Recreating the Images of Chan Master Huineng:

A Systemic-Functional Approach to Translations of the *Platform Sutra*

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Abstract

This research applies systemic functional linguistics (SFL) to the comparison of four English translations of the *Platform Sutra* (Wong 1930; Heng 1977; Cleary 1998 and Cheng 2011), in the field of descriptive translation studies. The *Platform Sutra* is an ancient Chan Buddhist text that records the public sermons and personal conversations of the Chan master Huineng (638-713).

The focus of the research is on the image of Huineng recreated in each translation, with the concept of 'image' defined as the semantic consequence of patterned lexicogrammatical choices in translating the *Platform Sutra*. The study specifically answers the following two research questions:

1. To what extent is the image of Huineng represented differently in the translations of the *Platform Sutra*? What particular image is recreated in each translation and how did the translator achieve this?

2. Why is a certain image of Huineng recreated in one translation but not the others?

The first question is to be answered by conducting a bottom-up analysis from the level of lexicogrammar to that of semantics; and the second question can only be satisfactorily answered by taking the context into consideration.

The methodology of the study integrates quantitative and qualitative analyses, with the analytical tools adopted being SysFan (Wu 2000), SysConc (Wu 2003) and Wmatrix (Rayson 2003).

The analyses of the four translations are conducted in the form of journal articles from the perspectives of verbs of saying, personal pronouns, MOOD and MODALITY, multimodality and evaluation, and textual complexity, which are within the ideational, interpersonal and textual metafunctions respectively. Results show that different images of the same Chan master Huineng have been recreated in each translation, which are reflected through the recurrent lexicogrammatical choices in the ideational,

interpersonal and textual systems, though the influence of each system varies. Both the recreating of images and the lexicogrammatical choices can be further interpreted by taking the context of translation (Field, Tenor, Mode) into consideration.

The significance of the present study lies in both its comprehensive analysis of different translations of the same source text from a systemic functional perspective, and its emphasis on religious texts as an invaluable resource for both SFL and translation studies.

Key words: systemic functional linguistics, translation studies, the *Platform Sutra*, image, Huineng

Certificate of Originality

I hereby certify that this work is the result of my own research and that the work has not been submitted for a higher degree to any other university or institution. I certify that sources of information used and the extent to which the work of others has been utilized have been indicated in the thesis.

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List of original publications

This thesis is based on the following original publications, which are referred to in the chapters through footnotes.

I. Yu, H., & Wu, C. (2016). "Same Chan Master, Different Images: A Multi-functional Analysis of the Story of Huineng and Its Translations". *Journal of Translation Studies (KAT)*, 17 (4): 143-180. http://www.dbpia.co.kr/Journal/ArticleDetail/NODE07021854.

II. Yu, H., & Guo, S. (2016). "The Master *Said*, the Master *Exclaimed*: Reporting Verbs and Image of Huineng in Translations of the *Platform Sutra*". *Asia Pacific Translation and Intercultural Studies*, 3 (3): 1-13. http://tandfonline.com/doi/full/10.1080/23306343.2016.1228148.

III. Yu, H., & Wu, C. (2017). "Recreating the Image of Chan Master Huineng: The Role of Personal Pronouns". *Target*, 29 (1), 64-86. https://benjamins.com/#catalog/journals/target.29.1.03yu/details.

IV. Yu, H., & Wu, C. (2016). "Recreating the Image of Chan Master Huineng: The Roles of MOOD and MODALITY". *Functional Linguistics*, 3 (4): 1-22. https://link.springer.com/article/10.1186/s40554-016-0027-z.

V. Yu, H., & Song, Z. (2016). "Picture-text Congruence in Translation: Images of the Zen Master on Book Covers and in Verbal Texts". *Social Semiotics*, 26 (6): 1-20. http://www.tandfonline.com/doi/pdf/10.1080/10350330.2016.1251104.

VI. Yu, H., & Wu, C. (2016). "Attitude as Mediation: The Power of Paratext in Translation". *Text & Talk*, under revision.

VII. Yu, H. (2017). "How should Huineng Speak? Text Complexity in Translations of the *Platform Sutra*". *New Voices in Translation Studies*, 16, 1-22. https://www.iatis.org/index.php/new-voices-in-translation-studies/item/1487-issue-16-2017.

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1 Introduction

This is a thesis by publication that applies systemic functional linguistics (SFL) to descriptive translation studies (DTS) of an ancient Chan Buddhist text entitled the *Platform Sutra* (1291). The overall research project consists of seven sub-studies, across which runs a key concept of the 'image of Huineng' recreated in each of the four translations (Cheng, 2011; Cleary, 1998a; Heng, 1977; Wong, 1930a) of the *Platform Sutra*.

Huineng (638-713) is a Chan master who lived in the Tang dynasty of China, the apogee of traditional Chinese culture. He is venerated as the Sixth Patriarch and real founder of Chan Buddhism, and his ideas provided spiritual inspiration for the development of Buddhism in other East Asian countries such as Japan, Korea and Vietnam (Jorgensen, 2005, p. 1). Huineng spent nearly forty years of his life teaching the ideas of Chan, and his public sermons and conversations with disciples were recorded the *Platform Sutra*. Through translation into Western languages, the Sutra is now acclaimed as "one of the best known, most beloved and most widely read of all Chan texts" (Schlütter, 2007, p. 382).

In this introductory chapter, the key concept of image will first be defined in Section 1.1. Following this, Section 1.2 is the rationale of research. Section 1.3 will state the research aim and questions. Section 1.4 will present an introduction to the data and methodology; and Section 1.5 will present an overview of the whole thesis.

1.1 The key concept of 'image'

Like any other common word adopted in various theoretical studies, 'image' is an elusive term. Its meaning may stretch from the most objective graphic images such as pictures, statues and designs to the most intangible concept of verbal images created by metaphors and descriptions in writing, with many intermediate categories in between (Mitchell, 1984, p. 505). In literary studies, image construction refers to the presentation of character or objects, with a focus on the establishing, stereotyping, or

changing of images exhibited in literary works (Berberich, 2013; Harap, 2003). In translation studies, the concept of image tends to be closely connected with manipulation, power and ideology, and shows the way in which translators try to present the Other to the target audience and cater to their expectations. The emphasis is usually on the influence of target culture on the presenting, understanding, and acceptance of the source text and culture (Lefevere, 1992; MacClancy, 2005). In commercial marketing and political campaigns, image refers to "the total impression an entity makes on the mind of others" (Dichter, 1985, p. 75), such as the image of a company, product, politician, or even a country or culture. Image can also be understood in terms of personal image for any individual, in the sense that it "is the concept that others form about you as a result of the impressions you make on them" (Criswell & Campbell, 2008, p. 13).

'Image' in this study is at the same time related to all the diverse definitions and understandings of the term in previous studies, while having its own specific reference: it is linguistic in nature, and particularly seen in systemic functional terms. 'Image of Huineng' in this study is defined as the semantic consequence of patterned lexicogrammatical choices in translating the *Platform Sutra* in a certain context.

Such a definition of the 'image of Huineng' has its theoretical basis in the works of Halliday (2013), Hasan (semantic variation, 2009, 2011), and Butt (semantic drift, 1983, Butt et al. 2013). As pointed out by Halliday (2013), there is never only one way to express an experience: alternative ways of expression are always available to the speaker/writer. Choices made in the process of speaking/writing, although may not necessarily be the result of conscious design, but are certainly not irregular, or accidental, as indicated by Hasan's study (2009). Rather, there exists a pattern in the selected ways of meaning both in everyday conversation and in verbal art. The pattern can be explored by investigating the component features of different ways of meaning in terms of the three metafunctions: the ideational, interpersonal and textual on the level of lexicogrammar. Such investigations will provide the possibility for one to argue for "semantic congruence between systems with unlike realisations that create… a co-ordination of choices directed to a semantic purpose" (Butt et al. 2009: 51). This is because semantics provides a way to account for the relationship between linguistic variation at the lexicogrammatical level and differences in the context of speaking/writing.

It is believed that ideas put forward by Halliday, Hasan and Butt can help us to get a deeper understanding of translation as a purposeful meaning activity. Although it is now recognised that choice making is also an integral part of translation (Levy 2012), systematic studies on the choices made by a translator from various perspectives are still in demand. Compared with the apparent choices in terms of lexis (words), selections on the level of grammar in the process of translating are more subconscious and reflect the translator's 'covert' (Butt, et al., 2004) intervention into the source text. The linguistic choices on the level of lexicogrammar in translation are, on the one hand, able to form a distinctive pattern, if an investigation on various perspectives is implemented. On the other hand, the patterned lexicogrammatical choices are bound to produce a semantic consequence, which further provides a link between the choices of words and grammar and the context of translation. It is under such a consideration that the 'image of Huineng' in this study is defined as 'the semantic consequence of patterned lexicogrammatical choices in translating the *Platform Sutra* in a certain context'.

Within the scope of this study, there are several aspects of the definition that need further clarification. Firstly, image is located at the level of semantics, which relates closely to both the context and the lexicogrammar. In the same way that semantics is realised through TRANSITIVITY, MOOD and THEME at the level of lexicogrammar, image can be probed by analysing the recurrent linguistic choices from the ideational, interpersonal and textual perspectives. Secondly, it is proposed that all linguistic choices do not have equal impact on the construction of the image. Only the patterned, or recurrent choices in a text are likely to be able to influence the reader's perception of the text and contribute to recreating a certain kind of image of Huineng. Finally, the image construction, as well as the lexicogrammatical choices, should be interpreted in light of the context of translation.

There are two main reasons why the 'image of Huineng' becomes the focus of the study. Firstly, the person Huineng serves as both the Theme and the New (Martin, 1992) of the *Platform Sutra*. Huineng is the Theme of the *Platform Sutra*, as the text is solely dedicated to him, which gives it a unique status in the development of Chan Buddhism. The *Platform Sutra* is so closely related to the person Huineng that a mention of the text will immediately remind the hearer of the person named Huineng.

Meanwhile, Huineng is also the New of the *Platform Sutra*. It is generally acknowledged that almost all the ideas expounded in the *Platform Sutra* have been discussed by previous Buddhist masters (Guo, 2008; Hong & Sun, 2004): these ideas are the Given information. The only thing that is New is the person Huineng, about whom there had been no historical record and of whom people had known nothing prior to the appearance of the *Platform Sutra*. One of the missions of the *Platform Sutra* is to present Huineng as the Sixth Patriarch, who was unprecedentedly illiterate, low in status, and thus the opposite of all the previous well-celebrated Buddhist masters in history.

As with the Chan ideas he advocated, the person Huineng is brought into being only through words. Therefore, it is significant to see whether the image of Huineng remains the same in the translated texts, where the words certainly have changed in the process of translation.

1.2 Rationale of research

The rationale of the present study will be presented as follows. Firstly, the descriptive nature of the present study will be discussed, with the translated texts seen as finished products of a process of making choices. Secondly, there will be discussion of the contributions that SFL can offer to the field of translation studies as a whole. Finally, the significance of the present study will be stated.

1.2.1 Descriptive translation studies: change of foci

In explaining the origin of what he calls the 'descriptive paradigm' in translation studies, Pym (2010) makes the following statement:

> In the historical context, the shift from prescription to description involved a clear challenge to the institutionalization of the equivalence paradigm. Rather than just tell people how to translate well (…), descriptive theories aim to identify **how people actually do translate**, no matter what the supposed quality (p. 3, original emphasis).

Before the 1970s, people working with translation, especially linguists and translation trainers, paid much attention to how to translate (to produce 'equivalent' units in the target language) and how to evaluate the translated text (whether it is 'equivalent' to the source text or not). This is generally considered a prescriptive paradigm, where

rules are set out to be followed. Along with this prescriptivism was the source-oriented nature of study. The source text and culture have absolute priority over the target text and culture, and the authority of the author is emphasized with a corresponding devaluation of the translator's creativity.

In contrast to this prescriptivism and source-orientedness, the descriptive paradigm in translation studies aims to describe translation as a social action, and to focus on the target text and its position in the target culture. Gideon Toury, one of the key founders of the descriptivism in the study of translation,

> …explicitly recommends **starting analysis from the translation** rather than from the source text; he [Toury] thus creates space for research that takes no account of the source text at all. For example, you can simply compare different translations, or compare translations with non-translations within the target system (Pym, 2010, p. 20, original emphasis).

Moreover, attention to the specific context of translation has also been emphasized in the descriptive approach, as "[a]ny attempt to offer exhaustive descriptions and viable explanations would necessitate a proper **contextualization**, which is far from given" (Toury, 1995, p. 29, original emphasis).

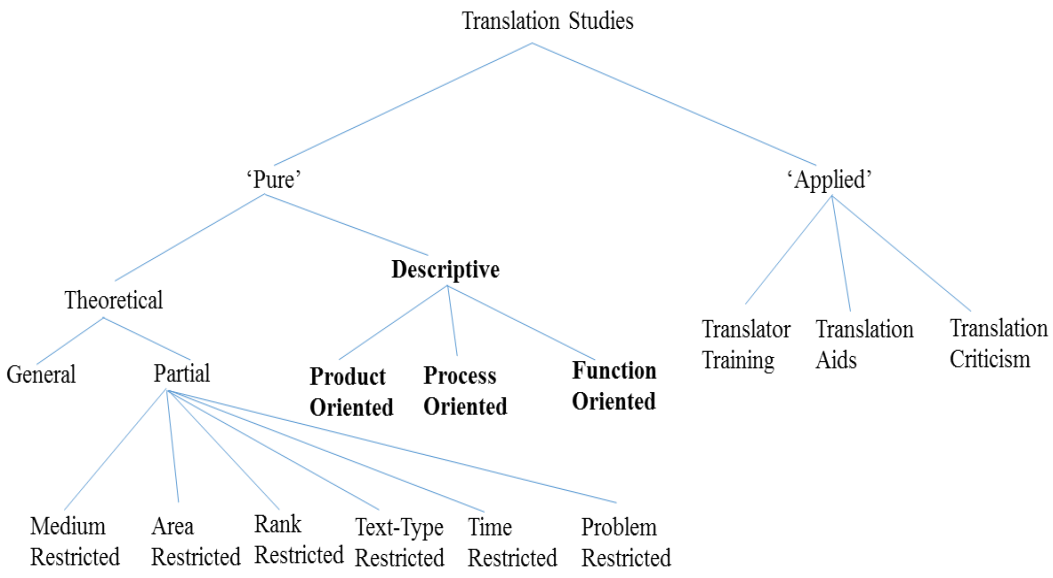

Figure 1.1 DTS within the discipline of TS (adapted from Toury 1995:10)

Although the idea of descriptivism has been around since the 1970s, the name of Descriptive Translation Studies (DTS) did not become well known until the publication of Toury's book *Descriptive Translation Studies and Beyond* (1995). In

this book, Toury first conceptualised Holmes' (1972/2004) map of the discipline of Translation Studies, as shown in Figure 1.1.

It can be seen that descriptive translation studies is situated within the 'pure' area of research, which is to be distinguished from the more 'applied' area of translator training, translation aids and translation criticism. There are three foci within the branch of descriptive translation studies:

(1) **Product-oriented DTS** examines existing translations. This can involve the description or analysis of a single ST-TT pair or a comparative analysis of several TTs of the same ST (into one or more TLs).
(2) **Function-oriented DTS** refers to the description of the "function [of translations] in the recipient sociocultural situation" (Holmes, 1972/2004, p. 177). Issues that may be addressed include which books were translated when and where, and what influences they exerted.
(3) **Process-oriented DTS** is concerned with the psychology of translation, i.e. it is concerned with trying to find out what happened in the mind of a translator (Munday, 2008, pp. 10-11).

The descriptive branch of translation studies has seen rapid development since the introduction of language corpora and computational linguistic tools to the field in the 1990s (Ji, 2016). The ultimate aim of descriptive translation studies, as considered by Toury, is to reconstruct the 'norms' that have been in operation in the translating process; and the cumulative identification of norms will enable the formulation of probabilistic 'laws' or even 'universals' of translation (Toury, 1995, pp. 259-279). However, it is this aspect of the framework that has received the most criticism from other scholars (such as Gentzler, 2001; Hermans, 1999). The danger lies in an over-generalization of separate case studies, and the potentially prescriptive nature of these 'norms', 'laws' and 'universals'.

Therefore, although the present study defines itself as being within the framework of product-oriented descriptive translation studies, it does not propose to generalize 'norms' from a series of case studies. The main focus here is on analysing and describing the actual translated text as product, and on further interpreting the linguistic choices that helped to present the product as it is, by considering the context of translation. This purpose can be better achieved, as will be argued in the following section, by adopting tools from systemic functional linguistics.

