke2yi3 also indicates prohibition) (Cao, 1999). The occurrence of these Chinese modal verbs in the Criminal Law and the Criminal Procedure Law of the P. R. C. is shown in Chart 1:

<table>
<thead>
<tr>
<th>Chinese Modal Verbs in the CCL and its Nine Amendments</th>
<th>ying1dang1/ying1</th>
<th>bi4xu1</th>
<th>ke2yi3</th>
<th>bu4de2/bu4ying1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
<td>94/27</td>
<td>4</td>
<td>84</td>
<td>11/3</td>
</tr>
<tr>
<td>Chinese Modal Verbs in the CCPL</td>
<td>ying1dang1/ying1</td>
<td>bi4xu1</td>
<td>ke2yi3</td>
<td>bu4de2/bu4ying1</td>
</tr>
<tr>
<td>Frequency</td>
<td>356/6</td>
<td>28</td>
<td>191</td>
<td>49/7</td>
</tr>
</tbody>
</table>

**Chart 1. Chinese Modal Verbs in the CCL and the CCPL**

Literally, the translation of these modal verbs is: should/ought to for ying1dang1/ying1, may for ke2yi3, shall not/may not for bu4de2/bu4ying1 and must for bi4xu1 (Cao, 1999). The occurrence of the English modal verbs is presented in Chart 2:

<table>
<thead>
<tr>
<th>English Modal Verbs in the CCL</th>
<th>shall</th>
<th>must</th>
<th>may</th>
<th>shall not/may not</th>
<th>should</th>
<th>ought to</th>
</tr>
</thead>
<tbody>
<tr>
<td>Frequency</td>
<td>1845</td>
<td>0</td>
<td>83</td>
<td>26/13</td>
<td>11</td>
<td>1</td>
</tr>
<tr>
<td>English Modal Verbs in the CCPL</td>
<td>shall</td>
<td>must</td>
<td>may</td>
<td>shall not/may not</td>
<td>should</td>
<td>Ought to</td>
</tr>
<tr>
<td>Frequency</td>
<td>577</td>
<td>15</td>
<td>218</td>
<td>47/3</td>
<td>12</td>
<td>0</td>
</tr>
</tbody>
</table>

**Chart 2. English Modal Verbs in the CCL and the CCPL**

From the above two charts, several issues can be seen: first, nearly all ying1dang1 in the original versions are translated into shall instead of ought to or should; second, there are places where there is no ying1dang1 or other modal verbs, but in the English version shall is added; third, bu4de2 in both laws is either translated into shall not or may not and the difference between both should not be ignored.

Basically, shall, must and ought to express obligations; may refers to permission and shall not/may not points to prohibition. Should is obligatory but it connotes a sense of supposition (Li, 2007). For instance, Article 153 of the CCPL states, “Provisions of this Law shall apply to foreigners who commit crimes for which criminal responsibility should be investigated.” In this article, should in the original text is ying1dang1 and this article indicates: 1) only if the crime committed by a foreigner is regarded as a crime in the P. R. C. or the foreigner is a person of full capacity, his/her criminal responsibility will be investigated. Therefore, ying1dang1 and should merely overlap with each other. In terms of ought to and shall, Section 3 of Article 219 states, “Whoever obtains, uses or discloses another’s business secrets, which
he clearly knows or ought to know falls under the categories of the acts listed in the preceding paragraph, shall be deemed an offender who infringes on business secrets.” Ought to in the English translation is ying1 in the original text; however, it should not be isolated from the context: it should be interpreted as li3ying1, instead of ying1dang1. In BLIS, ought to corresponds to li3ying1 and shall corresponds to ying1dang1.

Secondly, the relationship between shall and ying1dang1 is not one-to-one. For example, Article 66 of the CCL leads, “If a criminal of endangering national security commits the same crime again at any time after serving his sentence or receiving a pardon shall be dealt with as a recidivist.” Then, Article 18 of the CCPL indicates, “Investigation in criminal cases shall be conducted by the public security organs, except as otherwise provided by law.” In the original texts, there is no ying1dang1. If a literal translation were adopted, the obligation and compulsory enforcement would have been erased; therefore, adding shall in the English translation is to clarify explicitly the obligation expressed by the Chinese version implicitly. Moreover, when translating English legal documents into Chinese, shall is, in some cases, not literally transferred into Chinese. For instance, in 13DA (4) of the Immigration Ordinance (Cap. 115) of Hong Kong: A decision of the relevant officer under subsection (3) shall be final. In the Chinese version, shall is not literally translated. Hence, even though shall is included in legal texts in English, it is not necessarily translated literally when the mood of the legal texts is strong enough even without ying1dang1. In addition, Article 88 of the CCL: “No limitation on the period for prosecution shall be imposed with respect to a case which should have been but is not filed by a People’s Court, People’s Procuratorate or public security organ after the victim brings a charge within the period for prosecution.” Ying1dang1 in this article is represented by should in English. In this article, the function of ying1dang1 is no longer a modal verb, but is an element of a conditional clause, whose connotation is refined by “is not filed”. Therefore, it is impossible to isolate Chinese modal verbs from the context and indicate that they should be transferred to some specific English counterparts.

Third, bu4de2 in both laws has two versions of translation; for example, in Article 100 of the CCL, it is formulated, “Anyone who has been subjected to criminal punishment shall, before being recruited in the army or employed, report to the unit concerned about the fact; he may not conceal it.” (According to the Amendment VIII issued in 2011, one paragraph was added: “A person who has not attained the age of 18 at the time of committing and is sentenced to fixed-term imprisonment of not more than five years shall be exempted from the reporting obligation prescribed in the preceding paragraph.”) In the original text, may not corresponds to bu4de2. In addition, bu4de2 in Article 64 is also translated in a similar manner (the only difference is that the negation is placed in the front and before the noun). A majority of bu4de in the Criminal Law are translated into shall not. For instance, in Article 3, “For acts that are explicitly defined as criminal acts in law, the offenders shall be convicted and punished in accordance with law; otherwise, they shall not be convicted or punished.” Shall not is from bu4de2 in the Chinese version. In the Criminal Procedure Law, the situation is close to the CCL. Bu4de2 is expressing a sense of prohibition, however, in terms of shall not and may not, the latter is much weaker than the former (Halliday & Matthiessen, 2008, pp. 622-624), or it is acceptable to interpret may not in these two legal contexts as “not be permitted” while shall not as “be prohibited and forbidden”. In BLIS, the Chinese modal verb bu4de2 is parallel to shall not.

Evidently, it is unwise to adopt a literal translation between Chinese modal verbs and English modal verbs. Currently, the tendency is that ying1dang1 is translated into shall; bi4xu1 into must; and ke2yi3 into

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may (Li, 2007). However, shall as a modal verb in British legal documents is rare (Li, 2007), while in the United States, e.g. United States Code, shall is still discovered but the occurrence is less frequent compared with its occurrence in laws of the P. R. C. In the next section, a further discussion on this issue from legal and sociosemiotic dimensions will be presented.

**Legal Terms and Terminologies**

The CCL is formulated with legal terms and terminologies, which indicate crimes and penalties, as well as the ways that crimes are committed. Then, the provisions of the Criminal Procedure Law are applied to the procedures of investigating crimes, of proceedings, and of conviction and sentencing. In this subsection, the translation of these legal terms and terminologies is studied. By studying both laws (Chinese and English) and consulting BLIS and Lexis simultaneously, there are two distinct characteristics lying in the English translation of these two laws: 1) the English translation, to some extent, adopts a literal translation; 2) the English translation of some terms is not appropriate nor accurate/exact. First, by comparing the original versions of these two laws and their English translations, it was discovered that literal translation was utilized. For example, in the CCPL, fa3ding4dai4li3ren2 refers to a person who acts as a deputy (spouse, parents, siblings or other close relatives) for a plaintiff, or defendant, etc. without the capacity of to be involved in litigation. It is translated into legal representative. However, in English-speaking countries or areas that adopt Common Law, legal representative refers to a person 1) who has been appointed as an executor or a manager of a will or a testament; 2) who is a counselor or a solicitor conducting litigation on behalf of the party. Therefore, legal representative is not the best counterpart part for fa3ding4dai4li3ren2. The most approximate English translation should be guardian ad litem, a person who acts in legal proceedings on behalf of minors or mentally disabled persons. For another instance, in the CCL, lan4yong4zhi2quan2 indicates that an employee of any state-own company or enterprise that abuses duty. The English translation is abuse of power. Zhi2quan2 literally indicates duty, responsibility, liability and obligation while power refers to quan2li4. Thus, lan4yong4zhi2quan2 should be translated as abuse of duty, while abuse of power, according to The Compact English-Chinese Dictionary of Anglo-American Law, is lan4yong4quan2li4. Abuse of duty in the Independent Commission Against Corruption Ordinance of Hong Kong points to lan4yong4zhi2quan2.

Second, in the English version of these two laws, there are some terms whose English translation is not exact enough. For example, in the CCL, li4you4 means by bribery or other ways one induces an obligee to disclose business secrets. In this case, li4you4 is translated as luring. Luring is a word with disapproving meaning. In Hong Kong li4you4 refers to offer of inducement and in the Federal Register of the United States offer an inducement is employed: “……Falsify evidence, counsel or assist a witness to testify falsely, or offer an inducement to a witness that is prohibited by law……” Besides, in Kimumwe v. Gonzales (2005) in the United States: “The alien contended that he was expelled from school for luring another

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student into homosexual sex…” Consequently, luring in this case carries an erotic connotation; therefore, it is more proper to translate li4you4 in the Criminal Law into offer of inducement/offer an inducement given the law does not exemplify ways and means of li4you4. For another instance, wu1ru3 in the Criminal Law appears in Articles 237, 238, 241, 246, 250, 299 and 302. Wu1ru3 in Article 237 and 302 is translated as insult; in Article 238, it is translated as humiliation; in Article 241 and 299, it is not translated; in Articles 246 and 250, it is translated as humiliate. According to The Compact English-Chinese Dictionary of Anglo-American Law, humiliation refers to shame and disgrace, and it is the feeling from a person whose legal interests are infringed or impaired, instead of the motion itself. In legal cases of the United States (Courtney vs. Devore, 2014), the word humiliate is utilized in the context of sexual assaults. In terms of insult, it is to disgrace and defame sb (Al-Kazaz vs. Unitherm Food Systems, INC., 2014). In 234A (61d) of Hong Kong, it is formulated that: “(d) uses threatening, abusive or insulting words or behaves in a manner that expresses a threat, abuse or an insult; (L.N. 275 of 1997).”¹¹ Moreover, in legal cases involving discrimination, or racial assaults, etc., the word insult is utilized to express a person’s verbal or/and behavioral misconducts. Thus, the connotation of insult is broader than humiliate and is more neutral. As a result, translating wu1ru3 into insult is more accurate.

Evidently, by analyzing and comparing legal terms and terminologies in Chinese and their English translations, it is discovered that the C-E legal translation is affected by 1) semantic stretch of source words; 2) semantic stretch of target words; and 3) in what situation the target words occur. In the next section, the study will go beyond the linguistic domains and will study C-E legal translation from the sociosemiotic perspective.

**A Perspective of Sociosemiotics**

Conducting this study under the construction of Halliday’s social semiotics, the texts of the CCL and the CCPL belong to the field, victims and persons who break the laws (criminals, and offenders, etc.) and persons who practice the laws (judges, and lawyers, etc.), and referring to the tenor, and the mode is that these materials have law-bonding functions in legal proceedings, and criminal investigations, etc. In this section, the tenor is not further discussed because this study focuses on statute laws. First, modal verbs in these two legal texts are practiced by the mood (Halliday & Hasan, 2012, pp. 24-25). Chinese modal verbs, ying1dang1, bi4xu1, ke2yi3 and bu4de2/bu4ying1 indicate “required to and obliged to”,”allowed to” and “prohibited to”. The difference between ying1dang1 and bi4xu1 is difficult to clarify since they are, to some extent, interchangeable. In terms of their English translation, those English modal verbs (shall, must, may, may not/shall not) belong to one of the two subtypes of modality: modulation, indicating obligation and inclination (Halliday & Matthiessen, 2008, p.128). In legal texts, inclination is scarcely seen. Modulation is expressed by the imperative type (Halliday & Matthiessen, 2008, p.619), and, amongst shall, must, may, and may not/shall not, shall and must indicate “required to” and “obliged to” but the former is more objective than the latter (Halliday & Matthiessen, 2008, p.622); may means “allowed to”; may not/shall not means “prohibited to”. Isolated from the legal texts, it is difficult to pair the Chinese modal verbs with their English counterparts. Hence, once their functions are explored in both linguistic and legal contexts, the connection will be attainable.


Second, connotations of legal signs are varying, while the signs are comparatively stable. For example, *fei1fa3ji2zi1*, unlawfully fund-raising, means that a person raises funds from public by conducting publicity and promises to refund with interests or bonus. In *Interpretations of the Supreme People’s Court on the Specific Application of Laws in the Trial of Criminal Cases of Illegal Fundraising*, it is written that “The absorption of funds from friends, relatives or specific targets within the entities without conducting public publicity shall not be deemed as the illegal absorption of public deposits or the absorption of public deposits in a disguised form.” While in 2014, in *Opinions of the Supreme People's Court, the Supreme People's Procuratorate and the Ministry of Public Security on Handling Criminal Cases of Illegal Fund-raising*, it is formulated that “The following scenarios do not fall within the scope of ‘absorbing funds from specific parties’ prescribed by Paragraph 2 of Article 1 of the *Interpretations of the Supreme People’s Court on the Specific Application of Laws in the Trial of Criminal Cases of Illegal Fundraising*, and shall instead be recognized as the absorption of funds from the public: (1) Where a perpetrator, during the process of taking funds from relatives and friends or internal staff members of his/her employer, connives at the absorption of funds from non-specific parties by such relatives and friends or internal staff members despite clear knowledge thereof; and (2) Where a perpetrator, for the purpose of taking funds, recruits persons as the internal staff members of his/her employer, and then absorbs funds from such persons.” Consequently, what *fei1fa3ji2zi1* denotes is enlarging but the carrier is intact. As a result, translating Chinese laws should: 1) interpret laws in Chinese and clarify their connotations; 2) make a thorough study of similar legal concepts in English; 3) decide the most equivalent one.

In the legal system of mainland China, there are a large amount of legal terms that are hard to find a counterpart for in English. For example, *ren2min2fa3yuan4* (People’s court), *ren2min2pei2shen3yuan2* (People’s assessor), and *guan3zhi4* (public surveillance), etc. are unique. In this case, it is reasonable to adopt hybridism in translation: maintain characteristic concepts and use English to clarify its connotations. *Guan3zhi4*, which is translated as *public surveillance*, is a sound example. *Guan3zhi4* means that a person who is accused of a slight criminal offence is prohibited to enter some specific areas and should receive community correction. The person can still live on himself/herself. Thus, *public surveillance* denotes to the legal concept carried by *guan3zhi4*, not the sign itself. The difference between the two languages (Chinese and English) is inexhaustible, for language is dynamic and changing. The situation is similar in laws: the laws are formulated by legislators in order to accommodate the variation of a society. Thus, to fulfill the C-E legal translation means using English to reconstruct laws which were originally legislated in Chinese.

**Conclusion**

In summary, the C-E legal translation is dominated by the laws and legal ideologies instead of the languages. The equivalence of translation can be fulfilled by sociosemiotically interpreting sign vehicles: the divergence lies not just in/between languages, but in/between laws. A legal translator should focus on legal meanings and interpretations beneath the signs and reconstruct them according to the rules of the target language, or signs.

**Acknowledgments**

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Kimumwe v. Gonzales, 431 F.3d 319 (United States Court of Appeals for the Eighth Circuit 2005)


Reporting Verbs of Chinese Academics of English

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[Abstract] The present study focuses on reporting verbs used by Chinese academics in comparison with their native counterparts. To keep it within a feasible scale, this study is restricted to the academics in the field of Applied Linguistics and examines the form and functions of reporting verbs including stance, tense, and reporting structure. The results show that citation practices are closely language- and culture-related. Not only novices, but also expert writers, are deeply influenced by thinking modes in the way of writing research articles.

[Keywords] citation; reporting verbs; Chinese academics of English; grammatical pattern; stance.

Introduction

It is now generally accepted that academic discourse does not simply state neutral facts and research results, but actively draws a range of strategies of persuasion to organize their arguments, makes an appeal to readers and provides evidence to convince readers. Reporting verbs are a crucial component in academic discourse. The appropriate use of reporting verbs requires a precise understanding of the differences among them, which is thought to be difficult even for advanced English learners. Bloch (2010) mentioned that non-native English speakers always have the difficulty in choosing the reporting verbs that can meet the standard of syntactic requirements, as well as the rhetorical and discoursal purposes. Rowley-Jolivet and Carter-Thomas(2014) made a corpus-based and comparative study on citation practices of expert French writers. Their study revealed that some features of attribution and stance (i.e. reporting verbs, according to, would-conditional, if-clause) were surprisingly problematic even for expert French writers. To keep within a feasible scale, this study is restricted to the Chinese academics of English and their native counterparts in the field of Applied Linguistics and examines the form and functions of reporting verbs including stance, tense, and reporting structure.

Stance indicates the speaker’s/writer’s attitude and relationships to the reader/listener (Dontcheva-Navratilova, 2008). Multidimensional studies have shown that stance is especially prominent in spoken registers and “overly interpersonal or pervasive written registers” (Biber, 2006; Gray, & Biber, 2012). Charles (2006) conducted a study on the construction of stance in reporting clauses and concluded the most common syntactic structure and verb choices. Hyland (2000) argued that substantial differences existed among disciplines, both in the density of reporting structures and in the choice of verb forms. Bloch (2010) made a concordance-based study of reporting verbs from the aspect of reporting structure and rhetorical purpose and compared them between research articles (RAs) and students’ papers. The results of the study were to build a database that could be used as teaching materials for reporting verbs in RAs.

Grammatical tense is another issue worthy of attention. Particular verb forms can indicate discoursal function of utterances, as signals of foregrounding or transition, or the writer’s attitude to the cited information (as tense in English and French) (Shaw, 1992). Shaw (1992) suggested that past tense and active voice was associated with reporting details, while passive-perfect tense initiates new subtopics. Chen (2010) holds that the tense of reporting verbs can be mostly divided into present tense, present perfect and past indefinite tense, and that each represents personal stance and different pragmatic meanings. The past
tense lacks of generality, the present perfect gives a good generalization about past events and the present simple makes a general claim. Chinese’s different: tenses are expressed through lexical means instead of grammatical transformation, and language transfer may probably occur and influence in RAs in English.

In this paper, “writer” is used as the person citing the comment, and “author” as the person who is being cited by drawing on the previous studies (Thompson, & Ye, 1991; Hyland, 1999). It is hypothesized that cultural and linguistic factors may interfere when citing in a foreign language, and expert writers are not necessarily making similar mistakes as those of novices. To test this hypothesis, this study collected pre-publication uncorrected drafts written in English by expert Chinese writers and published RAs by native English researchers.

This research has two purposes:
1. To uncover the differences in the use of reporting verbs in terms of form and functions between Chinese academics and their native English counterparts.
2. To investigate the factors that contribute to the differences.

**Data and Method**

Data for this study is comprised of a sub-corpus of 30 pieces of pre-publication uncorrected drafts written in English by Chinese academics (CEW) in the field of Applied Linguistics, and a comparable sub-corpus that incorporates 30 published research articles by native English researchers (NEW) in the same discipline. To guarantee the reliability and copyright of data, all the articles received have gained the authors’ permissions. It is presumed that informants with English last names are native speakers of English. However, to confirm whether the informants are native speakers of English or not, an enquiry was made through e-mail.

Another essential factor in corpus-based study is the size of corpora. It is not easy to answer how large a corpus needs to be to fulfill a particular research, but a small corpus has also been proven effective for specific research questions. It is suggested that size between 100,000 and 500,000 words might be enough for those found in the use of reporting verbs (Kennedy, 2000). Drawing on this recommendation, the samples of approximately 400,000 words were collected from the drafts by Chinese academics and from the published papers by their native counterparts. The entire corpora were completely cleaned; there are no titles, headers, footers, captions, acknowledgement, or references, etc.; the data were then POS-tagged by CLAWS.