1.2.2 SFL: what can it offer?

The traditional linguistic approaches to translation studies are mainly contrastive, where source language and target language are studied with the purpose to produce 'equivalence' between the two in the process of translation. This is where criticism of or even antagonism toward the linguistic approaches originate. In spite of the fact that modern linguistic theories have experienced a turn from contrastive to text linguistics (Fawcett, 1997; Li, 2003), the linguistic paradigm is still resisted and even ridiculed by some scholars adopting a different perspective in the field of translation studies. For example, Bassnett and Lefevere state that

> …linguists have moved from word to text as a unit, but not beyond…The overall position of the linguist in translation studies would be rather analogous to that of an intrepid explorer who refuses to take any notice of the trees in the new region he has discovered until he has made sure he has painstakingly arrived at a description of all the plants that grow there (Bassnett & Lefevere, 1990, p. 4).

This kind of prejudice, as pointed out by Baker (1996, p. 15), has mainly arisen from ignorance of what has been happening in modern linguistics, and recent achievements by scholars adopting a functional linguistic approach in particular.

One of the linguistic theories that is clearly functional, textual and contextual in nature is Michael Halliday's systemic functional linguistics (SFL), which has seen significant development since the time of Catford (1965). SFL has served as the basis for many brilliant studies in the current field of translation studies, such as those by Hatim and Mason (1990), Bell (1991), Baker (1992), House (1997), Kim (2007b, 2009), Steiner (2004), Munday (2002, 2012) and Pagano, Figueredo and Lukin (2016). Even scholars leading the development of SFL have had an interest in translation and have provided insights into the study of translation (Halliday, 1992, 2001; Matthiessen, 2001, 2014).

The lure of SFL for translation studies, as far as the present study is concerned, mainly lies in its understanding of language as consisting of distinct but interrelated strata (stratification), its tripartite division into the metafunctions of language (thus, three strands of meaning), and its emphasis of meaning as choice.

The concept of stratification refers to the fact that language has various levels, or strata, as further distinctions within the expression and content planes. At the same time,

language also closely relates to, or is embedded within, what goes on outside itself: the context (see Figure 1.2).

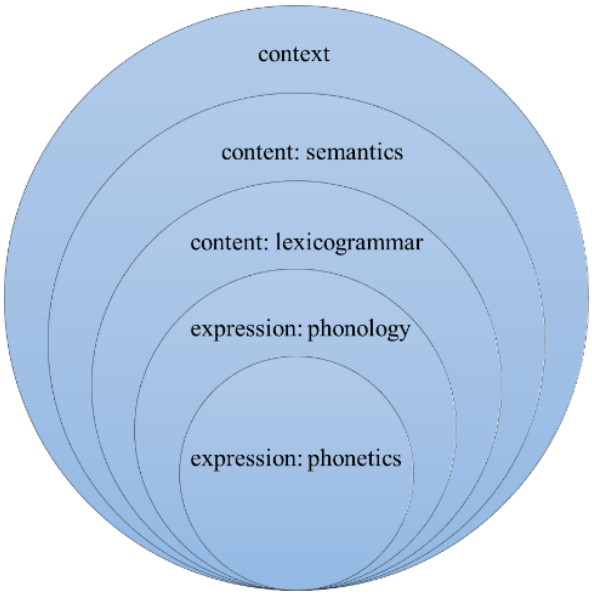

Figure 1.2 Stratification in SFL (adapted from Halliday & Matthiessen 2014: 26)

On the expression plane, we have the stratum of phonetics, the interface with the body's resources for speech and hearing, and that of phonology, the organization of speech sound into formal structures and systems. On the content plane, we have the strata of lexicogrammar and semantics. Lexicogrammar in SFL is a way of describing the lexical and grammatical choices available to a language user, rather than prescribing a set of rules. Semantics is the meaning realised through lexicogrammatical choices, and further relates to the outer stratum of context.

The relationship between these different strata is called realisation, where a higher level is realised through a lower level. This means that, in producing or translating a written text, one needs to start from the lexicogrammar that realises semantics that realises the context. Similarly, it is impossible to talk about semantics without considering lexicogrammar and context.

Language, with its different strata, has the functions of construing human experience, enacting personal and social relationships, and constructing texts that can be understood. These are the ideational, interpersonal and textual metafunctions of language. The three metafunctions are not external interpretations of the way people use language. Instead, they are intrinsic to language, i.e. "[l]anguage is as it is because

of the functions in which it has evolved in the human species" (Halliday & Matthiessen, 2014, p. 31). Moreover, these three metafunctions span across all the strata, which helps to further exhibit the correlation between lexicogrammar, semantics and context in a particular written text, as illustrated in Figure 1.3.

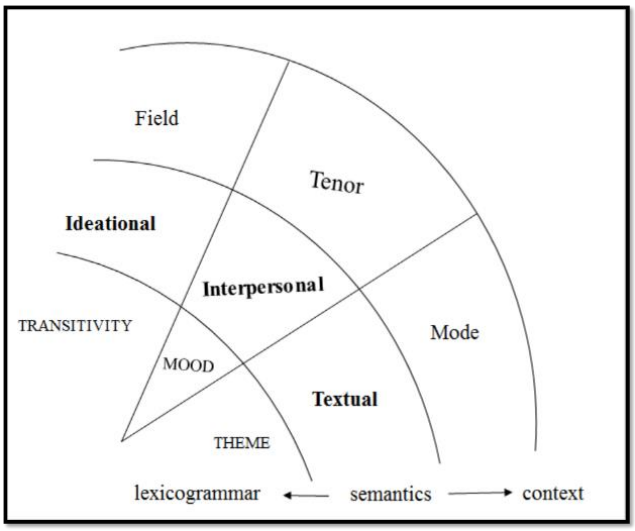

Figure 1.3 Metafunctions spanning across different strata (adapted from Kim 2009: 131)

As can be seen in Figure 1.3, ideational meaning is mainly realised through the system of TRANSITIVITY at the stratum of lexicogrammar, and the two together realise Field at the stratum of context. Interpersonal meaning is mainly realised through the system of MOOD at the stratum of lexicogrammar, and the two together realise Tenor at the stratum of context. Textual meaning is mainly realised through the system of THEME at the stratum of lexicogrammar, and the two together realise Mode at the stratum of context. This provides a holistic understanding of meaning both in relation to the lexicogrammar of the clause and the extra-linguistic constraints of the context.

Finally, the emphasis on system, which presents the meaning potential of language in SFL, naturally leads to the idea that meaning is the result of choice, not just in terms of what has been chosen, but also in terms of what could have been chosen but was not. The idea that "[a] text is the product of ongoing selection in a very large network of systems" (Halliday & Matthiessen, 2014, p. 23) corresponds with Levy's idea of the process of translating as the process of making choices "among a certain (and very often exactly definable) number of alternatives" (Levý, 2012, p. 72). However, SFL goes further by pointing out that such choices are not made randomly, but with consideration of the context of language use.

The concepts presented here, stratification, metafunction, and meaning as choice (and many others that are not touched upon here), greatly broaden our understanding of language use in general, and of translation as a "meaning making activity" (Halliday, 1992, p. 15). It is also proposed in the present thesis that SFL, as an 'appliable' theory (Halliday, 1985, 2008), can be and should be adopted in descriptive translation studies to produce systematic and replicable models of analysis.

1.2.3 Significance of the present study

The significance of the present study lies in both its comprehensive analysis of different translations of the same source text from a systemic functional perspective, and in its focus on a text that is religious in nature.

In presenting his systemic model of descriptive translation studies, Munday states that, "[a]lthough SFG-oriented analysis has been used in other studies, it is still true that there is a shortage of systematic studies of *complete* published translations (rather than short and isolated passages)" (2002, pp. 79-80, original emphasis). More than a decade later, although there are projects that apply SFL to translation studies (Bosseaux, 2007; Chueasuai, 2010; Kim, 2007a; Ng, 2009), studies on complete translated text(s) from all the three metafunctional perspectives are still lacking. In order to address this shortage, the present study aims to analyse four translations of the same source text from the perspectives of the ideational, interpersonal and textual metafunctions of SFL.

Instead of conducting a mechanic metafunction-by-metafunction analysis, the study will focus on the image of Huineng. The concept of image renders the present study more flexible, and enables it to bring to fore normally neglected aspects in translation studies, such as the choice of personal pronouns in translating a source text that tends to avoid using pronouns, and the purely formal aspects of grammatical intricacy and lexical density in realising stylistic meaning. Moreover, although the definition of image bears a strong linguistic orientation, the present study is also able to go beyond purely linguistic analysis by paying attention to the multimodal nature of the published translation as a commercial product, apart from taking the para-text into consideration.

Another significance of the present study lies in its selection of a religious text for analysis. Religious texts are indispensable to translation in both practice and theoretical development. In terms of practice, translating of religious texts (such as the

Bible in the West and Buddhist texts in China) has served as the beginning of human translation history, and "has been a major source of development in translation theory" (Long, 2005, p. 10). In terms of theoretical development, early discussions on strategies in religious translation practice, such as the ideas of Jerome, Augustine, Luther, and Schleiermacher in the West, and those of Dao An, Kumārajīva, and Xuan Zang in China, though mostly unsystematic, touched upon the most basic topics of translation studies and paved the way for further discussion. In the 20th century, systematic theories originating from religious translation, such as Nida's concept of functional/dynamic equivalence (Nida, 1964; Nida & Taber, 1969) and Gutt's (2000) relevance theory, exerted significant influence on translation studies worldwide, and were quickly applied to studies outside of religious translation.

Religious texts are both literary and technical in nature. Literarily, religious texts often represent the highest and everlasting literary achievement of a culture, drawing the interest of non-religious literati purely for their beauty of language and imagination that is lacking in the most popular secular writing. Technically, religious texts are usually full of terms and ideas that are alien to the target culture and readers. Texts of a religion represent a way to conceive the outer and inner world, and a certain way to live. The dependence and emphasis on the use of language as the most vital vehicle for the existence, development and propagation of any religion make religious texts unique data for the study of language and translation.

1.3 Research aim and questions

The aim of the present study is to apply SFL to the comparison of different English translations of the *Platform Sutra*, a Chan Buddhist text, along the line of descriptive translation studies, and to provide analytical frameworks that are replicable in future studies.

Specifically, this study will answer the following two research questions:

(1) To what extent is the image of Huineng represented differently in the translations of the *Platform Sutra*? What particular image is recreated in each translation and how did the translator achieve this?

(2) Why is a certain image of Huineng recreated in one translated text but not the others?

The first question is to be answered by conducting a bottom-up analysis from the level of lexicogrammar to that of semantics. The analysis will cover the three metafunctions, in order to be as comprehensive as possible, with the choices of saying verbs, personal pronoun, MOOD and MODALITY, and text complexity being points of comparison. These places are where the source text leaves indeterminacy and the translator can have freedom in making relevant choices; which will have a semantic impact on the overall translated text and construct a certain image of Huineng.

The second question can only be satisfactorily answered by taking the context into consideration. In SFL, context can be described in terms of three parameters, Field (what is being talked or written about), Tenor (the relationship between the speaker/writer and hearer/reader), and Mode (the kind of text that is being made) (Butt, Fahey, Feez, Spinks, & Yallop, 2006, p. 5). These three parameters resonate with the three metafunctions of language: Field resonates with the ideational, Tenor with the interpersonal, and Mode with the textual metafunctions. It is proposed that, in the present study, translation as a purposeful activity (Field), the relationship between the translator and intended readership (Tenor), and the nature of the translated text seen by the translator (Mode), are contextual factors affecting both the lexicogrammatical choices and the construction of a certain image of Huineng in each translated text.

1.4 Data and methodology

This section will, firstly, present the data of the thesis, with a brief introduction to the source text and the four English translations selected for analysis. Then it will discuss the methodology of the thesis, in particular the adopted corpus linguistic tools.

1.4.1 Data

The source text of the study is the *Platform Sutra* (1291), which is a record of the public sermons and conversations of Huineng. Apart from the unique linguistic features (a transition from classical to vernacular Chinese, see Qian, 1976), the text is selected for its importance in the development of East Asian Buddhism and culture,

the abundance of different translations, and the shortage of relevant studies from the perspective of translation studies.

Like many classical Chinese texts, the *Platform Sutra* is known in different versions, which evolved in the many dynasties in China. Most versions, however, were lost in the ups and downs of history, and the final version of the sutra produced in the year 1291 by a monk named Zongbao became the "orthodox", or canonical version (Schlütter, 2012, p. 18). For hundreds of years it was the text read by monks and literati in East Asia. This version is included in the Taishō Shinshū Daizōkyō[1] (vol. 48, no. 2008), a collection of Chinese Buddhist canons, and is the basis of the present study.

Table 1.1 Four translations studied in the thesis

translator	**title**	**translator's identity**	**publisher**	**year**
Wong Mou-lam	*Sutra Spoken by the Sixth Patriarch (Wei Lang) on the High Seat of The Gem of Law (Message from the East)*	Chinese, layperson	The Pure Karma Buddhist Association, Shanghai	1930
Heng Yin	*The Sixth Patriarch's Dharma Jewel Platform Sutra*	American, Buddhist	The Buddhist Text Translation Society, San Francisco	1977 (second edition)
Thomas Cleary	*The Sutra of Hui-neng, Grand Master of Zen---with Hui-neng's Commentary on the Diamond Sutra*	American, layperson	Shambhala Publications, USA	1998
Cheng Kuan	*The Dharmic Treasure Altar-Sutra of the Sixth Patriarch*	Chinese, Buddhist	Neo-Carefree Garden Buddhist Canon Translation Institute, Taipei	2011 (second edition)

The *Platform Sutra* has been translated into English many times (Yifa, 2012), and four of these have been selected as the data of analysis in this thesis. These four translations are presented in Table 1.1. The criteria for selecting these four translations are as follows. Firstly, they are all based on the same version of the *Platform Sutra*. That is, they share the same source text and are, therefore, comparable with one another. Secondly, there is heterogeneity in terms of translator's cultural and religious identity, publishing time and agency, and intended readership, among the four translations.

[1] Available online at http://21dzk.l.u-tokyo.ac.jp/SAT/ddb-bdk-sat2.php?lang=en.

The four translations selected in this study are all based on the Zongbao, or orthodox version (Schlütter, 2012, p. 18) of the *Platform Sutra*, although a clear statement of this is only found in Cleary's translation (Cleary, 1998b, p. 4). In his preface, Wong (1930b) states that his translation is based on Nanjio's Catalogue No. 1525 and Dr. Ding Fubao's annotated edition, both of which refer to the orthodox version (Chao, 2012; Nanjio, 1883, p. 337). Although no information concerning the source text is found in translations by Heng and Cheng, studies demonstrate that they are also based on the same version. Lin, Tsai and Lin (2004, p. 40) and Bielefeldt and Langcaster (1975, p. 204) mention that Heng's translation takes Zongbao version as its source, and Low's interview (2010, p. 97) with Cheng tells us that the source text of Cheng's translation is the same popular version, which is available on the website of the Maha-Vairocana Temple[1]. Later studies by Yifa (2012), Chu (2015), and Chang and Zhao (2016) also point out that these four translations are based on the same version of the *Platform Sutra*. This conclusion is further confirmed through careful reading and comparison of the four translations by the present author.

Although based on the same source text, these four translations are distinct from each other in various aspects. In terms of translator's cultural identity, both Wong and Cheng are Chinese, and Heng (originally named Loni Baur) and Cleary are from the U.S. However, in terms of religious background, Wong and Cleary are lay people, while Heng and Cheng are ordained Buddhists. In terms of publishing time, the translation by Wong was published in 1930, that by Heng in 1977, that by Cleary in1998, and that by Cheng in 2011, with about an eighty-year time span between the first and the last translations. In terms of publishing agency, while translations by Wong, Heng and Cheng were published by institutions affiliated to Buddhist associations, the translation by Cleary was published by an independent commercial publisher, Shambhala Publications. In terms of the intended readership, translations by Wong and Cleary were mainly for the general public, whereas translations by Heng and Cheng were more targeted at Buddhist learners and practitioners. Given this heterogeneity, an interesting question is what different lexicogrammatical choices

[1] The Maha-Vairocana Temple http://www.abtemple.org/index.php?route=jstp/jstp&jstp_type_id=1.

have been made in the process of translation and what kinds of images of the same Chan master have been recreated in these translations.