We disprove of some researchers in that only the sections of “literature review” were gathered as they were claimed to contain most part of citation practices and reporting verbs (Manan, & Noor, 2014). It is shown that each chapter in RAs it is common to find a review of literature (Thompson, 2007). On the other hand, it is also impractical to compare them across the sections in RAs, as not all RAs strictly follow the IMRD (Introduction, Methodology, Results and Discussion). This pilot study gathers 30 pieces of text in each of the corpus, amounting to 155,742 words in the corpus of Chinese academics writing with an average length of 5,191 words and 206,193 words in the corpus of native writers with an average length of 6,873 words.

**Table 1. Corpus**

<table>
<thead>
<tr>
<th>Authors</th>
<th>Category</th>
<th>Number</th>
<th>Tokens</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chinese Academics (CA)</td>
<td>Uncorrected drafts</td>
<td>30</td>
<td>155742</td>
</tr>
<tr>
<td>Native academics (NA)</td>
<td>Published RAs</td>
<td>30</td>
<td>206193</td>
</tr>
<tr>
<td>Total</td>
<td></td>
<td>60</td>
<td>361935</td>
</tr>
</tbody>
</table>
It has been proved that, the reporting verbs are supposed to connect with *that* in academic writing, the invisible *that*-clause is rare and unlikely to affect the frequency data (Charles, 2006). Using AntConc 3.4.3 (Antony, 2014), reporting words were identified from concordances made on *V. that*, which represents any verb connected with *that*. The concordances were scanned to delete the irrelevant ones, and to quantify the use of all main verbs. Hyland’s (2000) taxonomy of reporting verbs was regarded as the most suitable instrument to guide the researcher about the essential characteristics that should be paid attention to (Gay, 1996; Dontcheva-Navratilova, 2008) and was utilized in this study (as shown in Figure 1). A mark was then made to indicate which categories of reporting verbs a sentence belongs to. Finally, the total number of occurrences was calculated and recorded in the form of percentage. Log-likelihood Ratio Calculator will be used to check whether the difference is significant ($p < 0.05$) or due to chance ($p > 0.05$).

![Figure 1. Taxonomy of Reporting Verbs as Process and Evaluation (Hyland, 2000)](image)

Grammatical tense also attracts our attention. This study investigates it from present tense, present perfect tense and past indefinite tense that is mostly utilized in citations. Reporting structure is another aspect that we try to investigate. According to Swales (1986), citation was further divided as “integral” and
“non-integral”. An integral citation is defined as a research report in which the name of the author appears as a grammatical element. A non-integral citation is a research report in which the name of the author appears parenthetically or is referred to elsewhere by a superscript number. Following Jacoby (1987) and Charles (2006), general references were distinguishable, pointing to a category of research reports in which there is no specific reference point clearly identifiable. In this current study, reporting structure was classified into 9 categories according to the above research (Figure 2).

![Figure 2. Taxonomy of Reporting Structure](image)

**Results and Discussion**

Taking the figure of reporting *that*-clause, there are obvious discrepancies between the two groups in the use of reporting verbs. Only 6.1 per 10,000 words in the CEW drafts used, against 14 per 10,000 words in the NEW published. As we further checked the frequency list in each corpus, we found that both contain highly frequent reporting verbs as suggest, show, find, report, and analyze. In contrast, CEW drafts tend to overuse a smaller range of them and neglect some. There are several possible explanations for this marked discrepancy. A most possible reason is that CEW writers have the same difficulties as novices in conveying nuances of ‘evaluation and positioning’ when citing other people’s work. Another reason lies in language transfer, as there is less of a wide range of reporting verbs in Chinese than those in English.

**Table 2. Reporting that-Clause**

<table>
<thead>
<tr>
<th>Authors</th>
<th>Occurrences</th>
<th>Per 10,000 words</th>
<th>Number of different verbs</th>
</tr>
</thead>
<tbody>
<tr>
<td>CEW (drafts)</td>
<td>216</td>
<td>6.1</td>
<td>30</td>
</tr>
<tr>
<td>NEW (published)</td>
<td>502</td>
<td>14</td>
<td>57</td>
</tr>
</tbody>
</table>

There is a fairly clear division in the process categories between the two groups (Table 3). Hyland (2000) indicates that soft discipline use more discourse acts than the other two types. CEW drafts, however, disobey the general rule that they utilize less discourse acts than the other types and more cognition acts than NEW published. The reason we thought might be roots in different modes of thinking between Chinese
and English. Visual words are favored by Chinese to express virtual concepts. In addition, the thinking modes of Chinese are more curved than linear. In another word, the ways Chinese evaluate the world are to be indirect rather than direct. Cognition acts that are concerned with mental process just fit in; discourse acts, which involve verbal expression, are avoided, that is, the point of views are claimed euphemistically without taking responsibility. The evaluative verbs, on the other hand (Table 4), showed broad distribution. CEW drafts use less non-factive verbs, which can also be explained by thinking modes.

Table 3. Classification of Reporting Verbs as Process

<table>
<thead>
<tr>
<th>Denotation</th>
<th>CEW (drafts)</th>
<th>NEW (published)</th>
<th>Sig. p-value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research acts</td>
<td>111</td>
<td>153</td>
<td>0.746</td>
</tr>
<tr>
<td>Cognition acts</td>
<td>48</td>
<td>34</td>
<td>0.005</td>
</tr>
<tr>
<td>Discourse acts</td>
<td>57</td>
<td>315</td>
<td>0.000</td>
</tr>
</tbody>
</table>

Table 4. Classification of Reporting Verbs as Evaluation

<table>
<thead>
<tr>
<th>Evaluation</th>
<th>CEW (drafts)</th>
<th>NEW (published)</th>
<th>Sig. p-value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Factive</td>
<td>33</td>
<td>105</td>
<td>0.119</td>
</tr>
<tr>
<td>Counter-factive</td>
<td>6</td>
<td>10</td>
<td>0.187</td>
</tr>
<tr>
<td>Non-factive</td>
<td>176</td>
<td>391</td>
<td>0.000</td>
</tr>
<tr>
<td>Author positive</td>
<td>66</td>
<td>161</td>
<td>0.002</td>
</tr>
<tr>
<td>Author neutral</td>
<td>84</td>
<td>242</td>
<td>0.004</td>
</tr>
<tr>
<td>Author tentative</td>
<td>45</td>
<td>88</td>
<td>0.006</td>
</tr>
<tr>
<td>Author critical</td>
<td>19</td>
<td>10</td>
<td>0.000</td>
</tr>
</tbody>
</table>

Tense is another important writing strategy. It carries subtle pragmatic meaning and function. It is found that generalizations tended to be in the present tense, citations of a particular experiment in the past, and mentions of an area of inquiry in the perfect (Chen, 2010). However, the proposed association of verb forms and sentence meanings or functions is a statistical tendency that cannot explain every single case. As for the grammatical tense in the two groups, NEW published is distinct in the use of present tense, which is consistent with the previous studies (Shaw, 1992; Chen, 2010). In grammar, reporting verbs should be in past definite tense as it cited a past speech act. This is definitely not true in RAs. There are some possible reasons. Present tense can foreground cited information with the purpose that stress the author’s statement and strengthen the position of the writer. Another reason the present tense is generalized consists in maintaining grammatical consistency through RAs. CEW drafts do not follow the same rule, which have almost the same proportion in the use of present tense and past indefinite tense. It can be explained from two aspects. One is the Chinese writer cannot differentiate the nuances in pragmatic meanings. Another lies in culture and thinking modes. Past indefinite tense reveals an attitude of reservation and self-modesty, which is a typical characteristic of the Chinese people.

Table 5. Grammatical Tense

<table>
<thead>
<tr>
<th>Tense</th>
<th>CEW (drafts)</th>
<th>NEW (published)</th>
<th>Sig. p-value</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Occurrences</td>
<td>%</td>
<td>Occurrences</td>
</tr>
<tr>
<td>Present tense</td>
<td>96</td>
<td>44.4</td>
<td>344</td>
</tr>
<tr>
<td>Present perfect tense</td>
<td>37</td>
<td>16.9</td>
<td>92</td>
</tr>
<tr>
<td>Past indefinite tense</td>
<td>84</td>
<td>38.7</td>
<td>66</td>
</tr>
</tbody>
</table>
There are still differences in the distribution of grammatical patterns of the two groups. CEW drafts have a distinct tendency in integral human subject with 49.1% in all patterns. NEW published, however, is relatively evenly distributed with 29% of non-human subject that is mostly favored. English put objective things first when expressed. English-speaking countries’ people are good at abstraction, with abstract words to express complicated notions. Therefore, English have been repeatedly found non-human subject, It subject, and normalization, etc. Chinese tend to express abstract concepts in concrete and vivid words. Another important contrast between Chinese and English is hypotaxis and parataxis. English sentences are full of verbs, person number, tense and voices, which can be variable, but with rigid rules. Chinese sentences are constructed according to meaning with loose structure.

### Table 6. Frequency of Syntactic Forms

<table>
<thead>
<tr>
<th>Grammatical patterns</th>
<th>CEW (drafts)</th>
<th>NEW (published)</th>
<th>Sig. P-value</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Occurrences</td>
<td>%</td>
<td>Occurrences</td>
</tr>
<tr>
<td>Integral human subject</td>
<td>106</td>
<td>49.1</td>
<td>17</td>
</tr>
<tr>
<td>Integral non-human subject</td>
<td>42</td>
<td>19.3</td>
<td>146</td>
</tr>
<tr>
<td>Integral It subject</td>
<td>4</td>
<td>1.8</td>
<td>12</td>
</tr>
<tr>
<td>Non-integral human subject</td>
<td>8</td>
<td>3.7</td>
<td>35</td>
</tr>
<tr>
<td>Non-integral non-human subject</td>
<td>6</td>
<td>2.8</td>
<td>4</td>
</tr>
<tr>
<td>Non-integral It subject</td>
<td>8</td>
<td>3.7</td>
<td>2</td>
</tr>
<tr>
<td>General reference human subject</td>
<td>16</td>
<td>7.5</td>
<td>78</td>
</tr>
<tr>
<td>General reference non-human subject</td>
<td>20</td>
<td>9.1</td>
<td>60</td>
</tr>
<tr>
<td>General reference It subject</td>
<td>6</td>
<td>2.9</td>
<td>30</td>
</tr>
</tbody>
</table>

### Conclusion

Citation plays a key role in mediating the relationship between a writer’s argument and discourse communities. Citing is expected to be culture-free, as the systems used are international. The present study provides additional insights into the use of reporting verbs from the aspects of stance, tense and syntactic forms by comparing RAs in the field of Applied Linguistics by Chinese academics and their native counterparts. The discrepancies in the use of reporting verbs between the two corpora indicate that the choice of reporting verbs in RAs is influenced by language, culture and thinking modes simultaneously. Expert non-English speaking writers also make similar mistakes as those of the novices.

The research results may help non-English writers with appropriate rhetorical use of citation. Such knowledge can also support nonnative-English writers in making more conscious choices in the production of academic English prose that is acceptable for English readers and to avoid being accused of plagiarism as well as to avoid being viewed as lack of familiarity with the field or as a lack of authority in the writing. Despite limitation, it was hoped that this study would help understand nuances in choosing a reporting verbs

### References


Remaking the Landscape with Memories: A Case Study of Lin’an in the Southern Song Dynasty

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[Abstract] How to remake the landscape to find the identity of the cities that we inhabit? This paper takes a historical approach and examines how the Southern Song Dynasty in ancient China remade the landscape of Lin’an. Temples were rebuilt in Lin’an by using the memories of Bian Jing selectively to praise and encourage loyalty. Three temples were rebuilt nearby to enshrine three deities based on three certain figures in Chinese history, turning the space into a place of story. It also shows indigenous values of the heritage in China.

[Keywords] remaking landscape; memory; Dongping temple; Qiansheng temple; values of heritage

Introduction

Walking through the streets in different cities in China, one can find abundant modern architecture, but cannot feel the local culture. Most of the cities look similar to each other. After imitating western architecture style for three decades, almost every city is troubled by the loss of its local culture and identity. As Friedmann (2010) notes, “the literature on the city is filled with references to desolate placelessness and a yearning for place, for some solid connection to the earth, to the palpable physicality of cities and the everyday need for social contact” (p. 150). How do we remake city fabrics and landscape to find the identity of the cities that we inhabit? It has become an important topic worthy of exploration.

In light of the problem, the following article takes a historical approach to this inquiry, aiming to shed some light on it by presenting a case in ancient China. Southern Song (1127 A.D.-1279 A.D.), which remade the landscape of Lin’an and turned it successfully into the capital of the empire, will be studied in this paper. Specifically, we chose two temples that were rebuilt in Lin’an based on the memory of Bian Jing as the case for detailed study. Bian Jing was the capital of Northern Song (960 A.D.-1127 A.D.), which was conquered by Jurchen (1115 A.D.-1234 A.D.) after the defeat and demise of the Northern Song (960 A.D.-1127 A.D.). The Southern Song was founded later by Emperor Gao Zong (1107 A.D.-1187 A.D.) and Lin’an became the capital. We suggest that rebuilding temples done by the Southern Song in Lin’an could be interpreted as remaking the landscape and using the remade heritage to govern the state. Thus, such a study may provide alternative thinking and indigenous wisdom to the cities in contemporary China which have been troubled in searching for identity in urban landscape.

The reason for taking such an approach rather than studying the case of foreign countries is as follows: first of all, keeping a distance with imported theories is necessary. Yang (2012) pointed out that part of the reasons for the loss of identity in Chinese cities is from “following the footsteps of western styles and theories in the last three decades” (p. 55); secondly, we believe there may not be such a thing as local culture if we turn a blind eye to the abundant historical records and gazetteers in almost every city. Wu (2014) reminds us that “there is an ancient text of Chinese thought and many other fragments gradually emerging after a hundred years of silence, which may disturb our habits of reasoning. Do we reject them for the sake of safeguarding the logic of our rational interpretation, or do we embrace them to
liberate ourselves from the constraints imposed on our minds in interpreting the meaning of heritage?” (p. 864).

The questions the authors want to address are:

- How did the Southern Song rebuild the temples by using its memory of Bian Jing?
- How did these temples change in the following historical periods?
- What kind of implications can be drawn from the example?

What methods, then, would be the most effective in answering these questions? First, an historical approach was deployed and local gazetteers were used. Second, discourse analysis was used to analyze the text of specific records.

**Memory of Bian Jing Revealed in the City Fabrics of Hangzhou**

What we examine in the present paper is part of a larger scenario. Previous studies in the history of the Song Dynasty (960 A.D.-1279 A.D.) noticed and studied the similarities between the cultural fabrics in Lin’an and that of Bian Jing in the Northern Song (960 A.D.-1127 A.D.). The following similarities have been pointed out: temples which used to be in Bian Jing were rebuilt selectively in Lin’an (Wu, 2006; Duan, 2006; Liang, 2011); the folklore and customs in Lin’an were similar to that of Bian Jing (Wu, 2006; Liang, 2011). However, these studies are static, looking at these similarities as cultural phenomena and historical facts only. Another limitation is that among the temples that are studied in the present study, only one temple was mentioned in previous studies and it was not studied sufficiently.

In the present paper, we use the historical records in a different way with different questions in mind. We study them in a dynamic way. Rebuilding the temples in Lin’an should be understood as efforts made by the Southern Song to reconstruct the city fabrics. In other words, we invite readers to go back to that historical context to understand how the Southern Song used memories of Bian Jing to remake the landscape in Lin’an. Also, we incorporate discourse analysis in this study. Last, but not the least, two more temples which were not noticed by previous researchers are presented as new data.

**A Research Project and Engagement**

The ancient capital Lin’an in the Southern Song is located in the Shangcheng District, Hangzhou, Zhejiang province. It has gone through a history of more than two thousand years. It became the capital of Southern Song (1127 A.D.-1279 A.D.) after the demise of the Northern Song (960 A.D.-1127 A.D.) and was named Lin’an at that time. Today, there is not a single heritage site where local people and visitors can feel the aura of the heritage that was passed down from the Southern Song. Although almost everybody knows the ancient capital of the Southern Song was here, people cannot see it or feel it. The lack of material remains trouble for this city and the culture of the ancient capital in Southern Song has been silenced for a long time. Now, this city is renowned at home and abroad for two world heritage sites. The west lake in the city, which is renowned in China, was listed in the World Heritage List in 2011 and the Grand Canal, which starts in Beijing and ends in Hangzhou, was listed in the World Heritage List in 2014.

In such a context, we were invited in the Shangcheng District, Hangzhou, which covers most of the ancient capital city of the Southern Song, to investigate and interpret comprehensively the meanings and resources of the historical sites, streets and lanes within the central area of the city. The aim is to recover and regenerate the cultural memories of the past, particularly of the Southern Song Dynasty (1127 A.D.-1279 A.D.).
Relocating Shrines in Lin’an: The Dong Ping Temple

In the Shangcheng District, Hangzhou, there is one lane named Dongpingxiang and one community which is named after this lane. The lane got its name because there was once a temple named Dongping temple which faced the Qingnian Road. According to local gazetteer (as cited in Ding, 1984, vol. 4), during the Wan Li period (1573 A.D.-1620 A.D.), the deity enshrined in this temple was Zhang Xun, Prince of Dongping. At the end of the Tianbao period (742 A.D.-756 A.D.) in the Tang Dynasty (618 A.D.-907 A.D.), Zhang Xun, a loyal minister, led seven thousand soldiers or so, including his son Zhang Yafu, to defend the Sui prefecture (suiyang) together with the prefecture chief Xu Yuan against rebel armies led by An Lushan. There were more than 100,000 soldiers in the rebel army. Zhang Xun and his soldiers continued for ten months, fighting more than four hundred times with the rebel army until the city was broken through and Zhang Xun, as well as his followers, were captured and executed. Thanks to their contribution, the rebel army was prevented from sailing across the Yangtse river and the Tang Dynasty (618 A.D.-907 A.D.) managed to organize forces to defeat the rebel army.

Zhang Xun rose to immortal status later and was entitled the Governor of Yangzhou in the Later Tang Dynasty (923 A.D.-936 A.D.). One temple was built in Suiyang where he fought. In the Northern Song (960 A.D.-1127 A.D.), one temple was built for him in the capital Bian Jing. After the demise of the Northern Song (960 A.D.-1127 A.D.), the Emperor Gao Zong (1107 A.D.-1187 A.D.), who was the founding father of the Southern Song (1127 A.D.-1279 A.D.), bestowed another honor on Prince of Zhong Jing (Zhongjing wang) in the second year of the Jian Yan period (1128 A.D.) and one temple was rebuilt in Lin’an, the capital for the newly founded dynasty.

Why did Emperor Gao Zong (1107 A. D.-1187 A. D.) bestow another title on the deity and decide to rebuild one temple in Lin’an? First, it was shown that there was one Dongping temple in the lost capital Bian Jing before. Thus, it was based on the memory of Bian Jing that another Dongping temple was built in Lin’an. More importantly, it was noted clearly in the same gazetteer that the purpose of rebuilding this temple was “to praise and encourage the loyalty” (as cited in Ding, 1984, vol. 4, p. 465). The meaning of rebuilding this temple will be shown more clearly if the historical background is incorporated. After the Northern Song was overthrown by Jurchen (1115 A. D.-1234 A. D.), the Southern Song was constantly threatened by Jurchen (1115 A. D.-1234 A. D.) and the two states started wars against each other occasionally from the beginning of the Southern Song until the demise of Jurchen (1115 A.D.-1234 A.D.) for more than one century.

The Dongping temple was constantly maintained, damaged and rebuilt. According to this gazetteer, it was damaged in the end of the Yuan Dynasty and rebuilt in the thirtieth year of the Hong Wu period (1368 A.D.-1398 A.D.) and in the Ming Dynasty (1368 A.D.-1644 A.D.). The temple was dismantled in the 1990s.