It should be noted that, as the present work is a thesis by publication, exact parts of the translated texts to be analysed in each article (Chapters 3 to 9) will be slightly different according to the particular focus of the article. For instance, whole translated texts will be analysed in investigating the choices of personal pronouns and verbs of saying; while only five chapters will be selected in the analysis of MOOD and MODALITY; and only the story of Huineng will be analysed from the perspective of the three metafunctions, in Chapter 3.

To a certain degree, the decision to involve more or less data also depends on the particular methodology adopted in each article, which will be introduced in the following section.

1.4.2 Methodology

As this is a thesis by publication, the methods adopted in the thesis very much depend on the particular focus of each article: analyses in this thesis will be conducted automatically, semi-automatically, or manually. Manual analyses are conducted mainly in Excel (Chapters 3 and 4). For automatic and semi-automatic analyses, analytical tools of SysConc, SysFan and Wmatrix are adopted (Chapters 5, 6, 7, 8 and 9). In this section, an introduction to the analytical tools will be provided.

SysConc (see Figure 1.4) and SysFan are both developed by Wu (2000, 2009), and are especially designed for use in systemic functional research. SysConc focuses on the lexical level, and is powerful in investigating word frequencies and associations. It can produce frequency lists, collocational patterns, and concordances (Figure 1.4). SysConc is distinct from other concordance tools in that a ‘feature’ (which is usually a system containing a limited number of choices) can be set up for the search of a set of lexical items, and the result is presented systemically.

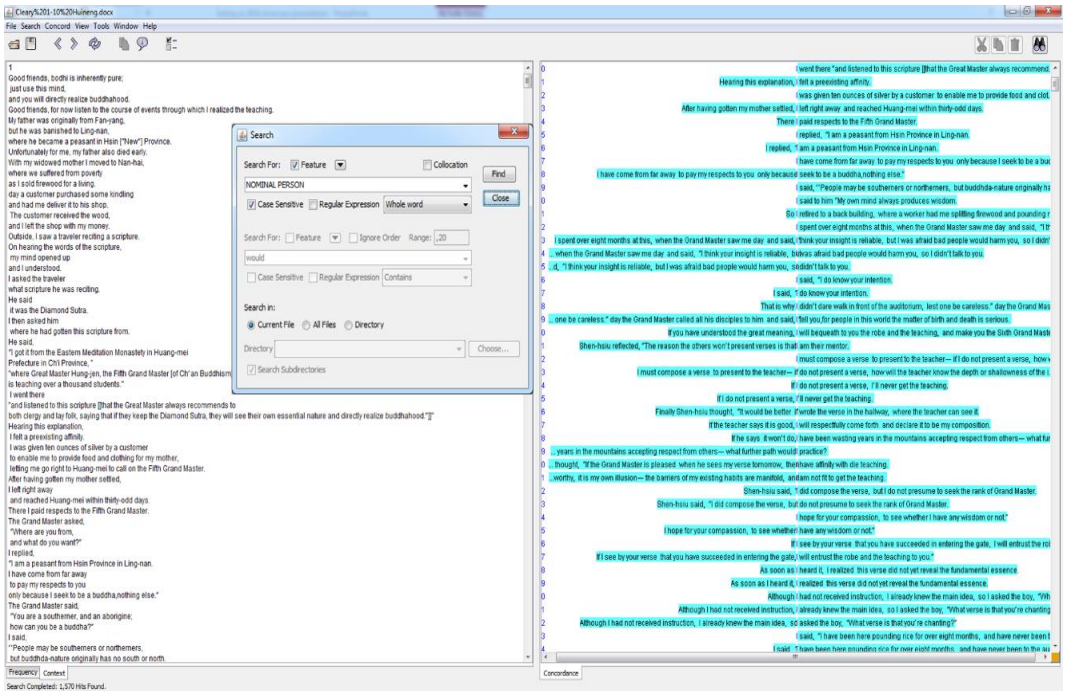

Figure 1.4 An overview of SysConc

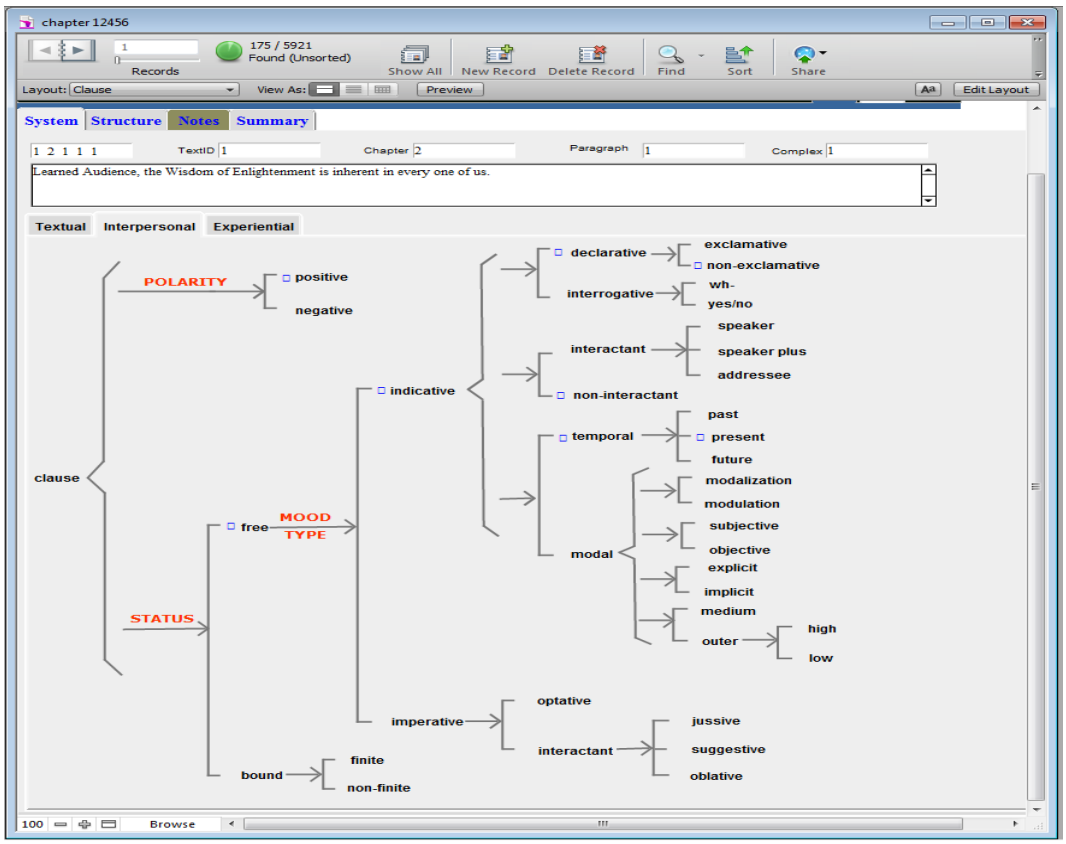

Figure 1.5 An overview of SysFan

SysFan is powerful in conducting analysis at the clausal level, in terms of the ideational, interpersonal and textual metafunctions (see Figure 1.5). In contrast to SysConc, where

whole texts can be immediately imported and analysed, SysFan requires pre-division of the text into clause complexes and clauses, and the analysis can only be done clause by clause with choices from the system made for each clause. Both SysConc and SysFan have been successfully adopted in previous studies (e.g. Herke-Couchman, 2006; Herke-Couchman & Wu, 2004; Lukin, 2015; Wu & Fang, 2006).

It should be recognised that sometimes modification will be necessary when applying SysConc and SysFan to the analyses in the present thesis, depending on the particular problem to be handled in each chapter. For instance, the feature of 'nominal person', together with its sub-features, has to be set up in SysConc in order to get a clear and complete picture of the use of personal pronouns for each translated text (cf. Chapter 5 of the thesis). More delicate choices would need to be added to the system of MODALITY with the aim to get sufficient information, and the original script may need to be rewritten to make it possible to analyse bound clauses as well as free clauses (cf. Chapter 6 of the thesis).

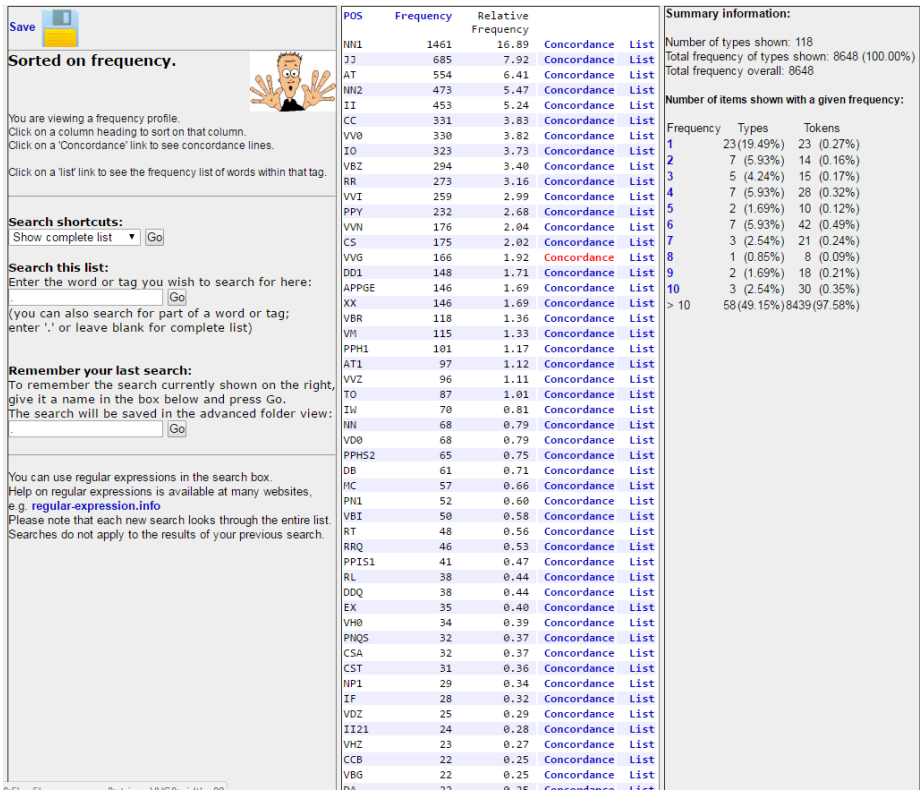

Figure 1.6 An overview of Wmatrix

Wmatrix, developed by Rayson (2003), is an online corpus analysis and comparison tool[1]. Wmatrix is able to tag words according to the UCREL CLAWST tagset, which consists of 137 tags for various parts of speech. The frequency, concordance and list of each part of speech can be obtained automatically after the tagging (see Figure 1.6).

Adoption of these analytical tools will facilitate the quantitative analysis of the data. However, the results obtained from all the quantitative analyses will only be meaningful in combination with qualitative methods, i.e. with concrete textual examples provided and analysis results interpreted. Therefore, an overall characteristic of the methodology adopted in this thesis is a combination of quantitative and qualitative analyses, where both analyses at the micro level and contextual interpretation at the macro level are conducted and related.

Finally, as has been pointed out above, this study is mainly descriptive in nature. That is to say, priority will be given to describing what is present in the translated texts and interpreting the potential contextual constraints. No effort will be made to evaluate the quality of the translated texts or the propriety of the translating strategies. Moreover, the target-orientedness from a theoretical point of view, and the severe difficulty in analysing the source text (which does not even have punctuation) in practice, make it necessary to focus on the analysis of the translated texts only, with the source text being referred to whenever examples are provided.

1.5 Thesis structure

The thesis is made up of: an introduction (Chapter 1); a literature review of the translation of Chinese Buddhist texts in the West, the figure Huineng, and the *Platform Sutra* (Chapter 2); seven published or submitted articles (Chapters 3 to 9); and a conclusion to the whole thesis (Chapter 10). An overview of the analytical part of the thesis is provided in Table 1.2.

[1] Available at http://ucrel.lancs.ac.uk/wmatrix/.

Table 1.2 Structure of the thesis

Chapter 1	Introduction	
Chapter 2	Literature review	
Chapter 3	A story & Huineng's image	Tri-metafunctional
Chapter 4	Verbs of saying & Huineng's image	Ideational metafunction
Chapter 5	Personal pronouns & Huineng's image	Interpersonal metafunction
Chapter 6	MOOD and MODALITY & Huineng's image	
Chapter 7	Huineng's image on book covers and in verbal texts	
Chapter 8	Huineng's image in the paratext	
Chapter 9	Text complexity & Huineng's image	Textual metafunction
Chapter 10	Conclusion	

Chapter 1 presents an introduction to the thesis. It provides a background for the whole study by discussing the key concept of 'image', the rationale of the research, and research aim and questions. It also describes the data to be analysed in the thesis, and the overall methodology to be adopted, as well as an overview of the thesis.

Chapter 2 is devoted to providing readers with information concerning the translation of Chinese Buddhist texts in the West, the Chan master Huineng, and the source text, the *Platform Sutra*. This information is considered crucial to an understanding of the motivation and significance of the present study. It is pointed out that translation of Chinese Buddhist texts into Western languages is a relatively new phenomenon and is underexplored up to the present time. As for the Chan master Huineng, although he is seemingly a well-known and widely beloved figure, there is no solid historical record about him: his existence depends completely upon words, especially words in the text entitled the *Platform Sutra*. The *Platform Sutra* is a composite text made up of different layers, loosely connected in ideas but strictly centred on the person Huineng. Purported to be the sole record of Huineng's public sermons and conversations, the *Platform Sutra* has been translated into English seventeen times by different translators up to now. This large amount of existing translations, however, is in sharp contrast to the lack of systematic and comprehensive research from the perspective of translation studies.

Chapters 3 to 9 form the main body of the thesis, in the form of seven independent articles published in or submitted to international peer-reviewed journals in the field of translation studies, functional linguistics and social semiotics. Analyses in these seven articles cover all the three metafunctions, ideational, interpersonal and textual, relating to and complementing each other by focusing on the central concept of the 'image of Huineng'. A section of Preamble is introduced in Chapters 3 to 9 with the purpose of linking different chapters.

Chapter 3 is an analysis of the story of Huineng, which is at the beginning of the *Platform Sutra*. It provides a context for all the following chapters in the present thesis. In this chapter, translations of the story of Huineng are analysed from the ideational, interpersonal and textual perspectives, with foci on the systems of TRANSITIVITY, terms of reference, and THEME. Choices in these systems contribute to establishing an image of Huineng by depicting what he does, how he interacts with others, and how his own story is told for the audience. It has been found that each translation contains shifts from the source text in at least one aspect. Consequently, different images of the Chan master are established in the translations.

Chapter 4 focuses on the use of verbs of saying in each translation, and is thus within the ideational metafunction. The aim is to investigate how each translation presents Huineng as speaking in a certain way. Findings demonstrate that, while a tendency to increase the variety of saying verbs is exhibited in translations by the two Chinese translators (Wong and Cheng) in comparison with the American translators (Heng and Cleary), Wong and Cheng differ in their choice of saying verbs, and different images of Huineng are thereby recreated. Verbs of saying such as *reply* and *exclaim* in Wong's translation help to present Huineng as friendly, whilst verbs such as *demand* and *pronounce* in Cheng's translation contribute to presenting Huineng as authoritative and detached.

Chapters 5 to 8 are all studies from an interpersonal perspective. Chapter 5 focuses on the role of personal pronouns in recreating different images of Huineng in the translations. By analysing choices within the system of NOMINAL PERSON in each translated text in SysConc, the chapter finds that each translation tends to prefer different personal pronouns, which were left implicit in the source text. The use of inclusive *we* and second-person pronoun *you* present Huineng as both friendly and

authoritative in Wong's translation. The tendency to avoid using personal pronouns makes Huineng detached from his audience in Heng's translation. The combination of second person *you* and first-person pronoun *I* in Cleary's translation presents a more flexible image of Huineng: friendly and aloof, close and distant, at the same time. The preference to generic *one* as personal reference in Cheng's translation depicts Huineng as an elegant truth transmitter, who pays more attention to the knowledge being transmitted than to his audience.

Chapter 6 investigates the functions of MOOD and MODALITY in recreating a certain image of Huineng in the process of translation. Adopting the analytical tool of SysFan, this chapter investigates the choice of mood types and values of modality (low, medium and high) in making statements and issuing commands. It is found that, in making statements, Huineng uses more high-valued modality in the translations by Heng and Cleary than in those by Wong and Cheng; and that, in issuing commands, Huineng uses more imperative clauses in translations by Heng and Cleary than in those by Wong and Cheng. Consequently, two types of image are recreated for Huineng: authoritative and powerful in the former two translations; and friendly and polite in the latter two translations.