The Case of Qiansheng Temple

According to the gazetteer (as cited in Ding, 1984, Vol. 5, p. 18) during the Jiaying period (1507 A.D.-1567 A.D.) in the Ming Dynasty, the Qiansheng temple was rebuilt less than one mile away from Dongping temple in the northeast. It was rebuilt at the beginning of the Southern Song as well. The deity enshrined in this temple was Zhang Yafu who was the son of Zhang Xun and rose to immortal status as well. The temple was burnt down during the Yuantong period (1333 A.D.-1335 A.D.) in the Yuan Dynasty (1271 A.D.-1368 A.D.) and rebuilt during the Hongwu period (1368 A.D.-1398 A.D.) in the Ming Dynasty by a monk. An stele was erected in order to commemorate this endeavor with the
inscription written by a local scholar named He Jing. In the gazetteer this inscription was included. By adopting discourse analysis, we focus on two questions: what did the author say? What were the ways of thinking and the values behind the words?

Its content can be divided into five parts: the author’s praise of loyalty and filial piety, the story of the deity, the description of the location, the purpose of rebuilding the temple, and the background of the inscription. Among the five parts, the description of the location was the most impressive: “I once visited this shrine and went upstairs. It seemed that I could see the mountain Kuaiji where Yu, one of the earliest ancestors of Chinese nation was buried, and I could see the tides in the Qiantang River and the creek that went through the city. I could see the mountain and the lake nearby. As the clouds floated, Yin and Yang interchanged, and it seemed that the gods flew in them. The scenery was picturesque and the residents were better off. Thus, it was a place that people would dream about, and a proper place for gods enshrined” (as cited in Ding, 1984, Vol. 5, p. 19). We can find that the purpose of describing the place thoroughly was to confirm that it was a proper place for the gods and that it was such an important thing to find a proper place for gods. The values can be seen from this sentence, “as passers-by saw the god and were informed of his great deeds, the loyalty and filial piety would be stirred from the bottom of their hearts. Isn’t it helpful for the social morality here?” (as cited in Ding, 1984, Vol. 5, p. 19). It can be clearly seen that this temple was rebuilt to encourage values of loyalty and filial piety.

In a less than three minutes’ walk away in the south, there used to be a third temple which was named Bisheng temple. The deity here was Xu Yuan, who fought against the rebel army, together with Zhang Xun as explained above. Today, there is still a lane named after the temple in the Shangcheng District, Hangzhou. Due to the limited space here, this one will not be examined carefully.

If we could draw a line connecting the three temples on a map, they would form an obtuse angle and the length of each side would be no more than one mile. It is clear that the ancient people who rebuilt the three temples already had “place-consciousness”. They were very clear about how to use these places to tell passers-by the story and maximize their effect. Considering the close relationship among the three deities and the distance among the temples, it could be imagined that these three temples echoed each other and together, they formed a space in which the passers-by could be touched continually by this story.

In addition, as pointed out in the previous studies, there were as many as seventy temples in Bian Jing, among which only eight were rebuilt in Lin’an (Zhou, 1992, pp. 573-586), including the three temples discussed in this paper. It could be inferred that the memories of Bian Jing were used selectively by the Southern Song in remaking the city fabrics in Lin’an.

**Gods and Governance in the Confucian Perspective**

The reason why the temples rebuilt in Lin’an could function as places in which people were civilized might be puzzling for some readers. This stems from the Confucian thinking of ghosts and god. In Li-ki, one of the Confucian classics which recorded dialogues between Confucius (551 B.C.E.-479 B.C.E.) and his disciples, there is one dialogue: “Zai Wo said, ‘I have heard the names Kwei and Shan, but I do not know what they mean.’ The Master said, ‘The (intelligent) spirit is of the shan nature, and shows that in fullest measure; the animal soul is of the kwei nature, and shows that in fullest measure. It is the union of kwei and shan that forms the highest exhibition of doctrine’” (Legge, 1885, Book XXI, p. 220).

For Confucius (551 B.C.E.-479 B.C.E.), “kwei” (ghosts) and “shan” (god) can be turned to the best way to civilize the people. In Confucianism, ghosts and god were included as part of Li (ritual). Temples
were built as places for people’s beliefs, as well as places for governance. They helped keep harmony in families and the state by stirring the emotions of people when serving ghosts and god.

In the work of Xunzi (298 B.C.E.-238 B.C.E.), another important figure in Confucianism who lived in the period of the Warring States (475 B.C.E.-221 B.C.E.), there is an explanation which implies ghosts and gods have different meanings for different groups of people: “The sacrifice originates in the emotions stirred by remembrance and recollection of the dead and by thinking of and longing for the departed, expresses the highest loyalty, faithfulness, love and reverence. For the gentleman, ritual observances are considered to be part of the way of Man. Among the Hundred Clans, they are thought to be a matter of serving the ghosts of the departed” (Knoblock & Zhang, 2003, Vol. 2, p. 645).

It could be seen that ghosts and gods had different implications for the gentlemen and the common people. For the former, they were a means for civilizing people. For the latter, they were things that could answer people’s prayers. Therefore, they had to be served carefully. In this way, these temples were used as ritual spaces for better governance and were constantly rebuilt after being damaged throughout history in China.

**Implications and Conclusion**

After imitating western architecture styles and theories for three decades, it is time for contemporary Chinese cities to go back to their history and look for their local culture. In the history of their cities, they may find the memories of the people who inhabited them. These memories can be used selectively and expressed in appropriate forms, including rebuilt architecture, wall pictures and statues and so on. The critical question for the cities today is what kind of values do they want to implant in the urban space. This may be regarded as the first implication for cities today. Another implication is that contemporary cities could learn from the “place-consciousness” of the Southern Song. They could be more active to use the space and different places for better governance.

In addition, this study provides several concrete cases from which the indigenous values of heritage are revealed. It is a tradition in Chinese history to use heritage-making and re-making as an important way of governance, which has surpassed the current thinking of values of heritage in heritage practice, both at home and abroad. In what sense could we learn from the tradition? When criticizing the authorized heritage discourse, Smith (2006) pointed out that “the discourse constructs two important sets of heritage practices, those focused on management and conservation of heritage sites, places and objects, and those tied to the visitation of sites and institutions within tourism and leisure activities” (p. 12). In this sense, the indigenous way of using heritage for governance throughout Chinese history could offer wisdom to enrich the exploration of the values of heritage.

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Re-interpretation of Heritage Meanings of Living Communities in Zoucheng Urban Area: Han Lineage in the Southern Zone as a Case

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[Abstract] This paper seeks to reinterpret the heritage meanings of the historical urban area in Zoucheng Shandong Province China from the perspective of discourse. The paper reveals the problems in the urban development plans of the Zoucheng World Bank Loan project which is influenced by Western Authorized Heritage Discourse (AHD). Hegemonic understanding and management of heritage are liable to shade the great value of the livelihood of communities and the notion of heritage critically needs to be reconceptualized. The authors took the Han lineage in the southern zone of the urban area as an example and through an ethnographic study of its cultural fabric, it was found that the living community sustains and provides sources of heritage meanings to authorized Mencius heritage through their adherence to ancestral roots, and inheritance of ancestral virtues through traditional rites, etc. It is advocated that living communities in the urban areas should be protected as an integral part of the heritage sites.

[Keywords] authorized heritage discourse; continuity; lineage; inheritance; Mencius

Introduction
Zoucheng in southeastern Shandong Province, noted as the birthplace of “Yasheng” Mencius (about 379 B.E.C.-290 B.E.C.) is located about twenty kilometers south of Qufu city, Confucius’ home state. Since 2011, Zoucheng has been undertaking the World Bank Loan Shandong Confucius and Mencius Cultural Heritage Protection and Development Project (the WBL project for short in the article). The aims of the project are stated as protecting and presenting the Mencius cultural heritage and upgrading historic urban areas and developing community in the Feasibility Report (FR for short, 2011, p. 5). The government has invited famous urban city planners and made a national historic and cultural city protection plan composed of many sub-plans, which has encountered problems in understanding of the meanings of cultural heritage in Zoucheng and has constantly hindered the progress of the WBL project.

The paper reveals the city planners’ “hegemonic” interpretation of heritage, which has obstructed the urban planning of Zoucheng historical urban area, and reinterprets the heritage meanings of this area on the basis of an ethnographic study and a narrative inquiry of the cultural fabrics in the residential area since October 2013.

When the cultural research team from Zhejiang University arrived at Zoucheng, it was found that the old city urban area looked not so “ancient” or “historical” as its honor of “a national historic city” noted. The city planners for the WBL project depicted that it was “the ancient urban area is in the north of Mencius Mansion and Mencius Temple, 250 meters in distance. And a residential area of about 1.2 km has been
formed between the old city zone and Mencius Mansion through history and many old buildings have lost their special traditional styles most of which were constructed by the local residents” (FR, 2011, p. 43). Some buildings in some planned blocks and zones failed to meet the controlling plan of the building height around the Mencius Temple and the Mencius Mansion.

From the above statement, it is seen that without enough awareness of the great potential in the cultural fabric in the urban area, the project draws a rigid distinction between the urban area and the heritage sites and undermines the value of vernacular heritage while in favor of “a high culture of ‘authenticity’, nostalgia and immortality” (Smith, 2006, p. 4; Starn, 2002, p. 8; qtd. in Wu, 2013; Hou, & Wu, 2012). Such a “Western Authorized Heritage Discourse (AHD)” is wielding its power in defining heritage, modulating heritage management and influencing city planners and policy makers:

...rather “a hegemonic discourse about heritage, which acts to constitute the way we think, talk, and write about heritage... promotes a certain set of Western elite cultural values as being universally applicable. Consequently, this discourse validates a set of practices and performances, which populates both popular and expert constructions of “heritage” and undermines alternative and subaltern ideas and cultural practice is obscured, as a result of the naturalizing effects of what I call the “authorized heritage discourse” (Smith, 2006, p. 11).

The AHD resulted in many hegemonic urban plans in Zoucheng and ancient buildings were assessed as relics, but a fact has been neglected that it is people and cultures that invest in places with meaning (Gruenewald, 2003). Some relics lacking in valid historic or scientific supporting materials are planned to be demolished and the local cultural memory in the form of stories which make a place or a thing meaningful have few audiences. History, art and science are the three points of view from which the World Heritage Invention defines the Outstanding Universal Value (OUV) of three types of cultural heritage: monuments, groups of buildings, sites (Smith, 2006, p. 96). History, as authority, is too much dependent upon while analyzing the value of buildings in the planning zone. Buildings built after the 1980s are too new to those who manage the heritage sites and the ancient urban city. Just as Lowenthal (1998, p. 105) denounced, “Abuse of history...seems the gravest of heritage sins.” However, history, “chronologically separates past ‘period’ as units of expert scrutiny and analysis” and usually excludes memory as a part of it and always posed as a science, it overshadows memory which “has an intimate relation to the present through personal and collective actions of remembering” (Smith, 2006, pp. 58-59). Influenced by the AHD, the urban planning of Zoucheng doesn’t give enough importance to the protection to the cultural fabric. With the communities scattered and if the people with a strong sense of place migrated, the memories attached to the place would be also gone. The Mencius heritage would be placed in an alienated space without continuity of cultural history although its location remains. This poses a challenge to the notion of heritage.

Reinterpretation of Heritage Meanings of Cultural Fabrics of Living Communities

**Heritage is Not a Thing but a Discursive Conceptualization**

What is heritage? “The subject of our heritage ‘gaze’, to borrow from Urry (1990), is not so much a ‘thing,’ but a set of values and meanings. ‘Heritage’ is, therefore, ultimately a cultural practice involved in the construction and regulation of a range of values and understandings” (Smith, 2006, p. 11).
Foucault (1972, p. 56) stated, with regard to the formation of concepts, with an analogy, that “their history is not the stone-by-stone construction of an edifice.” Heritage, as a concept, is thus a discursive cultural process. City planners of the Zoucheng old urban area singled out the material relics with a long history as heritage artifacts, but they alienated the living communities and their livelihood from the authorized or enlisted Mencius heritage such as the Mencius Temple, the Mencius Mansion and the Mencius Cemetery, which have been conceptualized as heritage sites through history. A large amount of money was invested in the visible and unmovable material relics, as well as immaterial performances, which were designed as value-added tourism products supplementary to the material heritage. Since 2014, ritual performances such as weddings, rites of passage, and sacrifices have been designed and performed in the Mencius Temple and Mencius Mansion, accordingly. Historical records of rites and experts’ knowledge have become sources and clues which have greatly added value to the Mencius heritage, which has been made into different profitable tourism products. The government is very happy about the growing number of tourists since their creative “use” or “making” of the heritage. Mencius Heritage in Zoucheng has been newly conceptualized by the government, city planners, experts, and tourists, etc.

**Heritage Meanings Hidden in Cultural Fabrics of Living Communities**

While compared to the authorized heritage, the vernacular heritage hidden in the living communities around the Temple has been less talked about, written, studied or popularized especially by the authorities. Tuan Yifu (1977, p. 174) held that the “city does not become historic merely because it has occupied the same site for a long time…Past events make no impact on the present unless they are memorialized in history books, monuments, pageants and solemn and jovial festivities that are recognized to be part of an ongoing tradition…”¹. The families and local people living in the urban area for generations have accumulated a rich cultural history although most of it is not written down in history books, but stored in the citizens’ memories. It is necessary to present some cultural fabric in the residential area around the Temple. And it could be seen how the folk stories, told and retold, memorized, together with the living traditions, and transmitted from generation to generation.

**Han Lineage Families Sustain Livelihood of Mencius Heritage**

In the first day when the cultural research team arrived at Zoucheng, they heard a saying from the locals, “Dong family occupying half the city, Xu family another half and Han family occupying the whole southern zone.”² The three families are comparatively big lineages residing in the old city and even greater than both the Mencius lineage and Confucius lineage in the old urban area.

This paper takes as a case only the Han lineage family which maintains its major lineage branches in the urban area and it is also the only family with their lineage cemetery in the urban area which anchors their branches in the urban area. In space, the Han Family connects the urban city, the Mencius Temple, and the Mencius Mansion. The major branches are located between Yinli River, the Mencius Temple and the Mencius Mansion just in the planning zones of the World Bank project.

From its genealogy book, it is learned that the ancestor of the Han family Han Guì, carrying his two sons in a basket, was said to have migrated to Zoucheng between 1635 B.E.C.-1645 B.E.C.in the Reign of Wanli, Ming dynasty (Han Lineage Genealogy, fourth edition, 2002, p. 4). And the eldest son Dengdi was

1 http://pita.qwritinq.qc.cuny.edu/
2“董半城，徐半邊，韓家佔了個正南關” This is a slang known to locals in Zoucheng urban area that says “Dong family occupying half the city, Xu family another half and Han family occupying the whole southern zone.”
anchored in the southern city zone. After fourteen generations, descendants of the three branches including the hereditary lineage heir are still living in the city residing on both sides of Yasheng Road, which is an axis connecting the south city gate (named Chongjiao Gate, meaning reverence to learning) and the Mencius Temple. The zone of the Han family formed a natural buffer zone for the Mencius Temple during this time.

The Han family descendants reside in a space with Five Degree of Kinship or Wufu 五服 in Chinese. Some major lineage branches are still living in or beside Hanjiahutong, named after its family. In this hutong reside the descendants of the Gong of Deyan, the fourth hereditary lineage heir among the third generation of ancestors. In the very small hutong, we could find the legacies of the traditional family clans passed on from generation to generation.

**Cultural continuity sustained through inheritance of ancestral spirits.** On the wooden gate posts of Hanjia Hutong we have found a pair of red Chinese traditional paper couplets:\(^1\):

- Originated from Nanyang a beautiful and holy place
- Migrated to Eastern Lu the sages and worthy’s home state

And the horizontal scroll bearing an inscription of the couplet pasted horizontally on the gate lintel reads:

*Nanyang Noble Family.*

Later from the genealogy book, we got the complete ancestral couplet, and there was a theme pair of verses as an integral part of the couplets:

*Blessed by Changli our ancestor*

*Nurtured by Zou Lulineage tradition*

*Changli* is a name of Han Yu (768 A.D. – 824 A.D.) the great literati in the Tang Dynasty who had advocated the Orthodoxy (or Daotong) of Confucianism and the greatness of Mencius as a transmitter following Confucius. *Zou Lu* either refers to the two states Zou and Lu in the Zhou Dynasty or a cultural archetype which is often taken as source of Confucianism. From the couplets it is found that the Han family identifies Han Yu as their ancestor and Confucianism as their cultural root of family traditions.

The genealogy book has been edited four times since 1895 Qing Dynasty but no one knows where exactly the Han ancestors migrated from or the reasons for the migration. “Our great ancestor refused to tell his two sons about their birthplace, probably because he migrated to Zoucheng for escaping a killing or a lawsuit and he wanted to save his sons from it thus keeping them unknown of their past” (Interview with Han Chongsheng, the editor in chief of the 4th edition of genealogy book, 2014).

To prove whether they are hereditary heirs of Han Yu and look for their roots, the family seniors had visited Han Yu’s hometown in Henan and Hebei. It is said every Spring Festival in the lunar new year in the old times, nearly all families pasted the ancestral couplets and performed ancestral sacrificial ceremonies in the lineage cemetery and the hereditary heirs’ home. Now every lunar new year, all family members in the fourth lineage branch will have family gatherings at Mr. Han Chongren’s house where the ancestral spiritual tablets are stored. One of his sons Han Xiguo signed that, “I had suggested his father to

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\(^1\) This is an ancestral couplet of Han Lineage goes that:

南陽世家：

祖起南陽靈秀地，家居東魯聖賢邦，昌黎先世澤，鄒魯舊家風
spare one room of their house as the ancestral hall. It seems impossible building an ancestral hall in this
time, and truly not enough room for so many relatives coming for sacrifice!” (Interview with Mr. Han
Xiguo, 2014). The couplet and ancestral sacrifices serve as a bond of kinship and the continuity of lineage
traditions.

A strong sense of inheritance or continuity is revealed from the passing on of ancestral couplets and
persistence in ancestral sacrifices. This inheritance and transmission of Confucianism is the very Dao their
ancestor Han Yu advocated. In a time When Buddhism was pervasive not only in the imperial system, but
also in people’s lives, Han Yu’s writing, *The Origin of Dao* 原道, revived Confucian Orthodoxy:

*If someone asks, “What Dao (Tao) is this Dao?” I will reply, “This Dao, what I call the
Dao, is not what Laozi and the Buddha meant by Dao. This is what Emperor Yao
transmitted to Emperor Shun. Emperor Shun transmitted it to Emperor Yu. Emperor Yu
transmitted it to Emperor Tang. Emperor Tang transmitted it to King Wen, King Wu and
the Duke of Zhou. Kings Wen, King Wu and the Duke of Zhou transmitted it to Confucius.
And Confucius transmitted to Mengzi. When Mengzi died, it was not transmitted further.”*
(Han Yu, 1985, p. 18, qtd. in Wu, 2014, p. 326)

While Mencius regarded himself as a transmitter of Confucius with the regrets that “I have not had the
good fortune to have been a disciple of Confucius” (Mencius, 132, qtd. in Bol, 2008, p. 84) but “learned
(Confucianism) from the disciples of Zissis” (Sima Qian, *Records of the Historian*, Han dynasty) the
grandson of Confucius. While Confucius, revered as the “teacher of the ten thousand generations” (Wilson,
2010) “saw himself only as the ‘transmitter rather than creator’ (Analects 7.1) of the classical kings he
called the ‘Three Dynasties’, (2070 B.C.E.-771 B.C.E.) (Analects 15.25)” (Wu, 2014). Confucius and
Mencius both depicted themselves as having “only played a role in securing the continuous flow of classical
meanings” (Wu, 2014, p. 326). This is nonetheless not a coincidence. With a modest heart of being a learner
and the responsibility of being an inheritor, these sages and worthies had devoted their lives to the
transmission of the Dao which has been blessing Chinese as their descendants. Confucius has an ideal of
the noble person who is expected to learning to become moral while Mencius believes everyone has the
same nature as the sages of antiquity (Taylor, 2004, p. 54). Both advocate “learning” from the ancestors
and the past and care about the descendants and the present. That is how heritage is inherited.