Chapter 7 is a case study that focuses on the picture-text congruence in presenting a consistent image of Huineng in two translations published by Shambhala Publications (Cleary, 1998a; Wong, 2005). It mainly investigates the interpersonal/interactive meanings by adopting SFL and visual social semiotics (Kress & van Leeuwen, 2006) as analytical frameworks. Results show that the visual techniques employed to depict Huineng on the book covers are consistent with the verbal choices adopted to present Huineng in the translated texts. While the medium to close shot and eye-level angle complement the choice of speaker-plus *we* as dominant interactive subject person and qualified statements and polite suggestions/commands in Wong's translation, the very long shot matches the use of speaker *I* and addressee *you* and categorical statements and direct commands in Cleary's translation. In this way, a consistent image of Huineng is presented in each translation: friendly and willing to be close to the viewer/audience in Wong's translation, but authoritative and distant in Cleary's translation.

Chapter 8 is another case study, which analyses attitude in Master Hsuan Hua's commentary, which is part of the paratext of Heng's translation of the *Platform Sutra*. The analysis adopts Martin and White's (2005) Appraisal framework and is qualitative in nature. It is found that, in the commentary, positive and negative judgements are utilised to depict Huineng, the protagonist of the sutra, as a hero, and negative judgements are imposed upon many other characters, who are evaluated as bad and greedy. These paratextual attitudes contribute to recreating a heroic image of Huineng, while villainizing the other characters, especially Shenxiu, in the *Platform Sutra*.

Chapter 9 focuses on text complexity, i.e. grammatical intricacy and lexical density (Halliday, 1989, 1994, 2009), of each translation of the *Platform Sutra*, and is therefore within the textual metafunction. The analytical tools of SysFan and Wmatrix are adopted in the study; and results show that a certain language style of Huineng is exhibited in each translation through different degrees of grammatical intricacy and lexical density. When communicating with others, Huineng uses relatively complex sentences but simple words in Cleary's translation; and he uses simple sentences but complicated words in the translation by Wong. Both Huineng's sentences and words are simple in Heng's translation; and both are complex in Cheng's translation. As language style can be seen as a reflection of the personality of the speaker, it follows that different images of Huineng are recreated in the translations. Simplicity in lexical choices creates a less formal situation, where Huineng seems to be more accessible, and simplicity in grammar can be seen as an effort on the part of Huineng to present his ideas in a way that is easier for his audience to follow. The image of Huineng who uses complex sentences full of unheard-of words is conversely authoritative, only meant to be revered but not approached by the hearer/reader.

The final chapter, Chapter 10, presents a conclusion to the entire thesis. It firstly provides an overview of the overall image of Huineng recreated in each translation on the basis of the results obtained from Chapters 3 to 9, which answers the first research question put forward in the introduction chapter. Then, the context of each translation in terms of Field, Tenor and Mode is discussed, with the aim to answer the second research question. Implications of the present study for translation studies, SFL, and future research are also discussed in this chapter, before final concluding remarks are stated.

It should be noted that, as this is a thesis by publication, some repetition is inevitable between the chapters, especially in the data introduction section in Chapters 3 to 9. Readers are encouraged to see each chapter as relatively independent (as they actually are).

The next chapter of the thesis, Chapter 2, will focus on reviewing relevant literature on the translation of Chinese Buddhist texts in the West, the figure Huineng, and the structure and main ideas, translating history, and studies of the *Platform Sutra*.

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2 Translation of Chinese Buddhist texts, Huineng, and the *Platform Sutra*

2.1 Introduction

This chapter presents a literature review concerning the translation of Chinese Buddhist texts in the West, the person Huineng, and the text entitled *Platform Sutra*. All of these are considered important in providing a background for the analytical chapters in the thesis. The chapter will first provide a review on the history of translating Buddhist texts from Chinese into Western languages. Then it will give an account of Huineng, an influential but historically obscure figure. It is pointed out that there was no solid record of Huineng prior to the appearance of the *Platform Sutra*, which is now still the primary source of information about the Chan master. Following this there will be an introduction to the *Platform Sutra*, its structure and main ideas, and the translation of the text into English. In a review of studies on the translation of the *Platform Sutra* into English, it is pointed out that, compared with the amount of translations, studies on these translations are limited in number and unsystematic.

The fact that Buddhist texts do not get much attention from scholars in the field of translation studies, the importance of Huineng and the *Platform Sutra* in the history of Buddhism, and in particular the limited number of studies on the translation of the *Platform Sutra* into English, are the main motivations for the present study.

2.2 Translation of Chinese Buddhist texts in the West

This section presents a review of the history of translating Chinese Buddhist texts into Western languages, especially English. Although starting relatively late (19th century), translation and studies of Chinese Buddhists in the West, as well as efforts on the part of scholars from East Asia, have paved the way through which Chinese Buddhism became increasingly known to the general public in the West. An understanding of this background helps bring our attention to this usually neglected topic and the significance of the present study, since Chan Buddhism has been the most prominent

and representative school of Chinese Buddhism (and Eat Asian Buddhism as a whole), ever since the Tang dynasty (618-907).

Chinese Buddhism (or Han Chinese Buddhism, 漢傳佛教, hàn chuán fó jiào) generally belongs to the Mahayana (Great Vehicle) tradition, which is to be distinguished from the Hinayana (Small Vehicle) tradition of Buddhism popular in Southeast Asia. After being imported from India around the beginning of the Christian Era, Buddhism in China was gradually domesticated under the influence of native Taoism and Chinese folk religion, and finally became a religion with its own unique characteristics (Chan, 1969; S. Guo & Sheng, 1993; Wright, 1959). For more than two thousand years, Buddhism has shaped Chinese culture in a variety of ways; and Chinese Buddhism has played a prominent role in Buddhist history by exerting influence on regions within the Chinese culture sphere. In the process of domestication (or Hanization) and development of Buddhism in China, composition of Buddhist texts by eminent Chinese Buddhist masters, as well as translation of Buddhist texts from Sanskrit and Pali in the early period, represented the culmination of cultural exchanges and produced invaluable treasures for later generations.

Although translation of Chinese Buddhist texts into other Asian languages has been a common practice in history, the value of these texts was not recognized by Western scholars until the 19th century. In the following, the translating history of Chinese Buddhist texts into Western languages will be discussed in terms of four stages: initial interest (early 19th century), beginning (late 19th century), development (20th century), and continuous growth (21st century) along a temporal line.

The first to pay attention to Buddhist texts written by Chinese masters were French sinologists. For example, Jean Pierre Abel Rémusat translated Fa Xian's *Fo Guo Ji* (*佛國記*), and the translation was published under the title *Relation des royaumes bouddhiques de Fahien* posthumously in 1836; another French sinologist Stanislas Julien published his translations of *Ci En Zhuan* (*慈恩傳*) in 1853 and *Da Tang Xi Yu Ji* (*大唐西域記*) in 1858. These activities, however, only represented individual interest, and failed to attract much attention from either the academic or public circles.

From the second half of the 19th century, development of comparative religion and sinology in the West and the practical need to understand better the Chinese culture

and religion on the part of the Christian missionaries contributed to the study and translation of Chinese Buddhist texts. A number of missionaries (or amateur sinologists) produced their translations of Chinese Buddhist texts, with Joseph Edkins, Ernest John Eitel, Samuel Beal, Timothy Richard and William Soothill being the most prominent (Li, 2007, 2009). Their translations, although being affected by insufficient knowledge of the source language and insistence on the superiority of Christianity over Buddhism, represented the beginning of scholarly studies on Chinese Buddhist texts and paved the way for Chinese Buddhism to enter the Western world.

In the 20th century, interest in Chinese Buddhism continued to grow, and the religion (especially Chan/Zen) began to be known outside the scholarly circle. Also at this stage, prominent figures from East Asia began to actively promote their religion in the Western world by communicating and collaborating with Western scholars. Chinese Buddhist master Taixu had his tour to Europe and the U.S. between 1928 and 1929, during which he delivered public speeches and met with scholars such as Bertrand Russell. Buddhist advocate Wong Mou-lam established the first English journal on Chinese Buddhism in Shanghai, and translated between Chinese and English, serving to promote the communication between Chinese and Westerners on Buddhism. The most prominent figure in this period, however, should be the Japanese scholar Daisetz Teitaro Suzuki, whose writings, speeches and translations contributed to bringing Mahayana Buddhism, especially Chan/Zen, to the general public, and arousing a zest for Chan/Zen in the West after WWII. Ever since then, the adoption of Chan/Zen ideas in the works by influential writers, the coming to the West of East Asian Buddhist masters (Fields, 1992) and establishment of Buddhist temples, associations, universities and Buddhist text translation societies, further helped to incorporate Buddhism to the life of ordinary people in the West.

At the present time, the interest in Chinese Buddhism continues, and translation of Chinese Buddhist texts is becoming an organized institutional activity apart from efforts by individual scholars and translators. Large Buddhist temples or associations established by masters of East Asian origin usually have their own translating and publishing organizations, consisting of people familiar with both the source and target languages (such as the Buddhist Text Translation Society, Fo Guang Shan International Translation Centre, and Neo-Carefree Garden Buddhist Canon

Translation Institute[1]). At the same time, interest in Buddhism as part of Chinese culture and wisdom is increasing with the economic development and political influence of the country, which also promotes the introduction and translations of many texts. As a result, more and more Chinese Buddhist texts are being translated into Western languages.

The continuous efforts made by scholars in the West and East have resulted in an abundance of Chinese Buddhist texts in Western languages. For example, in one of the free online databases, *Bibliography of Translations from the Chinese Buddhist Canon into Western Languages*[2], the user can browse over 1,057 translations of 506 Chinese Buddhist texts into English, French, German, Russian, and Italian, and so on. However, while recognizing the achievements made so far, we still have to admit that, compared with the active ongoing translating practice, theoretical study on this topic is still lagging far behind. With the intention to address this shortage, the present study aims to focus on the translation of the *Platform Sutra*, one of the most important and representative of Chinese Buddhist texts. As the *Platform Sutra* is a collection of the words spoken by the Chan master Huineng, an introduction to this figure will first be presented in the following.

2.3 The Chan master Huineng

Huineng[3] (638-713) was the Sixth Patriarch of Chan Buddhism, who lived in the Tang dynasty, China. He was born into a family that was banished from the centre of the empire to the remote South after his father lost his official position. At the time of Huineng's birth, there were said to be beams of light and a strange fragrance filling the room. Two mysterious monks visited the father and gave the newborn baby the

[1] Buddhist Text Translation Society http://www.bttsonline.org/;
Fo Guang Shan International Translation Centre http://www.fgsitc.org/;
Neo-Carefree Garden Buddhist Canon Translation Institute http://www.abtemple.org/index.php?route=information/information&information_id=9&store=2.

[2] Available at http://mbingenheimer.net/tools/bibls/transbibl.html.

[3] The name 'Huineng' is spelt differently by different people. It is 'Wei-lang' in the Chinese Southern dialect, and 'Yeno' in Japanese. It is also spelt as 'Hui Neng' or 'Hui-neng'. 'Huineng' is used in the thesis as it conforms to the modern pinyin system in spelling Chinese names. The same principle also applies to other proper names in the thesis.

name Huì (惠) Néng (能), with 'Huì' meaning to bestow beneficence on all sentient beings, and 'Néng' meaning to have the capacity to carry out the tasks of a Buddha.

Huineng's father died early, leaving the family destitute. Young Huineng supported his mother by cutting and selling firewood. At the age of 24, he happened to hear a man reciting verses from the *Diamond Sutra* (a popular Buddhist canon), and was immediately enlightened. He then went to Huangmei Mountain in the North to study under the Fifth Patriarch, who at first sent Huineng to do manual work, but finally transmitted the Dharma to Huineng in secrecy as recognition of his sudden and complete enlightenment. After getting the Dharma, Huineng was forced to hide among a group of hunters for many years in order to avoid the persecution of some jealous fellow students. Then he met and was recognised by the Buddhist master Yinzong, who admired Huineng's ideas very much. Later, Huineng went to the South and dwelled in a monastery. The local officials, literati and ordinary people all gathered together to request his teachings. Therefore, Huineng delivered several public sermons to them by sitting on a platform (thus the title *Platform Sutra*). Declining an imperial invitation to go to the capital in the North, Huineng spent more than forty years spreading the ideas of Chan Buddhism in the South. Huineng died in the year 713 at the age of 76. At the time of his death, it was said that a peculiar fragrance pervaded the room, a lunar rainbow appeared, trees turned white, and birds and beasts cried mournfully. Tablets were erected at the order of the emperor and empress, as a record of Huineng's life and great contribution.

Huineng's life was full of trials and tribulations. His father died when he was very young, the family was extremely poor, and he was forced to do years of hard labour. His illiteracy and low social status were ridiculed by many. However, his perseverance, tolerance, confidence and belief helped him overcome all difficulties and become the highly respected Sixth Patriarch. Huineng is considered a Chan master of the ordinary people, and the embodiment of his own teachings. He is regarded as a model for all human beings, who should emulate him to see their own self-nature, to be enlightened and become a Buddha by themselves.

These details above are all what the general public believed to be the story of Huineng for hundreds of years in China, Japan, Korea and Vietnam, and are still what they know about the Chan master named Huineng (for a detailed account of the story of Huineng,

please consult Section 3.2 of Chapter 3 in this thesis). With the discovery of some ancient literature from the Dunhuang cave at the beginning of the 20th century and the publication of works by researchers such as Hu Shih (1953), however, the authenticity of Huineng's story began to be called into question, and the identity of the person Huineng has since been the topic of hot debates.

According to Yampolsky (1967, p. 18), the name of Huineng was first mentioned in a text entitled *Lengjia Shizi Ji* (楞伽師資記), written by Jingjue (淨覺, 708), who was a student of Xuanze (玄賾), who was in turn a student of the Fifth Patriarch, the teacher of Huineng. In this text, Jingjue listed the names of the ten disciples of the Fifth Patriarch, and Huineng was one of them[1].Three decades later, Shenhui, who claimed to be a student of Huineng, produced a primitive form of the story of Huineng (Hu, 1968) in his attack on Puji (普寂), the heir of Shenxiu (神秀, a student of the Fifth Patriarch). According to Shenhui, Shenxiu, although enjoying great fame during his lifetime, actually lost the heir-selecting verse competition to Huineng, who was the real inheritor of the Dharma from the Fifth Patriarch and the authentic Sixth Patriarch. Shenhui provided exact times and places for the activities of Huineng in his story, which was later adopted, revised, and enriched in many texts (such as *Jingde Chuandeng Lu* 景德傳燈錄, *Lidai Fabao Ji* 曆代法寶記, *Caoxi Dashi Biezhuan* 曹溪大師別傳, and Wang Wei and Liu Yuxi's inscriptions) and different versions of the *Platform Sutra*. Therefore, it can be said that the story of Huineng "grows from a single mention in a single text to an elaborate biography, filled with details and dates, seeming facts and patent legends" (Yampolsky, 1967, p. 59), and is thus the fabrication of later generations (Yampolsky, 2011, p. 130). The same opinion is held by researchers such as McRae (1986, 2000), Vladimir (2005), Schlütter (2007) and Jorgensen (2005, 2012).

But does this matter? As pointed out by Welter, "historical obscurity often serves as a prerequisite for posthumous claims regarding sectarian identity" (n.d.). Moreover, even if the story of Huineng is the result of fabrication (which is now only a hypothesis), this "does not diminish the soteriological function of the story nor of the *Platform Sutra*" (McRae, 1986, p. 10). As has been pointed out by Aitken, "[s]cholars

[1] Jingjue stated that the name list was quoted from a text entitled *Lengjia Renfa Zhi* by Xuanze. But this text has been lost in history.

seek historical facts, Zen students seek religious themes… [for] resolving life-and-death questions," (2016, p. 151). The person Huineng is still regarded by people in East Asia as the real founder of Chan Buddhism (Suzuki, 1972). He is the protagonist of not only the *Platform Sutra* but also numerous paintings (such as the paintings by Liang Kai, see Leidy, 2008), movies and videos[1] and even a play written by a Nobel laureate in literature (Gao, 2004), and is "assuredly one of the [most] superlative geniuses that China has ever produced" (Wu, 2003, p. 51). He "belongs to the company of Lao Tzu and Confucius" (ibid).