**Locals’ cultural understanding of the place.** Since imperial China, the emperors enshrined the
Confucians or the transmitters of Confucian heritage and the temple and shrines now become material
heritage. Han Yu, revered as the transmitter and advocator of Mencius, was enshrined in a dependent shrine
in the west of the Mencius Temple in the third year of the reign of Xuan he (1211 A. D.) in the Song
Dynasty (Sun, 1212 A. D, qtd. in Liu, 2005, p. 9). Si Jujing, a magistrate of Zoucheng in the Yuan Dynasty
built Zissis, a shrine, and Zissis Academy, named as the Origin and Flows, denoting the continuity of
Confucian learning from Confucius to Zengkan to Zissis and to Mencius (Liu, 2005, p. 43). Folks in the
Han family have resided along a river which flows from the east to the west for geographical reasons
between the Zissis heritage site and the Mencius heritage site for generations and the Han families have a
unique interpretation of this landscape, “Even water reverts its flows in the hometown of sages” (Interview
with Han Xiguo, 2013)!

With a belief that their living environment is blessed by the sages, Han families feel honored to be
living with the descendants of the sages in the same city space. Mr. Han Guozhu, happily said, “Han family
and Mencius family are old neighbors! We have good relations and our ancestors visited each other carrying
gifts on festivals!” The close relations between the two families can also be seen from other aspects. During the fieldwork, we found a restored stone template (named the Wenxian Dais Land Title Template) preserved in the Mencius Temple which records two protocols saying the Han clan had sold their lands to Mencius Mansion to protect the foundation of the Mencius Temple (Liu, 2005, pp. 424-426).

**Livelihood saturated with worship and reverence to ancestral rituals.** As another episode, we witnessed their reverence to the ancestors in the wedding ceremony of the Han family in October, 2013. In the very early morning of the wedding day, before the bridegroom picked up his bride to the new home, he was requested to follow his uncles to Han lineage cemetery. They went to the cemetery “in order to tell the ancestors” that one of their offspring was getting married and they were welcome to “have the wedding banquet back home”. In front of each ancestor’s tomb the bridegroom did as his uncles did, placing the sacrifices, burning the candle, pouring white wines, Kowtowing and finally escorting the ancestors’ spirits, which were believed to be in the burnt incenses. On the way home, the bridegroom’s uncle, the eldest son walked in the very front followed by his younger brother, and the bridegroom, their nephew and the musical band who were playing the traditional instruments all the way home. They took a car, the eldest son with the incenses seated in the front seat and others at the back seats. When it was near the Han Family Hutong, all of them got out of the car and walked toward the home, still the eldest brother in the front of queue.

“Linking oneself with ancestors and descendants lends continuity an intimation of immortality, much as the vitrification of the dead in the form of commemorative medallions was one proposed so as to derive performance from transient lives and instill the virtues of ancestors in their descendants” (Pierre Giraud, 1801, cited in Aries, 513-516, qtd. in Lowenthal, 1985, p. 61). The inheritance of ancestral virtues in family sacrifices is inherent with the inheritance and transmission of the Dao in the Mencius Temple.

From the fieldwork and analysis, we see continuity in heritage meaning in the preservation of the Mencius Temple since the Song Dynasty, the enshrined of Han Yu as a correlate (pei) in the Mencius Temple, the construction of the Zissis Shrine and Academy, as well as pasting ancestral couplets, performing ancestral worship sacrifices of Han family. All these are passing on the ancestral virtues which are believed to be blessings for the future generations. “Diachronic continuity enhances people, too; we see them not only as they are but also as they were, with layer under layer of previous life” (Lowenthal, 1985, p. 61). The rich cultural fabrics accumulated layer-on-layer saturated their reverence to the sages and worthies as their ancestors; local communities in the urban area are living inheritors of the Mencius heritage. The protection of the living communities around the heritage or heritage sites can help people learn more about what Zoucheng is, and what it was.

**Conclusion**

The paper, from a perspective of critical discourse, discusses what heritage is. It reveals hegemony and rigidity in modern interpretation and management of Mencius heritage. And the survey and presentation of livelihood which is saturated with cultural memories and Confucian traditions have re-voiced the unvoiced communities which are actually sources of meanings of the Mencius heritage. A close interaction with the living communities is very important and the reinterpretation of the place with Mencius heritage sites and communities around combined together is quite necessary. During the survey, some families are facing migration and their cultural memories of this place will be gone with them. When the cultural survey was done and the report was submitted, Zoucheng got churned since local people gained more awareness of the great value buried in their own livelihood.
Acknowledgements

I would like to express my gratitude to the interviewees from the Han family in Zoucheng who openly provided our team with their genealogy book, invited us to participate in their traditional rites which contributed greatly to our interpretation of the place. And heart-felt thanks are given to those governmental officials and local researchers who provided me with suggestions and help.

References


Syntax, Function Words and the Deaf Writings: An Approach of Syntactic Dependency Networks

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[Abstract] Researches on the syntactic differences between normal-hearing and deaf people are extensive. However, most researches are conducted on certain patterns that only consider the fine details of syntactic differences. A holistic approach to the analysis has not been pursued. In this regard, a syntactic dependency network approach provides an opportunity to observe syntactic differences from an overall perspective. Traditional local approaches may fail to acknowledge these differences. This study builds two syntactic dependency networks (one is transformed from a treebank of texts produced by the deaf and the other from texts produced by the normal-hearing). A dependency-based theory of syntax is used. This paper then discusses the syntactic differences across the two networks from the perspective of several network indices. The results indicate that deaf people have a lower level of syntactic proficiency than those with normal-hearing. Besides, the rigid use of function words is a component of the explanation for the observed differences.

[Keywords] deaf; syntactic differences; complex networks; function words

Introduction

Deaf people can learn how to speak, to read and to write, but rarely can they reach a normal level of oral and written competence of a language (Taeschner & Devescovi, 1988). Writing, one of the four basic language competencies (listening, speaking, reading and writing), can be regarded as a most complex and difficult task for all language learners, no matter for the deaf or those with normal-hearing (Antia & Reed, 2005). Previous research has shown that for a majority of people who have lost their hearing, learning how to write is a tortuously slow and frustrating process. The combined results of different studies indicate the following general conclusions in terms of deaf people’s writing: their written language has been described, in holistic terms as “concrete, repetitive and structurally simplistic” (Marschark, 1997). They have difficulties with language acquisition in syntactic and lexical aspects: the frequency of some syntactic structures is significantly different in comparison to those with normal-hearing, and their writing is less cohesive and less elaborate; they are more likely to produce shorter sentences and to avoid complex syntactic structures, etc.

As that which has been mentioned above, different linguistic features including lexicon, and syntax, etc. of the writings of the deaf have been previously studied. However, these conventional investigations are all descriptive; they have focused only on the fine details of the syntactic differences and therefore, lack insights into holistic properties that can provide more understanding in structural differences. Thus, complex network theories may provide us with such opportunities to explore linguistic systems from a global perspective. In this paper, two distinct linguistic networks are presented: the syntactic dependency networks of the writings of the deaf and their normal counterparts. On the basis of the two syntactic dependency networks, this discussion aims to answer the following two questions:

1. A question in this area concerns potential differences across the networks: Are there any syntactic differences between the deaf and the normal-hearing that are pertinent for the complex network approach?
2. If syntactic differences do exist between writings of the deaf and the normal-hearing, then what might be the cause of such discrepancies? And how can we explain their syntactic differences with the complex network approach?
Materials and Methodology

A network is a set of items, which we call vertices, or sometimes nodes, with connections between them, called edges (Kenett et al., 2003). In a language network, vertices could be different kinds of linguistic units, such as letters, Chinese characters, or words, while the edges describe the relations between these units (Liu, 2008). Since this manuscript explores the syntactic differences across the written languages of the deaf and of people with normal hearing, it focuses on syntactic networks in which a vertex is often a word type and an edge symbolizes the relation between two words.

The linguistic term syntax is used here to describe the principles and processes by which sentences are organized and constructed in particular languages. Dependency grammar is an approach that arranges syntactic units according to the dependency relation (Liu, 2009). A dependency tree demonstrates the relationship between one component and the other in a specific way. It reveals the structure of an expression in terms of hierarchical links between its actual elements. The dependency approach concentrates on the RELATIONS between ultimate syntactic units, i.e. words. The main logical operation here is the establishment of binary relations. Under the dependency approach, an actual sentence is built with words linked together by dependencies (Mel'čuk, 1988). Using dependency, the English sentence, *This is an example*, is analyzed as follows in Figure 1:

![Dependency analysis of the sentence This is an example.](image)

Figure 1. Dependency analysis of the sentence *This is an example*.

A treebank is a parsed text corpus that annotates syntactic structures. By using the software Pajek, a treebank can be transformed into its corresponding syntactic dependency network (due to the limitation of the paper length, the exact method of the transforming process can be traced to the book written by Professor Liu in 2009). The capacity of each corpus is approximately equal. The software Cytoscape was used to analyze these two syntactic networks. The results and discussions are presented in the following sections.

Results and Discussion

There is a wide range of quantitative measures available for characterizing the properties of linguistic networks – clustering coefficient, degree distribution, average path length, average degree, network diameter, and the centrality of central vertices. We calculated the results of those network indices, as shown in Table 1. By calculating these quantitative network measures, it was possible for us to observe the syntactic differences between the deaf and the normal-hearing from different linguistic aspects.