2.4 The *Platform Sutra*, its structure and translation

As the only record of Huineng's spoken words, the *Platform Sutra* has witnessed many revisions, and is highly regarded by students of Chan Buddhism as well as literati. In this section, a brief discussion on the importance and evolution of the *Platform Sutra* will first be provided. This will be followed by a presentation of the structure and main ideas of the Zongbao version of the text. Finally, there will be a review on the translating history and available translations of the *Platform Sutra*.

2.4.1 The Platform Sutra

Being illiterate himself, Huineng did not write a single word: he spent most of his life delivering oral teachings. His public sermons and conversations with disciples were collected and written down by a student called Fahai in a text entitled *Platform Sutra* (or *The Sixth Patriarch's Dharma Jewel Platform Sutra* 六祖大師法寶壇經 in whole), which was to be read and recited by later generations.

The title, *Platform Sutra* (壇經), exhibits by itself the importance and uniqueness of the text, which is apparent to anyone familiar with Buddhism. The word 'platform' (壇) comes from the fact that Huineng was sitting on a high-raised platform while delivering public teachings. The word 'sutra' (經) comes from Sanskrit "सूत्र" (sūtra), which means 'string, thread'. 'सूत्र' was used by early Buddhists to refer to texts recording the words spoken by the Buddha, as the texts were considered like threads

[1] https://www.youtube.com/results?search_query=Huineng.

that string the ideas together. The Chinese character 經 (jīng) refers to vertical lines in fabric and bears the meaning of 'constancy'. Therefore, apart from the connotation of being considered sacred, the belief that 'truth can last forever' is also reflected through the use of the word 經 (jīng) (Fang, 2015, pp. 4-5).

The *Platform Sutra* is the only Buddhist text that is not spoken by the Buddha himself but bears the title 'sutra'. As pointed out by the Buddhist master Hsing Yun,

> One way the *Platform Sutra* is unique is that it is the only Buddhist text not attributed to the Buddha which is elevated to the title of 'sutra'. It is also the only sutra written and conceived of entirely as a Chinese text rather than as a Sanskrit translation (Hsing, 2010a, p. xi).

Like many classical Chinese texts, the *Platform Sutra* is known in different versions, which evolved across the many dynasties in China. Efforts have been made by scholars (such as Schlütter, 1989) to identify the nuances between existing copies, and to trace the evolution of the text. Most of the earlier versions, however, were lost in the ups and downs of history. The existing versions of the *Platform Sutra* include the Dunhuang version (which was discovered in 1923), the Dunbo version (which was discovered in 1986) and the Zongbao version (produced in 1291). In contrast to the Dunhuang and Dunbo versions that were discovered in the 20th century (and thus contain occasional errors and omissions), the Zongbao version was included in the Ming dynasty edition of the Buddhist Canon (明正藏) soon after it was compiled, and has thus been kept intact until today. For hundreds of years, the Zongbao version of the *Platform Sutra* was the only text read by monks and literati in East Asia, and this version was considered the orthodox, or canonical version (Schlütter, 2012, p. 18). The Zongbao version also serves as the source text of the four English translations studied in the present thesis. For this reason, the Zongbao version is referred to in the following discussion of the structure and main ideas of the *Platform Sutra*. Other versions relevant to the study will be mentioned wherever necessary.

2.4.2 Structure and main ideas of the *Platform Sutra*

The *Platform Sutra* is "a composite text, combining what purports to be an autobiography with sermons, interviews with students, and deathbed instructions" (Jorgensen, 2012, p. 25). There are ten chapters (品 pǐn) in the orthodox version of the sutra. The titles of these ten chapters are listed in Table 2.1.

It can be seen from Table 2.1 that all the titles in the source text contain four characters, with the last two denoting the order of the chapter in the whole book, and the first two indicating the topic of the chapter. This kind of conciseness and symmetry is nevertheless almost impossible to retain in the target language, as is illustrated through the translation by Wong Mou-lam, although Wong's translation was considered as possessing a literary flavour (Bielefeldt & Lancaster, 1975).

Table 2.1 Titles in the source text and Wong's translation

no.	title (Source text)	title (Wong's translation)
1	行由第一 (Xíng Yóu Dì Yī)	Autobiography
2	般若第二 (Bō Rě Dì Èr)	On Prajna
3	疑問第三 (Yí Wèn Dì Sān)	Questions and Answers
4	定慧第四 (Dìng Huì Dì Sì)	Samadhi and Prajan
5	坐禪第五 (Zuò Chán Dì Wǔ)	Dhyana
6	懺悔第六 (Chàn Huǐ Dì Liù)	On Repentance
7	機緣第七 (Jī Yuán Dì Qī)	Dialogues of the Patriarch
8	頓漸第八 (Dùn Jiàn Dì Bā)	The Sudden School and the Gradual School
9	宣詔第九 (Xuān Zhào Dì Jiǔ)	Royal Patronage
10	付囑第十 (Fù Zh Dì Shí)	His Final Instructions

The content of each chapter will be briefly discussed in the following.

The first chapter is presented as the first sermon Huineng delivered to a large audience at the request of several government officials. It is noteworthy that the sermon, which serves as the beginning of a series of public teachings and the whole book, is not about any particular theme or important idea of Chan Buddhism. Rather, it is a story, Huineng's own story, told in front of an audience made up of government officials, Confucians, Taoists and the general public. In this autobiographical story, Huineng told the audience how he grew from an illiterate woodcutter in the remote South of China into the revered Sixth Patriarch now sitting at the high platform. Of course, he went through many difficulties, but his perseverance and strong belief in self-enlightenment eventually helped him to obtain the Dharma and be recognised as the successor to the Fifth Patriarch. This very first chapter of the *Platform Sutra* thus

presents readers with a Chan master who is distinct from all the previous Buddhist masters. He is so honest about his own humble origin and illiteracy: he is one of the mass, not the elite; he himself embodies what he preaches (everyone has Buddha nature and can become a Buddha), and is an encouragement for all.

Chapter Two is a sermon delivered on the next day after Huineng told his own story to the audience, and is generally considered as containing the most important ideas of Chan Buddhism. In this chapter, Huineng explains the term 'Mahaprajnaparamita', by describing 'Maha', 'Prajna' and 'Paramita' one by one, with 'Prajna' being the key. According to Hueing, 'Prajna', or 'wisdom', is inherent in everyone and cannot be obtained from outside. As soon as one realises this, one will get enlightenment. The only difference between human beings and Buddhas lies in such an enlightenment, since "as long as they are not enlightened, [B]uddhas are human beings; the moment they are enlightened, human beings are [B]uddhas" (Cleary, 1998, p. 20).

Following the sermon given in Chapter Two, Chapter Three records a question-answer exchange between Huineng and the government official, Perfect Wei. The discussion starts from a famous story of Bodhidharma and Emperor Wu. After spending a lot of time and money building temples, supporting the monks and helping the poor, Emperor Wu was confident that he would get merits from all these good deeds. This thinking, however, was refuted by Bodhidharma, who asserted that no merit could be earned through exterior activities. The reason, according to Huineng, was that real merits are to be found from the inside, not the outside. Then Perfect Wei asked about the popular practice of reciting the name of Amitabha, and wanted to know whether the name reciting could really enable one to be reborn in the pure land of the West. This was again negated by Huineng, who explained that reciting the name Amitabha and praying to be reborn in the West was the practice of the ignorant. As for wise people, they know that, as far as their mind was free from evil, the East would be the same as the West. Finally, Huineng expressed the idea that it was unnecessary that everyone should abandon home and practice Buddhism in a monastery. Buddhism could be practiced at home as well. Moreover, "[t]hose who train themselves at home may be likened to a native of the East who is kind-hearted, while those who stay in monasteries but neglect their work differ not from a native of the West who is evil in heart" (Wong, 1930, p. 22).

Chapter Four is a collection of several sermons on the same topics: meditation (Samadhi) and wisdom (Prajna). The basic idea is that meditation and wisdom are inseparably united and not two distinct entities. Meditation is the quintessence of wisdom, and wisdom is the function of meditation. This relationship can be compared to that of a lamp and light: "[i]f there is a lamp, there is light; without a lamp, there is darkness. The lamp is the body of the light, and the light is the function of the lamp" (Cleary, 1998, p. 31).

Chapter Five is also a collection of two sermons on the same topic of practicing meditation. In contrast to other schools that consider meditation a physical activity of keeping the body still in sitting, Chan Buddhism emphasises that sitting and meditation both depend on the inner mind, as "to sit means to gain absolute freedom and to be mentally unperturbed in all outward circumstances, be they good or otherwise; to meditate means to realize inwardly the imperturbation of the Essence of Mind" (Wong, 1930, p. 27). Those who sit there still but have various thoughts in the mind are considered not to be practicing meditation.

Chapter Six records a ritual where Huineng explained the five-fold Dharma incenses of the essence of mind, and led his audience to perform the 'formless' repentance. The five-fold incenses, or perfumes, include the incense of morality (no error in the mind), the incense of stability (seeing things without disturbance in the mind), the incense of wisdom (observing one's own nature with wisdom), the incense of liberation (no fixation on the exterior objects), and the incense of liberated knowledge (obtaining the true nature of enlightenment). The ritual of formless repentance is to repent all the past sins and evil deeds committed under delusion, ignorance, arrogance, dishonesty, jealousy, and so on, and more importantly, to make one refrain from committing sins in the future.

Unlike the previous chapters, which are all recorded public sermons, Chapter Seven is a collection of dialogues between Huineng and more than ten students who came for instruction. There is usually an introduction to the background of each dialogue, and the content of the conversation mainly focuses on the problem/question that the student has confronted in his study. As in most of the traditional records of teacher-student conversations, the student usually serves as the one who raises the question and the teacher is the one who spends a long time answering, explaining and persuading. Thus,

it is not surprising to find that, although claimed to be a record of conversations between Huineng and his students, Chapter Seven is still dominated by the words of Huineng.

Chapter Eight is on the two schools of Chan Buddhism, the Northern School and the Southern School, established by Shenxiu and Huineng, respectively. The Northern School emphasizes gradual practice, and the Southern School upholds sudden enlightenment. The chapter first records a story wherein one of Shenxiu's students, Zhicheng, went to the South to listen to Huineng's sermon with the intention to 'steal' the teachings. However, Zhicheng was immediately recognised by Huineng, who then had a conversation with him to help him see the difference between the Northern and Southern teachings. The next story recorded in the same chapter concerns a young man named Zhang Xingchang, who was hired by some jealous students of the Northern School to kill Huineng. Mysteriously, Huineng foresaw this assassination but released Zhang to escape. Zhang later became a Buddhist monk and revisited Huineng. They had a conversation, and Huineng explained the *Maha Parinirvana Sutra* to Zhang.

Chapter Nine records Huineng's declining of the imperial invitation to visit the capital, and his conversation with Xue Jian, the courier of the edict, in the year 705. Huineng corrected many of Xue's misunderstandings of Chan as a result of the influence of some heretic teachers in the capital. Xue reported all he learned from Huineng to the royal court, who highly commended Huineng and ordered the building of a new temple on the site of Huineng's old residence.

The final chapter, Chapter Ten, is a record of Huineng's final instructions to his disciples nearly one month before his death. Major topics cover the 'thirty-six pairs of opposites', the genealogy of Chan Buddhism since the Buddha, the preservation and transmission of the *Platform Sutra* as the orthodox teaching of Chan, and some after-death arrangements.

The above is a brief summary of the structure and main ideas of the *Platform Sutra*. It should be noted that, as a 'record of sayings', the text is mainly made up of spoken words, with the words spoken by Huineng taking up nearly 90% of the whole. In addition, as has been suggested, this summary is based on the Zongbao version of the *Platform Sutra*, which is included in the Ming dynasty Buddhist canons. There are differences among different versions, and some of the ideas contained in the *Platform*

Sutra are still under dispute. But these topics will not be discussed here as they are not part of the main concerns of the present study.

2.4.3 English translations of the *Platform Sutra*

As the only text that records the words spoken by Huineng, who spent nearly forty years preaching his ideas, the *Platform Sutra* occupies a special status in the history of Chan Buddhism (P. Guo, 2008, p. 29). With the huge influence of Chan Buddhism on the development of Buddhism in China, and on Chinese philosophy, art and literature, the *Platform Sutra* also becomes one of the essential readings for literati as well as Buddhists, not only in China but also in other countries in East Asia.

From the end of the 19th century, Western scholars began to display an interest in East Asian Buddhism, especially Chan Buddhism, which was further enhanced by the propagation of Chan/Zen on the part of Chinese and Japanese scholars (Foulk, 2007; Welch, 1968). According to Humphreys (1994), Chan formally came to the West in 1927, with the publication of Suzuki's first series of *Essays in Zen Buddhism*.

Up to now, the *Platform Sutra* has been translated into eleven languages, which include English, French, German, Spanish, Russian, Korean, Japanese, Sinhalese, Thai, Cambodian and Burmese[1]. The language that has the most translated versions of the book is, unsurprisingly, English. The history of translating the *Platform Sutra* into English, and the existing English versions, will be introduced in the following.

On the basis of previous studies (Bielefeldt & Lancaster, 1975; Chang & Zhao, 2016; Ko, 1996; Lin, Tsai, & Lin, 2004; Low, 2010; Yifa, 2012), Table 2.2 is presented here as a summary of all the English translations of the *Platform Sutra*.

In 1930, the first translation of the *Platform Sutra*, by Wong Mou-lam (1897-1936) was published in Shanghai. This translation was immediately imported by the London Buddhism Association in the U.K. (Humphreys, 1973; Ko, 1996) and incorporated into *A Buddhist Bible* by Dwight Goddard in the U.S. Ideas in Goddard's book soon became a spiritual source for the 'Beat Generation' writers such as Kerouac and Snyder (Aitken, 1996). It can be seen from Table 2.2 that Wong's translation was

[1] China Daily http://www.chinadaily.com.cn/interface/yidian/1120783/2016-01-20/cd_23166026.html.

frequently reprinted, with prefaces and sometimes (slight) revisions by the editors. This continual reprinting can be seen as a sign of the popularity of Wong's translation.

Table 2.2 English translations of the *Platform Sutra*

no.	translator (editor)	title	time	publisher	ST
1.	Wong, Mou-lam	*Sutra Spoken by the Sixth Patriarch, Wei Lang, on the High Seat of the Gem of Law*	1930	Yu Ching Press, Shanghai	Zongbao version
1a.	Wong, Mou-lam (Dwight Goddard)	*Sutra of the Sixth Patriarch,* in *A Buddhist Bible*	1932-2014[1]	Vermont Beacon Press, Boston (1st edition)	
1b.	Wong, Mou-lam (Christmas Humphreys)	*Sutra of Wei Lang (or Hui Neng)*	1944-1973	Hyperion Press, Inc., Connecticut	
		The Sutra of Hui-neng, in *The Diamond Sutra and The Sutra of Hui-neng*	1969 /1999 /2005	Shambhala Publications, Boston	
1c.	Wong, Mou-lam (Rev. Kong Ghee)	*Sutra Spoken by the Sixth Patriarch, Wei Lang, on the High Seat of the Treasure of the Law*	1957	Buddhist Book Distributor Press, Hong Kong	
1d.	Wong, Mou-lam (Huang Weichu, Gu Rongrui)	*The Sutra of Hui Neng*	1996	Hunan Publishing House	
2.	Suzuki, D. T.	*From Hui-neng's Tan Ching,* in *Manual of Zen Buddhism*	1935-2014	Eastern Buddhist Society	Dunhuang version
3.	Luk, Charles	*The Altar Sutra of the Sixth Patriarch: the Supreme Zen Sutra of Hui Neng*	1962	Samuel Weiser, Inc.	Zongbao version
4.	Chan, Wing-tsit	*The Platform Scripture: the Basic Classic of Zen Buddhism*	1963	St. John's University Press	Dunhuang version
5.	Fung, George D. & Fung, Paul F.	*The Sutra of the Sixth Patriarch on the Pristine Orthodox Dharma*	1964	Buddha's Universal Church, San Francisco	Zongbao version
6.	Yampolsky, Philip B.	*The Platform Sutra of the Sixth Patriarch: the Text of the Tun-huang Manuscript with Translation, Introduction and Notes*	1967	Columbia University Press, New York	Dunhuang version

[1] Many of the translations in the table have been published several times. As it is impossible to list all the reprints, only the years of the first and last publications are indicated in the table.

7.	Heng Yin	*The Sixth Patriarch's Dharma Jewel Platform Sutra*	1971-2001	Buddhist Text Translation Society	Zongbao version
8.	Yang, Weilian	*The Sixth Patriarch's Platform Sutra*	1983	Buddhist Dharma Wheel Lecture Hall, Taipei	Not known
9.	Cleary, Thomas	*The Sutra of Hui-neng: Grand Master of Zen*	1998/ 2014	Shambhala Publications, Boston	Zongbao version
10.	McRae, John R.	*The Platform Sutra of the Sixth Patriarch*	2000	Numata Centre for Buddhist Translation and Research, Berkeley	Zongbao version
11.	Lin, Tony; Kunchang Tsai and Josephine Lin	*The Mandala Sutra and Its English Translation: The New Dunhunag Museum Version Revised by Professor Yang Zengwen*	2004	Mantra Publisher, Taipei	Dunbo version
12.	Cheng Kuan	*The Dharmaic Treasure Altar Sutra of the Sixth Patriarch*	2005 /2011	Vairocana Publishing	Zongbao version
13.	Red Pine	*The Platform Sutra: the Zen Teaching of Hui-neng*	2006	Counterpoint , Berkeley	Dunbo version
14.	Ven. Hsing Yun	*The Rabbit's Horn: a Commentary on the Platform Sutra*	2010	Buddha's Light Publishing, Los Angeles	Zongbao version
15.	Jiang, Jiansong	*Tan Jing: the Sutra of Huineng*	2012	Hunan People's Publishing House, Changsha	Zongbao version
16.	Heng Sure & Martin Verhoeven	*The Sixth Patriarch's Dharma Jewel Platform Sutra*	2014	Buddhist Text Translation Society, California	Zongbao version
17.	Chu, Dongwei	*The Wisdom of Huineng, Chinese Buddhist Philosopher: the Platform Sutra and Other Translations*	2015	iUniverse, Bloomington	Zongbao version

In the year 1935, Japanese scholar Daisetz Teitaro Suzuki produced a partial translation of the Dunhuang version of the *Platform Sutra* in his *Manual of Zen Buddhism*. Although the translation is not complete, the status of Suzuki as one of the

earliest and most prominent figures in introducing Chan to the West, and the continuous reprinting and popularity of the *Manual*, to a certain degree add to the value of Suzuki's translation.

Due to the interruption of the WWII, it was not until the year 1962 that another Chinese scholar, Charles Luk from Hong Kong, produced the third translation of the *Platform Sutra*, under the title, *The Altar Sutra of the Sixth Patriarch*, which was included in his third volume of *Ch'an and Zen Teaching*. This translation, however, has been "attacked for being too free in interpretation and for containing glaring errors", according to Bielefeldt and Lancaster (1975, p. 205).

Only one year later, the well-known Chinese scholar, Wing-tsit Chan, published his translation of the Dunhuang version of the *Platform Sutra*. As Chan is himself best known for his studies and translations of Chinese philosophical texts, his translation is scholarly in nature, and pays much attention to the cultural background of the text (Yifa, 2012, p. 107).

Following Chan's translation, George D. Fung and Paul F. Fung published their translation of the *Platform Sutra* based on the Zongbao version, in the year 1964. Like Luk's translation, this translation by the two brothers was published only once, and did not have much influence in the West. It is even hard to get a copy of the translation now (Yifa, 2012, p. 107).

The year 1967 saw the publication of Philip Yampolsky's translation of the Dunhuang version of the *Platform Sutra*, which is acclaimed unanimously by Western scholars as "a careful, generally accurate translation" (Bielefeldt & Lancaster, 1975, p. 209) and a monumental work "that forever changed the course of scholarly approaches to the history of Zen [Chan]" (Heine, 2007, p. 577). Apart from the translated text, Yampolsky's book also contains a substantial introduction to the history of Chan Buddhism, the formation of the *Platform Sutra*, and new findings by modern researchers; and it therefore becomes a major reference for scholars studying Chan Buddhism in the West, such as the recently published *Readings of the Platform Sutra* (Schlutter & Teiser, 2012).

In the year 1971, the first edition of Heng Yin's translation, *The Sixth Patriarch's Dharma Jewel Platform Sutra*, was published by the Buddhist Text Translation Society. This translation is significant in two aspects. Firstly, this translation is the first

one produced by a Western Buddhist. Its translator, Heng Yin (originally named Loni Baur), is one of the first five Americans ordained to Buddhism under Master Hsuan Hua. Secondly, the translation is accompanied by a running commentary by the translator's teacher, Hsuan Hua, which is based on Hsuan Hua's previous lectures on the sutra.

Yang Weilian's translation of the *Platform Sutra* is mentioned in the studies by Low (2010), Yifa (2012) and Chang and Zhao (2016), but could not be obtained by the present author. The only information that could be obtained by the present author is that this translation might have had only limited circulation, and therefore did not have much influence.

In the year 1998, Thomas Cleary, a Harvard graduate and professional translator, published his translation of the *Platform Sutra* under the title, *The Sutra of Hui-neng, A Grand Master of Zen*. Although this translation is also based on the Zongbao version, it combines the original Chapters Nine and Ten and thus has only nine chapters in total. In contrast to previous translations that are either for Buddhist scholars or practitioners, Cleary's translation is mainly targeted at ordinary readers.

The well-known modern Buddhist scholar John R. McRae's translation of the *Platform Sutra* was published by the Japanese Numata Centre for Buddhist Translation and Research in 2010, although McRae was a specialist in the study of the Northern School and Shenxiu. Apart from the foreword and introduction, this translation also contains an appendix, notes, glossary, bibliography and index, and is therefore quite scholarly in nature.

In contrast to previous translations that are based on either the Zongbao or the Dunhuang version of the *Platform Sutra*, the translation by the Taiwanese scholar, Tony Lin and his team, published in 2004, is based on another version of the text: the Dunbo version, edited by Yang Zengwen. This is the first translation based on the Dunbo version, and is substantial in its content. This book covers pictures, an introduction to the Dunbo version, comparison between Dunbo and Dunhuang versions, thoughts on translating the sutra, and comparison of the translation of Buddhist terms by different translators, etc.

In 2005, Cheng Kuan, a Buddhist master and abbot of two temples (one in Taiwan and the other in the U.S.), produced the first edition of his translation of the *Platform Sutra*.

The translation was published by Cheng's own publishing institute, and distributed for free. One of Cheng's motivations to produce a new translation of the *Platform Sutra* is his dissatisfaction with previous translations, which he thought were informal or even vulgar (Low, 2010, p. 39). Many new or even self-coined terms are used in this translation, in the form of capitalization or italicization, and the text is rather formal in style.

The Western translator, Red Pine, published his translation of the Dunbo version of the *Platform Sutra* in 2006. This is the second translation based on the Dunbo version, and is also targeted at the ordinary readers, as is Cleary's translation. Moreover, this translation also contains a running commentary by the translator himself, which is to help readers understand the sutra.

Master Hsing Yun and his disciples produced a "practitioner's translation" (Hsing, 2010b, p. xi) of the *Platform Sutra* that aims to be "clear" and "accessible" (ibid). This translation is based on the Zongbao version. At the end of each chapter, there is a commentary on the sutra by Hsing Yun.

In 2012, Chinese scholar, Jiang Jiansong, produced his translation of the *Platform Sutra*, which is Chinese-English bilingual and part of the Library of Chinese Classics sponsored by the central government. Jiang is a professor of English literature and literary translation in a university in China. As the mission of producing English translations of classical Chinese texts is to introduce traditional Chinese culture to the West, Jiang's translation aims to be reader-friendly and acceptable (personal communication).

The Buddhist Text Translation Society, which published three editions of Heng Yin's translation of the *Platform Sutra* in 1971, 1977, and 2001, presented a new translation of the sutra by Rev. Heng Sure and Martin J. Verhoeven in 2014. In contrast to Heng Yin's translation, this new translation does not include Hsuan Hua's commentary. There is a long introduction by the translators at the beginning, and the Chinese source text of the sutra is attached at the end of the book.

The latest English translation, to the knowledge of the present author, is the translation by the Chinese scholar, Chu Dongwei, from Guangdong University of Foreign Studies. According to Chu, he translated the *Platform Sutra* because it is considered "good literature", and "a great masterpiece for moral education". His translation aims to be

"as readable as Max Müller's translation of *The Dhammapada*" (Chu 2015, p. xvi). Apart from the translation of the sutra itself, Chu's book also contains information on Shenhui, who was said to have promoted Huineng to prominence, and the life of and historical literature on Huineng.

To summarize, it can be seen that there are three features in these English translations of the *Platform Sutra*. Firstly, the Zongbao version serves as the source text for most of the translations, which is clearly the result of the popularity of this version. Secondly, translators differ both in their cultural and religious backgrounds. They come from East Asia or the West, and their profession may be scholars, professional translators, and/or ordained Buddhists. Thirdly, there has been an almost non-stop publication/translation of the *Platform Sutra* since the appearance of the first translation in 1930, which embodies the appeal of the text itself.

2.5 Studies on the translation of the *Platform Sutra*

This section will provide a review of relevant studies on the translation of the *Platform Sutra*, particularly into English. Compared with the number of English translations of the *Platform Sutra*, the number of studies on these translations is rather small. These studies can generally be classified into two categories: summarization of existing translations, and analysis of translated text(s), although some may straddle the two categories.

2.5.1 Summarization of existing translations

The first to trace the history of translation of the *Platform Sutra* into English are Bielefeldt and Lancaster (1975). Due to temporal limitation, their study only covers the translations by Wong, Suzuki, Luk, Chan, Fung brothers, Yampolsky and Heng. Although a comparison between these translations is made, the study is basically commentary in nature, with sporadic examples used to support the evaluations of the authors. Its conclusion appears to be that all the translations are "not entirely adequate" (1975, p. 209) except the one by Yampolsky.

It was not until twenty years later that Chinese scholar Ko (1996) provided another list of all the English translations of the *Platform Sutra*. The translations listed include

those by Wong, Luk, Chan, Fung brothers, Yampolsky and Heng Yin. Suzuki's translation is excluded from the list, and there are some mistakes in the publishing times of the translations. For instance, Wong's translation under the edition of Humphreys was first published in the year 1944, rather than 1953; Wong's translation under the edition of Goddard was first published in 1932; and Heng Yin's translation was first published in 1971, not in 1977. Apart from the list of these translations, Ko's article also has a table that compares the translations of chapter titles, and biographies of the first translator Wong Mou-lam and his sponsor Dhi Ping-Tsze, which are valuable for later studies.

In producing their translation of the Dunbo version of the *Platform Sutra*, Lin et al. (2004) also summarized all the existing English translations up to the year 2004. Problems with their summary are: Wong's translation under the edition of Goddard in *A Buddhist Bible* was first published in 1932, not in 1938 (which was the second edition); and it mistook the third edition of Heng Yin's translation in 2001 as a new translation. Lin et al.'s study also contains an appendix that lists different translations of terms specific to the *Platform Sutra*.

The fourth summarization of the English translations of the *Platform Sutra* is found in Low's thesis (2010). Similar to Ko's article, Low's study excludes the translation by Suzuki, and it also lists the first and third editions of Heng Yin's translation separately, which may be the result of the influence of the study by Lin et al. Another point that needs clarification in Low's study is that Shambhala Publications first published the book, *The Diamond Sutra and The Sutra of Hui-neng*, in 1969, not in 1990 (which is the second edition); and Price and Wong are translators of the two texts separately: *The Sutra of Hui-neng* included in the book is still Wong's translation of the *Platform Sutra*, rather than a collaboration by the two.

In the year 2012, the Buddhist master Yifa, who previously worked in the University of the West, provided a summary of existing English, French, German, Russian, Spanish and Czech translations of the *Platform Sutra*. Her list includes eleven complete English translations: those by Wong, Luk, Chan, Fung brothers, Yamplosky, Heng Yin, Cleary, McRae, Lin et al., Red Pine, and Hsing Yun, and four partial translations into English, with Suzuki's translation being one of them. Although the

list ends at the year 2010, it does not include the translation by Cheng Kuan, which was first published in 2005.

The latest summarization of the English translations of the *Platform Sutra* is provided by Chang and Zhao (2016). To the eleven complete translations listed by Yifa, their study adds the translations by Cheng Kuan and by the Chinese scholar Jiang Jiansong. However, the new translation published by the Buddhist Text Translation Society in 2014, and the translation by the Chinese scholar Chu Dongwei in 2015, are not included in their list.

Apart from these various summarizations, there are also a few studies that focus on the analysis of the translation(s) from the perspective of translation studies, which will be discussed in the following section.

2.5.2 Studies on the *Platform Sutra* from the perspective of translation

The earliest studies on the *Platform Sutra* from the perspective of translation are two theses published in the year 2010, by Low and Yu. Low's study (2010) focuses on the translating strategies adopted by Cheng Kuan in his translation of the *Platform Sutra*, especially ways to deal with idioms and terms that have profound religious and cultural meanings. It finds that Cheng's translation is highly formal and specialised, as many uncommon and even self-coined words are used. This is justified by the motivation of the translator, who intends to produce a foreignised translation, although it is also recognised that Cheng's translation is not 'idiomatic' and sometimes even "awkward" (Low, 2010, p. 88).

The other thesis, by Yu (2010), focuses on the American scholar Dwight Goddard's revision of the translation by Wong Mou-lam, which was first published in *A Buddhist Bible* in the U.S. in 1932, and which had huge influence on the writers of the Beat Generation. The theoretical framework of Yu's study is philosophical hermeneutics, especially the model of horizon fusion. The thesis analyses Goddard's edition of the *Platform Sutra* in comparison with the original translation by Wong, and finds that the original translation has gone through many changes, such as deletion, reordering, rationalization and Romanization. All these are seen as the result of the clashing prejudices between the translator's and the original text's horizons, which can be interpreted by investigating the background of translation.

Ever since the publication of these two theses, there have been several journal articles discussing specific aspects of the translation(s) of the *Platform Sutra*. Yu (2011) studies the use of simile and metaphor in the Zongbao version of the *Platform Sutra* and their translations by Wong Mou-lam. It is pointed out that the major function of these rhetorical devices is to help the audience/readers understand better the Buddhist ideas, and most of the similes and metaphors in the source text are retained in the translated text.

Song (2013) compares the translation by Wong Mou-lam and the revised edition of Wong's translation by Dwight Goddard. The study finds that Wong's translation, which is generally faithful to the source text, has undergone many changes in the process of editing. Another study by Song (2014) is a corpus-based comparison of the three English translations of the *Platform Sutra*: Wong's original translation, Wong's translation revised by Christmas Humphreys, and Wong's translation revised by Dwight Goddard. The study looks at the key words and average sentence length of these three translations, and concludes that, while the first and second translations are generally faithful to the source text, Goddard's version shows manipulation on the part of the reviser/editor.

Sun's study (2013) focuses on the translating strategies by Wong Mou-lam, and finds that annotation is used frequently. Moreover, it is concluded that Wong manages to keep a good balance between literal and free translation, and uses different rhetorical devices to re-present the simple and elegant style of the source text.

Jiang (2014) discusses the development and influence of Chan both as a religion and as a culture in countries apart from China, such as Korea, Japan and the U.S. It is pointed out that one of the key factors contributing to this influence is through the translations of the *Platform Sutra*. Moreover, various examples are taken from the author's own translation of the *Platform Sutra* (Jiang & Gui, 2012) to illustrate the translating strategies that can be applied to the translation of other cultural classics.

Chu (2015) discusses the translations of the two verses by Shenxiu and Huineng in the first chapter of the *Platform Sutra* by Wong, Heng, Cleary, McRae, Yampolsky and Red Pine, and states that the unique Chan perspective on language underlies the fact that there are so many different translations of these two verses. In the process of trying to improve all these existing translations, Chu provides his own translations of the two

verses, and points out that, in translating Chan Buddhist texts, attention should be paid to conveying the meaning, rather than finding target language equivalence for each word.

As can be seen from the above review of relevant studies, there have been some studies on the translation of the *Platform Sutra*, most of which are summarizing, or commentary and subjective in nature. There has been, as yet, no such study from a systemic functional perspective. It is for the purpose of filling this gap that the present study will analyse the selected translations by adopting the theoretical framework of SFL and corpus linguistic tools such as SycConc, SysFan and Wmatrix. Moreover, the present study is basically descriptive in nature, with effort being made to focus on the analysis results rather than on the author's subjective evaluation.