<table>
<thead>
<tr>
<th>Networks</th>
<th>$N$</th>
<th>$&lt;k&gt;$</th>
<th>$C$</th>
<th>$L$</th>
</tr>
</thead>
<tbody>
<tr>
<td>Deaf</td>
<td>3012</td>
<td>8.314</td>
<td>0.097</td>
<td>3,952</td>
</tr>
<tr>
<td>Normal-hearing</td>
<td>2600</td>
<td>8.608</td>
<td>0.152</td>
<td>3,711</td>
</tr>
</tbody>
</table>

$N$ – the number of vertices; $<k>$ – average degree; $C$ – clustering coefficient; $L$ – average path length; $D$ – network diameter
**Clustering Coefficients**

In graph theory, clustering coefficient is a measure of the degree to which nodes in a graph tend to cluster together. In a language network, the neighbors of a given linguistic unit may be neighbors themselves. Therefore, this tendency is measured by a probability called the clustering coefficient of the linguistic unit as a network vertex. Hence, by definition, the clustering coefficient \( C_i \) of a node \( i \) is the ratio of the total number \( E_i \) of edges that actually exist between all its \( k_i \) nearest neighbors and the number \( k_i(k_i - 1)/2 \) of all possible edges between them, i.e.

\[
C_i = \frac{2E_i}{k_i(k_i - 1)}
\]

The clustering coefficient \( C \) of the whole network is the average of all individual \( C_i \), which is formulated as follows:

\[
C = \frac{1}{N} \sum_{i=1}^{N} C_i
\]

In a syntactic dependency network, nodes and edges have their linguistic meanings/connotations. An individual node represents every single word type that appears in the syntactic treebank, while edges manifest their corresponding dependent relations in each sentence. According to the definition of a clustering coefficient, it seems that the higher the value of the clustering coefficient, the denser this syntactic dependency network, and, consequently, more syntactic relations are being built among the nodes (words) in that treebank, which means the users may have a higher syntactic proficiency from a global network point of view. As shown in Table 1, it is concluded that the deaf may have a lower syntactic capacity compared to their normal-hearing counterparts.

**The Average Degree**

In a network model, a node, unless it is an isolated node, will certainly link to another node or to other nodes. A node’s degree refers to the number of edges that connect to it. In terms of a network, a node’s degree manifests the connectivity of that node. Since the nature of the research into networks focuses on the complex relations among different entities, degree is the most vital parameter. In a syntactic dependency network, the degree of any given node is all the possible syntactic dependency relations which can form with other words (Chen, et al., 2011).

The average degree of a network is the mean of all its nodes’ degrees. We have computed the average degree of the two syntactic dependency networks. As shown in Table 1, the network for the deaf (8.314) exhibits a lower value of \( <k> \) than for the normal-hearing (8.608). This result also indicates that, linguistically speaking, the average valency of the words used in the treebank for the deaf is lower than that of the normal-hearing. More specifically, the result implies that the capacity of collocating words in their syntactic environments is lower in terms of the deaf.

**The Average Path Length**

The average path length \( (L) \) of a network is defined as the shortest path length averaged over all possible pairs of vertices. It can be calculated by using the following formula:

\[
L = \frac{1}{2N(N + 1)} \sum_{i \neq j} d_{ij}
\]

In this formula, \( N \) is the number of nodes in the network; \( d_{ij} \) indicates the distance between the node \( i \) and \( j \). Thus, \( d_{ij} \) can be defined as the number of edges in a shortest path linking the two nodes. As for the two syntactic dependency networks of the deaf and the normal hearing, the average path length of the deaf is 3.952 and 3.711 for the normal-
hearing. Concerned with this network parameter, why there is such a gap between the deaf and the normal hearing will be discussed below.

Liu’s (2008) study has shown that the syntactic dependency network of the normal-hearing is a **small-world** and **scale-free network**. In one respect, if a network consists of a high clustering coefficient $C$ and a very short path length $L$, it is a small world network. In other words, a small-world graph can be designated by a network such as $L_{\text{rand}} \sim L$ and $C_{\text{rand}} \sim C$. It has been calculated that the average path length and the average clustering coefficient of the random network of the deaf is 5.736 and 0.0015, respectively; From another stance, if the degree distribution of a network follows the power law,

$$P(k) \sim k^{-\gamma},$$

then the network is a scale-free network. The result indicates that the exponent of the power law $\gamma$ is 1.280, and the power law determination coefficient $R^2$ is 0.971, both of which demonstrate that the degree distribution of the syntactic dependency network for the deaf perfectly fits the power law. Therefore, a conclusion can be drawn that the network of the deaf is also a small-world and scale-free network.

As mentioned above, the scale-free degree distribution of the two syntactic dependency networks indicates a pattern whereby a small number of nodes exhibit much higher values of degrees than the others in the network. These nodes with much higher degrees tend to be **centers** or **hubs** of the networks (Borgatti, et al., 2008). Linguistically speaking, the hubs are generally linguistic units with the greatest combinatorial capacity in the language network. Nishikawa (2002) proved that centers, or hubs, play an important role in the reduction of the level of $L$ of a network, whereas the hubs in syntactic dependency networks of Chinese and other languages tend to be function words, which highlights the importance of function words in the formation of syntactic structures (Chen & Liu, 2011). Thus, based on the two points mentioned above, we have every reason to assume that the value of the **average path length** $L$ of the dependency network of the deaf should be lower than that of the normal-hearing, and the results shown in Table 1 are in accordance with our assumption. This result indicates that the ability of the deaf to master and use function words correctly is less attainable than it is for the normal-hearing.

**Network Centralization – Betweenness Centrality & Closeness Centrality**

As previously mentioned, these two syntactic dependency networks are both scale-free networks, which means that only a small number of linguistic units in a language sub-system are highly connected (i.e., as network hubs). If the connectivity (measured by node degree) of these linguistic units relevant to others in the network is great, then the linguistic network will manifest a strong tendency to exhibit a star-like, highly centralized topology. This tendency can be measured by the notion network centralization. Two commonly used centrality indices are **closeness centrality** and **betweenness centrality**. Both measures take all the vertices into consideration and thus, could indicate the vertices’ global importance in a network.

Now, betweenness centrality is generally defined as an indicator of a node’s centrality in a network. It is equal to the number of shortest paths from all vertices to all others that pass through that node. The betweenness centrality of a node $v$ is given by the expression

$$g(v) = \sum_{s \neq v \neq t} \frac{\sigma_{st}(v)}{\sigma_{st}},$$

(5)

where $\sigma_{st}$ is the total number of the shortest paths from node $s$ to node $t$, and $\sigma_{st}(v)$ is the number of those paths that pass through $v$. 

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In a network, there is a natural distance metric between all pairs of nodes, defined by the length of their shortest paths. The more central a node is, the lower its total distance to all other nodes, and thus, it is considered more important in that network. Generally speaking, the definition of closeness centrality is that it is the reciprocal of the total distance from a particular vertex to all other vertices:

\[ C_c(i) = \frac{n - 1}{\sum_{j \neq i} L_{ij}} \]  

(6)

These two centralities are described as indices of prestige, prominence, importance, and power of the nodes from a global point of view (Borgatti, 1995).

In the syntactic dependency network, there are also certain words that have both high betweenness centrality and high closeness centrality, and, as might be expected, these words may coincide. However, both centrality indices reflect relative combinatorial capacity of the words from different levels in accordance with their different network implications. The previous section concluded that, first, function words have a higher combinatorial capacity in the syntactic dependency network, and second, the syntactic ability of the deaf is lower than for the normal-hearing – this discrepancy may be reflected in the level of proficiency in use of function words – and third, function words are always considered as the hubs/centers in the syntactic dependency network. Hence, if we rank, for instance, the top 30 words according to standardized betweenness centrality and closeness centrality, we arrive at the following question: What will the difference be between the syntactic network of the deaf and that of the normal-hearing? Their line charts are shown in Figure 2:

![Figure 2. The Line Chart of Between Centrality and Closeness Centrality](image)

Obviously, differences do exist if we compare the two lines. First, the measure for betweenness centrality is taken into account. On the horizontal axis, the line of the deaf (i.e. the line with small squared marks) is experiencing a comparatively slower drop compared to the line of the normal-hearing (i.e. the line with the small round marks), and the two lines are trending closely on the right side of the horizontal axis. Then, the closeness centrality is examined. At the second node, the line of normal-hearing (i.e. the line with the small round marks) drops more than the line of the deaf (i.e. the line with small squared marks), but the gap established then continues until reaching the end of the horizontal axis. Now the problem follows: Why is there such a similar drop for both centrality indices at the second node? As discussed above in the previous sections, the deaf apply a certain degree of rigidity in the use of particular words, especially function words. Since the deaf are less proficient in using function words, the degree of centrality of function words is lower than that for the normal-hearing. Consequently, if we rank the top dozen words’ standardized centrality indices in the two networks, the lines for the deaf (i.e. the line with small squared marks) would drop not as quickly as the lines for the normal-hearing (i.e. the line with small round marks), because the corpus of the deaf lacks nodes with an extremely high degree of centrality (due to less proficiency in using function words). This result also
indicates that the syntactic ability of the deaf is lower than that of the normal-hearing in terms of their use of function words from a global network point of view.

**Conclusion and Limitations**

This paper has managed to capture the syntactic differences between the deaf and the normal-hearing with a syntactic dependency network approach. Observing language networks linguistically from a dependency-based theory of syntax, we have given linguistic explanations of the technical results. First, we analyzed three network indices. These results provided us the answer to the first research question, namely, syntactic differences do exist between the deaf and the normal-hearing and the deaf have a comparatively low syntactic proficiency level when compared to that of the normal-hearing. These results also provided us with hints to the possible linguistic cause of such syntactic discrepancies between the deaf and the normal-hearing. They contribute to exploring the possible underlying reasons.

Then in the next section, we analyzed another two network indices: betweenness centrality and closeness centrality. When the standardized centrality indices of the top 30 words are ranked, the results of these two additional indices show an evident discrepancy. These results provide us with answers to second research question, i.e. the syntactic discrepancy between the deaf and the normal-hearing is mostly attributable to the rigid use of function words of the deaf and such explanations were provided with the complex network approach.

Interests in the complex network approach are relatively elementary and rudimentary, but some important findings have already been attained. One should, however, be aware that limitations still exist even when the network approach is applied; the networks can only be used as a tool rather than as a research goal, which is to understand human language. In terms of our current study, in addition to the use of function words, word order also plays an important role in syntax, especially in analytic languages such as Chinese. Unfortunately, the syntactic network approach fails to deliver insights when the goal is to explore and explain word order. Furthermore, many Chinese function words occurring frequently could be analyzed more comprehensively than what has been accomplished in this study. Further and in-depth explorations may inspire more specific and clear understanding and interpretation of the language gap between the deaf and the normal-hearing.

**References**