2.6 Conclusion

This chapter provided background information on the translation of Chinese Buddhist texts in the West, the Chan master Huineng, and the text under consideration, the *Platform Sutra*. In spite of the importance of Chinese Buddhism in the development of East Asian history and culture, it only started attracting attention from Western scholars in the 19th century, and the translation of Chinese Buddhist texts is currently still an ongoing project. Meanwhile, both the person Huineng and the *Platform Sutra* have been influential and popular in East Asia for hundreds of years, and are now known to many scholars and ordinary readers in the West as well. It seems that, whenever one talks about East Asian Buddhism, one cannot afford to neglect Huineng, a name that is inseparable from the text entitled *Platform Sutra*. Almost all the major Buddhist associations and masters of East Asian origin active in the West lecture on the sutra, and people new to the religion are generally advised to start from reading the *Platform Sutra*. In contrast to the popularity of the text and the large amount of existing English translations, however, studies on the translation of the *Platform Sutra* are comparatively few. Hence, the present study aims to focus on the translation of this text.

Following this chapter, Chapters 3 to 9 will focus on the analyses of the four selected English translations of the *Platform Sutra* from various perspectives. As has been mentioned before, these chapters will be presented in the form of journal articles,

nearly the same as they were published or submitted. Therefore, each one of the chapters enjoys relative independence, apart from making its own contribution to the thesis as a whole.

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3 Same Chan master, different images: the story of Huineng and its translations[1]

3.0 Preamble

Chapter 1 provided an introduction to the whole thesis; and Chapter 2 presented a review on the person called Huineng and the *Platform Sutra*. The present chapter will serve as the first analytical chapter in the thesis. Based on the theoretical framework of systemic functional linguistics (SFL), the chapter will analyse meaning, and meaning reproduction in the story of Huineng and its English translations, from the experiential, interpersonal and textual perspectives. These three strands of meaning are closely related to the image of Huineng presented in the story, in terms of what he does, how he interacts with others, and how the story unfolds. Analyses of the realisation of the three strands of meaning are conducted manually in Excel in terms of TRANSITIVITY, terms of address and THEME.

Just as the story of Huineng serves as a context for the whole text, Chapter 3 here also provides a background for the following analytical chapters, Chapters 4 to 9, by taking the three metafunctions into consideration.

3.1 Introduction

It has been recognised that, in the process of translation, the reproduction of meaning, rather than of wording, should be considered as occupying a central place (see Jakobson, 1959; Kim & Matthiessen, 2015; Matthiessen, 2001; Newmark, 1988; Nida & Taber, 1969). Meaning, according to Halliday's tripartite division of the meta-functions of language in SFL (Halliday, 1973; Halliday & Matthiessen, 2014), can be neatly captured from three perspectives: ideational (further divided into experiential

[1] This chapter is based on the article "Same Chan Master, Different Images: A Multi-functional Analysis of the Story of Huineng and Its Translations", originally published in *Journal of Translation Studies (KAT)*, 17 (4): 143-180. Available at http://www.dbpia.co.kr/Journal/ArticleDetail/NODE07021854.

and logical), interpersonal and textual. Each strand of meaning is respectively realised through choices from the lexicogrammar, in systems such as TRANSITIVITY, MOOD and THEME.

Although equivalence in meaning is what translators should mostly aim for, translation shifts[1], which are "shifts in the recreation of meaning as part of the translation process" (Matthiessen, 2014, p. 275), appear to be inevitable as well. Translation shifts may affect readers' appreciation of the text and the image of the person depicted in the text. Based on the analyses of the story of Huineng and its different English translations, the present study investigates how the three strands of meaning contribute to the creation of the image of Huineng, and how shifts in meaning lead to variation in that image.

Huineng's story, recorded in the first chapter of the *Platform Sutra*, is an autobiography told in front of a large audience. In the story, Huineng tells how he grew from an illiterate woodcutter into the revered Sixth Patriarch after going through many trials and tribulations. The story enjoyed great popularity in history and is still one of the best known in the Chan tradition (McDaniel, 2013, p. 60).

The significance of the story lies in that it sets up an image of Huineng that is unique in the history of Buddhism (Suzuki, 1972): he is illiterate, persevering and extremely brilliant. The image, as will be discussed in the present study, is closely related to the experiential, interpersonal and textual meanings of the text. Experientially, the image of Huineng is created through what he does; interpersonally, it is reflected through his interaction with others; and textually, it is established through the way in which the story is told.

The structure of this chapter is as follows. Firstly, a brief introduction to the story of Huineng will be provided. Secondly, the source text and its four English translations will be analysed, with the aim of investigating how the experiential, interpersonal and textual meanings contribute to establishing the image of Huineng. Finally, a conclusion will be drawn to sum up the study presented in this chapter.

3.2 Huineng's story in the *Platform Sutra*

The story begins by depicting Huineng's unfortunate childhood. His father, formerly a government official, was dismissed and banished to the south of China, where he died early. Young Huineng was forced to take on responsibility for the family by cutting and selling firewood. One day after delivering wood to a customer's place, Huineng overheard a man reciting lines from a Buddhist text. As Huineng says, the moment the words struck his ears, he became enlightened in mind. Thus, he enquired about the text and was advised to go to Huangmei, a far-away mountain in the North, to study Buddhism with the Fifth Patriarch.

Although full of enthusiasm and expectation, Huineng was not met with a warm reception. The Fifth Patriarch doubted his ability to attain Buddhahood as he was from the South, the living place of uncivilized barbarians. Huineng was sent to split firewood and pound rice in the backyard. For more than eight months he did this manual work without entering the lecture hall or receiving any instruction.

One day the Fifth Patriarch announced a verse contest with the purpose to choose a successor to his position. Shenxiu, the head monk of the temple and a member of the literate elite, wrote his verse on a wall. Shenxiu's verse read,

> *The body is the tree of enlightenment,*
> *The mind is like a clear mirror-stand.*
> *Polish it diligently time and again,*
> *Not letting it gather dust* (Cleary, 1998, p. 8).

While knowing that Shenxiu's verse failed to portray real enlightenment, the Fifth Patriarch still ordered all the other disciples to recite it, saying that it would help them in their practice.

Huineng, who was unaware of what had happened, heard Shenxiu's verse from a boy passing by his work place. Asking the boy what the verse was, Huineng obtained information regarding the verse contest and decided to present his own. Huineng's verse was to refute the ideas of Shenxiu, and read,

> *Enlightenment originally has no tree,*
> *And a clear mirror is not a stand.*

Originally there's not a single thing---
Where can dust be attracted? (Cleary, 1998, p. 10)

As the story goes, this verse made the Fifth Patriarch realise that Huineng was the one who had a complete understanding of sudden enlightenment. However, due to Huineng's humble origin and the fierce competition, the Fifth Patriarch could only meet Huineng in the middle of the night to transmit to him the Dharma and the symbols of the patriarchate: a robe and a bowl handed down from Bodhidharma, the person who was said to have brought Chan to China from India. Fearing that Huineng might be harmed by some jealous people, the Fifth Patriarch sent him off to the South at night.

However, this did not prevent several hundred men from pursuing Huineng with the intention of killing him and taking the robe and the bowl. One of the events recalled by Huineng concerns a monk who was once a general in the army. He was strong and violent, and finally caught up with Huineng. When Huineng surrendered the robe and bowl, however, the monk found that he could not pick them up. Desperate, he called to Huineng and said that he came for the teaching, not for the robe and the bowl. Huineng then taught him, and he was immediately enlightened.

After spending fifteen years hiding among a group of hunters, Huineng decided to start spreading his ideas. He went to a temple where a well-known Buddhist master was lecturing. By solving a dispute between two monks, Huineng attracted the attention of the master and had the opportunity to prove that he was the chosen Sixth Patriarch. It was not until then that Huineng received public recognition and started preaching the ideas of Chan Buddhism.

Unlike most Buddhist literature, the story of Huineng recorded in the *Platform Sutra* is

> …more akin to popular literature, a mixture of spiritual guide and gripping entertainment, showcasing a poor, young, illiterate commoner triumphing over a polished aristocratic monk in a battle of words that tests their true spirituality (Jorgensen, 2012, p. 47).

The image of Huineng is central to the story, as it is "the specific mission of the *Platform Sutra* to promote Huineng as the Sixth Patriarch" (Schlütter, 2012, p. 16). Moreover, Huineng also serves as a living exemplar for the teachings of Chan, and as a model to be emulated by his audience. If an illiterate woodcutter can obtain

Buddhahood, then it follows that Buddha nature is inherent in all living beings, and everyone has the ability to be enlightened and become a Buddha.

How the image of Huineng is created in the source text and re-created in the translations will be discussed in the following section.

3.3 Experiential meaning: what does Huineng do?

Experiential meaning is about the construal of our experience of the world, and is mainly realised through the system of TRANSITIVITY.

3.3.1 Transitivity

TRANSITIVITY is concerned with "who does what in relation to whom/what, where, when, how and why" (Hasan, 1988, p. 63). It includes the Process, and any Participant(s) and Circumstance(s). While the combination of Process and Participant(s) constitutes the nucleus of clause, the Circumstance remains at the periphery of the configuration (Matthiessen, 1995, pp. 197-198). There are six types of Processes recognized: material, mental, verbal, relational, behavioural and existential.

A material Process is a process of doing and happening, both concrete and abstract. It may have only one participant that does the deed, the Actor. If the Process is directed at, or done to, another participant, this second participant will be the Goal. There may also be other optional participants involved in the material Process, such as Recipient (the participant receiving goods), Client (the participant receiving a service), and Scope (aparticipant that is not affected by the action)of the Process.

We	moved					to Canton.
The boy	took	me				there.
He	accompanied				me	to Jiujiang.
The man	gave	some money	to me.			
He	wrote	the letter		for me.		
Actor	**Process: material**	**Goal**	**Recipient**	**Client**	**Scope**	**Circumstance**

A mental Process is a process of sensing. It is about the inner experience of human beings. In a clause of mental Process, there is always one Participant that is human, or human-like. This is the Senser, who feels, thinks, likes and wants. The other Participant,which is felt, thought, liked or wanted, is termed the Phenomenon.

You	need not worry.	
He	understood	its profound meaning.
Senser	**Process: mental**	**Phenomenon**

A verbal Process is a process of saying. The Participant who says something is called the Sayer, and there may also be a Receiver, to whom the words are spoken, and a Verbiage, which refers to what is said.

I	asked	the man	the name of the book.
Sayer	**Process: verbal**	**Receiver**	**Verbiage**

A relational Process serves to characterize or identify an entity. When a Participant is ascribed an Attribute, it is called the Carrier. In an identifying clause, a relationship of identity is set up between two Participants, in which an abstract identity, termed Value, is assigned to a Token.

I	am	a commoner.
Carrier	**Process: relational, attributive**	**Attribute**

You	are	now	the Sixth Patriarch.
Token	**Process: relational, identifying**	**Circumstance**	**Value**

A behavioural Process is a process of (typically human) physiological and psychological behaviour, such as breathing, smiling, dreaming and coughing. The Participant who is ‘behaving’ is labelled as Behaver. Sometimes there may be another Participant, called Behaviour, which adds specification to the Process.

He	is sleeping.	
She	sang	a beautiful song.
Behaver	**Process: behavioural**	**Behaviour**

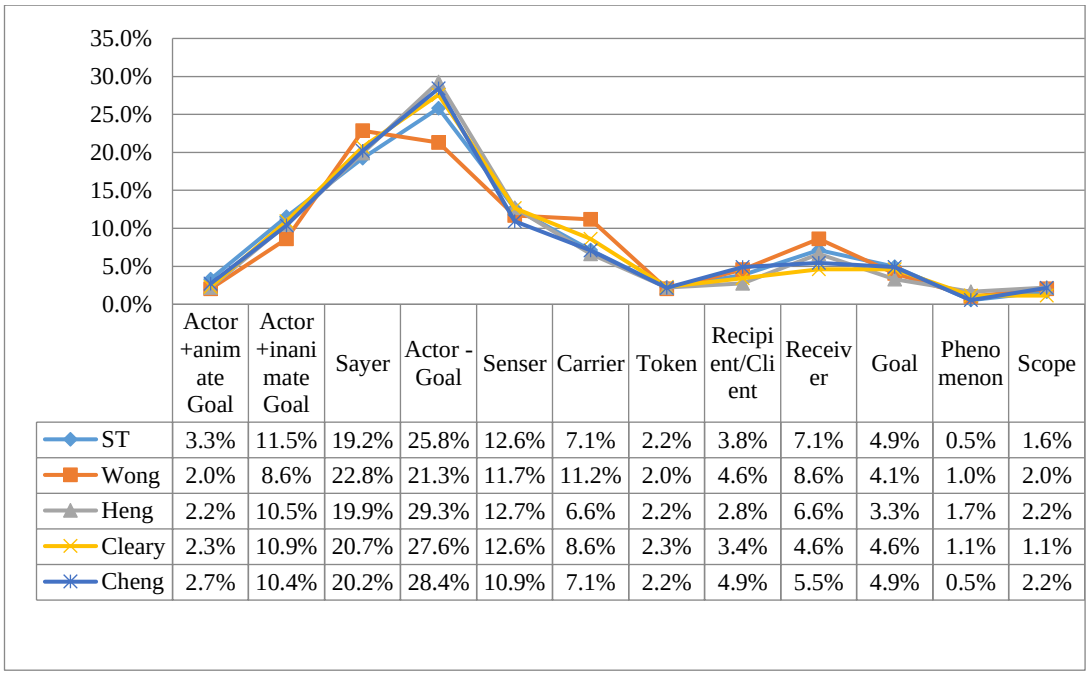
An existential Process is to represent that something exists or happens. The only Participant in this process is the Existent.

There	are	one thousand disciples	under the master.
	Process: existential	**Existent**	**Circumstance**

The application of TRANSITIVITY analysis to literary study was initiated by Halliday (1971), and then carried on by Kennedy (1982), Fowler (1986), Toolan (1988), Kies (1992), and Simpson (1993), among others. Amongst studies of literature employing transitivity analysis, those by Hasan (1985), Montgomery (1993), Hubbard (1994, 1999), Ji and Shen (2004), and more recently by Azar and Yazdchi (2012) and Nguyen (2012), focus on the function of TRANSITIVITY in constructing the image of a character. The relevance of TRANSITIVITY analysis and character construction lies in the fact that "…part of the basis of our perception of what a person is like derives from knowing what sort of Participant roles are ascribed to that person" (Hasan, 1988, p. 65). By analyzing the participant roles assigned to a character, that is, what the character does, in a literary work, we can obtain linguistic evidence for the writer's portrayal of the character as active or passive, demanding or submissive, and so on.

3.3.2 Participant roles of Huineng: his image through actions

The unit of transitivity analysis is the clause, which is recognised by identifying the Process (in the form of a verbal group), which is "the one obligatory constituent of a clause" (Butt, Fahey, Feez, & Spinks, 2012, p. 35). Processes pertaining to Huineng in the source text and in each translation are extracted and manually analyzed in Excel. Transitivity analysis of Chinese is conducted by following the descriptions of Halliday and McDonald (2004) and Li (2007). Ambiguous cases are managed by comparing different translations and consulting with other scholars.



	Actor +animate Goal	Actor +inanimate Goal	Sayer	Actor - Goal	Senser	Carrier	Token	Recipient/Client	Receiver	Goal	Phenomenon	Scope
ST	3.3%	11.5%	19.2%	25.8%	12.6%	7.1%	2.2%	3.8%	7.1%	4.9%	0.5%	1.6%
Wong	2.0%	8.6%	22.8%	21.3%	11.7%	11.2%	2.0%	4.6%	8.6%	4.1%	1.0%	2.0%
Heng	2.2%	10.5%	19.9%	29.3%	12.7%	6.6%	2.2%	2.8%	6.6%	3.3%	1.7%	2.2%
Cleary	2.3%	10.9%	20.7%	27.6%	12.6%	8.6%	2.3%	3.4%	4.6%	4.6%	1.1%	1.1%
Cheng	2.7%	10.4%	20.2%	28.4%	10.9%	7.1%	2.2%	4.9%	5.5%	4.9%	0.5%	2.2%

Figure 3.1 Participant role profiles of Huineng in the source text and translations

Participant roles assigned to Huineng in each text are summarized, and the profile of Huineng in each text is presented, in Figure 3.1. The Participant roles are listed in order of dynamism (Hasan, 1985; Thompson, 2008), i.e. whether the Participant is able to affect the world around him or bring changes to the surrounding environment. While an Actor with an animate Goal is the most dynamic, the role of Scope puts the Participant on the margin of the Process and thus is considered the most passive.

Figure 3.1 shows that the profile of Huineng is generally dynamic in all the target texts. If we follow Hasan (1985, p. 46) and take the role of Senser as the half-way point in the cline of dynamism, we can see that there are more dynamic participant roles than passive ones assigned to Huineng. Apart from this general trend, however, Wong's translation differs from all the other texts in that it depicts Huineng less frequently as Actor (Actor +animate Goal, Actor +inanimate Goal, and Actor –Goal) but more often as Sayer, Carrier and Receiver. In this way, the overall activeness of Huineng is toned down in Wong's translation.

The function of the Participant roles of Actor, Sayer, Carrier and Receiver in creating a certain image of Huineng, and the variation in Wong's translation, will be discussed in the following section.

3.3.2.1 Huineng's role as Actor

While discussing the story of Huineng, Jorgensen made the following comment:

> …[the story] is a form of romance, a successful quest involving a journey to distant past; a contest, in this case through the medium of poetry; and a life-and-death struggle in which the hero triumphs because he is superior (2012, p. 31).

The 'quest', 'journey' and 'struggle' are mainly presented through material Processes in which Huineng takes the Participant role of Actor. While the Participant roles of 'Actor –Goal' depicts his quest and journey through actions of movement, as shown in Example 1, the Participant roles of 'Actor +inanimate Goal' highlights Huineng's difficult struggle by depicting how he worked as a manual labourer in the temple for a considerable period of time, as shown in Example 2, where the Participant roles and Processes are identified in square brackets.

Example 1

ST: 發足 南行 º 兩月中間º

(I) [Actor] *set out* [Process: material] south in two months

至 大 庾 嶺[1]

(I) [Actor] *reach* [Process: material] Great Yu Mountain (T2008_.48.0349b14-15)

Wong: …and I [Actor] *walked* [Process: material] towards the South. In about two months' time, I [Actor] *reached* [Process: material] the Tai Yu Mountain [Scope] (1930, p. 8).

Heng: … he [Actor] *set out* [Process: material] on foot for the South. In two months he [Actor] *reached* [Process: material] the Ta Yü Mountains [Scope] (1977, p. 101).

Cleary: …I [Actor] *set out* [Process: material] southward. Within two months I [Actor] *reached* [Process: material] Mount Ta Yu [Scope] (1998, p.12).

Cheng: …I [Actor] *started* [Process: material] for the South, and within two months, I [Actor] *arrived at* [Process: material] Da-Yu Mountains [Scope] (2011, p.20).

In both the source text and the translations of Example 1, an act of setting out and an act of arriving is present, with a Circumstance of time duration in between. The hardship of the journey is implicitly depicted by the Circumstance of time (*in two months*).

[1] The small circle º in the source text was to indicate pause in the process of reading; source text sentences are referred to by identifying their line numbers in the on-line database of Taishō Shinshū Daizōkyō, http://21dzk.l.u-tokyo.ac.jp/SAT/ddb-bdk-sat2.php?lang=en.

Example 2

ST: 我 此 *踏* *碓*。 八箇 餘 月
I [Actor]here *tread* [Process: material] *pestle* [Goal] eight more months (T2008_.48.0348c26)

Wong: …I [Actor] had been *pounding* [Process: material] *rice* [Goal] there for eight months … (1930, p. 5).

Heng: I [Actor] have been *pounding* [Process: material] *rice* [Goal] here for over eight months (1977. P. 73).

Cleary: I [Actor] have been here *pounding* [Process: material] *rice* [Goal] for over eight months (1998, p. 9).

Cheng: …I [Actor] have been *treading* [Process: material] *this pestle* [Goal] for more than eight months by now (2011, p.15).

In Example 2, Huineng was telling the boy that, ever since he arrived, he had never entered the lecture hall but spent all the time doing manual work. No matter whether the work is *pounding rice* or *treading pestle*, the Circumstance here is again revealing: he had been doing the manual work *for over eight months*.

However, as pointed out above, there is a tendency in Wong's translation to downplay Huineng's role as the Actor, compared with both the source text and other translations. Wong achieved this mainly by adopting a passive structure, as illustrated in the following Example 3.

Example 3

ST: 惠能 *安置* 母畢（T2008_.48.0348a13)
Huineng [Actor] *arrange for* [Process: material] mother [Goal]

Wong: After *arrangements* [Goal] *had been made* [Process: material] for her… (1930, p.2)

Heng: After *Huineng* [Actor] *had made arrangements* [Process: material] for his mother [Client]… (1977, p. 57)

Cleary: After (I) [Actor] *having gotten* [Process: material] *my mother* [Goal] *settled*… (1998, p. 2)

Cheng: After *I* [Actor] *made arrangements for* [Process: material] the ensconcement of my mother [Goal]… (2011, p.6)

While the source text and the translations by Heng, Cleary and Cheng all explicitly put Huineng in the role of Actor (±Goal), Huineng in the Actor role is absent from Wong's translation. A similar strategy is adopted by Wong in the following example.

Example 4

ST:	huì néng 惠能 yū 於 dōng 東 shān 山 dé *得* fǎ *法* Huineng [Actor] at East Mountain *obtain* [Process: material] *Dharma* [Goal] (T2008_.48.0350a02)
Wong:	…*the Dharma* [Goal] *was transmitted* [Process: material] *to me* [Recipient] in Tung Shan (1930, p.10).
Heng:	Huineng [Actor] *obtained* [Process: material] *the Dharma* [Goal] at Tung Shan… (1977, p. 113)
Cleary:	I [Actor] *attained* [Process: material] *the teaching* [Goal] on East Mountain… (1998, p. 15)
Cheng:	... I [Actor] *obtained* [Process: material] *the Dharma* [Goal] at East-Hill… (2011, p. 27)

In Example 4, Huineng appears as a Recipient in the Process of transmitting in Wong's translation. This is in contrast to the other three translations where Huineng is the Actor of the Process of obtaining.

3.3.2.2 Huineng's role as Sayer and Receiver

A significant feature of Huineng's story is the large number of verbal Processes, where the words spoken and heard help the story develop. As a poor and illiterate woodcutter, Huineng lacked the resources that others might have, except the ability to speak. Before obtaining the Dharma, Huineng was always *asking* for information. He only began to *explain* to others after becoming the Sixth Patriarch. The Participant roles of Sayer and Receiver mainly present Huineng as an eager knowledge seeker and active interlocutor with others.

High percentages of these two roles in Wong's translation are mainly a result of changing direct speech into indirect speech (in comparison with Heng's translation, which adheres to the source text), as shown in Example 5, where only the verbal Processes are identified. In this example, the direct speech of Huineng is translated into indirect speech with the addition of a reporting clause, '*I also told him*', where Huineng assumes the role of Sayer for the second time.

Example 5

ST: huì néng yuē wǒ yì yào sòng cǐ jì lái shēng yuán
惠能 曰º 我亦要 誦 此 結 來生 緣º
Huineng [Sayer] *say* [Process: verbal] I too will recite this create next-life affinity
shàng rén º wǒ cǐ tà duì º bā gè yú yuè º wèi céng háng dào táng qián…
上 人º 我 此 踏 碓º 八箇餘 月º 未曾 行 到 堂 前…
Superior person I here tread pestle eight more months never walk to hall front (T2008_.48.0348c25)

Wong: I [Sayer] then *told* [Process: verbal] the boy that I wished to recite the stanza too, so that I might have an affinity with its teaching in future life.
I [Sayer] also *told* [Process: verbal] him that although I had been pounding rice there for eight months I had never been to the hall… (1930, p.5)

Heng: Hui Neng [Sayer] *said* [Process: verbal], "I, too, would like to recite it to create an affinity. Superior One, I have been pounding rice here for over eight months and have not yet been to the front hall…" (1977, p. 73)

As for Huineng's Participant role as Receiver, while it is usually left implicit in the dialogues in the source text, it is often spelt out in Wong's translation and, interestingly, in the form of passive structure again:

Example 6

ST: suì wèn kè sòng hé jīng
(遂 問 客 誦 何 經)
(so ask guest recite what sutra)
kè yuē jīn gāng jīng
客 曰º 金剛 經
guest [Sayer] *say* [Process: verbal] Diamond Sutra (T2008_.48.0348a06)

Wong: (Thereupon I asked the man the name of the book he was reciting)
And (I) [Receiver] *was told* [Process: verbal] that it was the Diamond Sutra (1930, p.1).

Heng: (Thereupon he asked the customer what Sutra he was reciting.)
The customer [Sayer] *replied* [Process: verbal], "The Diamond Sutra." (1977, p. 54)

Example 7

ST: lǐ bài wǔ zǔ
(禮 拜 五 祖)
(visit worship Fifth Patriarch)
zǔ wèn yuē rǔ hé fāng rén º yù qiú
祖 問曰º 汝 何 方 人º 欲 求
Patriarch [Sayer] *ask* [Process: verbal] you which place person want to ask for
hé wù
何 物
which thing (T2008_.48.0348a14-5)

Wong: (I then went to pay homage to the Patriarch),
And (I) [Receiver] *was asked* [Process: verbal] where I belonged and what I expected to get from him (1930, p. 2).

Heng: (Huineng) made obeisance to the Fifth Patriarch), who [Sayer] *asked* [Process: verbal] him [Receiver], "Where are you from and what do you seek?" (1977, p. 57)

In Examples 6 and 7, where only verbal Processes are identified, '*the man*' and '*the Patriarch*' take the role of Sayer in the source text and in Heng's translation, whereas

Huineng's role as Receiver is highlighted in Wong's translation through a passive structure.

3.3.2.3 Huineng's role as Carrier

The Participant role of Carrier is often used in the story to describe the nature of Huineng. In most cases, the Attribute is not something desirable, such as '*I am a commoner from Lingnan*', which is to describe Huineng's humble origin and arouse sympathy on the part of the audience. This effect is actually enhanced by Wong through a more frequent involvement of Huineng as the Carrier:

Example 8

ST:	cǐ shēn bú xìng fù yòu zǎo wáng 此 身 不 幸 父 又 早 亡 this body [Carrier] *not lucky* [Process: relational] father [Actor] too early *die* [Process: material] (T2008_.48.0348a02-3)
Wong:	*I* [Carrier]*was* [Process: relational] so *unlucky* that my father [Actor] *died* [Process: material] when *I* [Carrier] *was very young* [Process: relational] ... (1930, p.1)
Heng:	Unfortunately, *his father* [Actor] soon *died* [Process: material] (1977, p. 53)
Cleary:	Unfortunately for me, *my father* [Actor] also *died* [Process: material] early (1998, p. 1).
Cheng:	Unfortunately, *my father* [Actor] *passed away* [Process: material] early… (2011, p. 4)

Example 8 is at the very beginning of the story, where Huineng talks about his miserable childhood. In Wong's translation, there are three Processes, *I* as the Carrier in two relational clauses, and *my father* as the Actor in a material Process. The two Attributes, *unlucky* and *very young*, highlight the pitiable image of young Huineng. By contrast, no Participant role is assigned to Huineng in the other three translations.

In summary, the translations by Heng, Cleary and Cheng are relatively equivalent to the source text in terms of experiential meaning, and present an image of a Huineng who is actively involved in his quest and struggle. By contrast, more translation shifts are observed in Wong's translation, where Huineng is assigned fewer active but more passive participant roles, such as Receiver and Carrier. In this way, Huineng appears to be less active in Wong's translation than in other texts.

3.4 Interpersonal meaning: how does Huineng interact with others?

Interpersonally, the story presents an image of a Huineng who was of low status in a strictly hierarchical society. Unlike the protagonists in previous Buddhist stories, Huineng was not a member of the royal family, not even a member of the educated elite. He was an illiterate, poor orphan who grew up in the most remote part of the country, as pointed out by de Bary:

> The opening passage [of the story], as we have seen, presents Huineng as a very ordinary human being, unless one considers that he is more disadvantaged than most other humans in being poor, orphaned, and illiterate (2011, p. 138).

The humble origin of Huineng is mainly realised through terms of address used in the dialogues. In ancient China, it was considered that speech should be used appropriately in accordance with the user's status in society (Gu, 1990, p. 238). Speakers and hearers were categorized according to their standing in the social hierarchy, which prescribed their use of terms of address in an interaction (Kádár, 2007). More specifically, there was a strict restriction on the use of first- and second-person pronouns in conversations (Wang, 1980, p. 275). In most cases, only those with a higher social status could use first-person pronouns to refer to themselves and second-person pronouns to refer to the hearer. Those with a lower status could only use self-depreciatory terms or their own names as self-reference, and honorific terms were used to refer to the hearer. Therefore, terms of address become an important indicator of the relative statuses of characters involved in the story of the *Platform Sutra*.

The function of terms of address (including pronouns and various designative terms) to establish personal relationships has been studied since Brown and Gilman (1960, 1989), and constitutes an important perspective for investigating the realization of interpersonal meaning in spoken English (Poynton, 1991), the pedagogical context (Doherty, 2004) and literature (Busse, 2006).

Terms of address used in the source text and the translations are summarized in Table 3.1, which include the terms used by Huineng to refer to himself and others, and the terms used by others to refer to Huineng.

Table 3.1 Terms of address in the source text and translations[1]

	ST	Wong	Heng	Cleary	Cheng
Huineng's reference to himself	hui néng 惠能	I	Huineng	I	I
	dì zǐ 弟子(disciple)	I	this disciple	I	I
	wǒ 我(I)	I	I	I	I
	wú 吾(I)	I	I	I	I
Huineng's reference to others	shī 師(teacher)	you	the Master; the High Master	you	Your Mastership
	hé shang 和尚(monk)	Your Holiness; omitted	High Master	you	Your Holiness; Your Mastership
	shàng rén 上人 (Superior Person)	omitted	Superior One	omitted	Elder; you
	bié jià 別駕 (attendant officer)	omitted	the official	omitted	you
	míngshàng zuò 明上座 (Elder Ming)	Venerable Sir	Superior One Hui Ming	you	Elder Ming
	rén zhě 仁者(kind person)	omitted	kind sirs	you	omitted
	fǎ shī 法師 (Dharma master)	you	Dharma Master	you	Your Mastership
	rǔ 汝(you)	you	you	you	you
Others' reference to Huineng	rǔ 汝(you)	you	you	you	you
	liè liáo 獵獠(barbarian)	aborigine	barbarian	aborigine	backwater boor
	xíng zhě 行者 (practicing man)	Lay Brother	Cultivator	Workman	Oblate; Your Oblateship
	rén zhě 仁者(kind man)	you	Kind Sir	you	you

In referring to himself, Huineng uses his own name for most of the time, the self-depreciatory term *弟子* (disciple), and first-person pronouns *我* (I) and *吾* (I) are used twice each. In Huineng's reference to others, all the terms used are honorific, except the second person pronoun *汝* (you). In contrast, when others refer to Huineng, they use the second-person pronoun for most of the time, and even a derogatory term *獵獠* (barbarian) is used three times. Terms of address used in the source text are of such a strong hierarchical nature that they can also reveal, near the end of the story, the change

[1] Highlighted are those terms of address that are the same in the translations as in the source text.

of Huineng's status from an illiterate woodcutter to the Dharma inheritor. Huineng's use of first-person pronoun 吾 (I) (twice) to refer to himself and second-person pronoun 汝 (you) (seven times) to refer to others only occurs near the end of the story when Huineng has obtained recognition as the Sixth Patriarch. This is the same for the use of 行者 (practicing man) and 仁者 (kind man) as polite references to Huineng by others.

A comparison of terms of address used in the source text and the four translations shows that Heng's translation retains all references in the source text, Cheng retains most of them, Wong retains only a few, and Cleary changes almost all of them simply into *I* and *you*. This can be illustrated through the following example.

Example 9 in the following presents the first conversation between Huineng and the Fifth Patriarch. It can be seen that, in the source text, the Fifth Patriarch uses second-person pronoun 汝 (you) to refer to Huineng, and Huineng uses 弟子 (disciple) as a humble term to refer to himself and 師 (teacher) as an honorific term to refer to the Fifth Patriarch. Both the humble and horrific terms are replaced by *I* and *you* in translations by Wong and Cleary, but both are kept in Heng's translation.

Example 9

	the Fifth Patriarch	Huineng
ST:	rǔ hé fāng rén 汝 何 方 人º *You* which place person yù qiú hé wù 欲 求 何 物 want to ask for which thing	dì zǐ shì lǐng nán xīn zhōu bǎi xìng 弟子 是 嶺南 新州 百姓º *Disciple* is Lingnan xinzhou commoner yuǎn lái lǐ shī 遠 來 禮 師 afar come to visit teacher (T2008_.48.0348a14-6)
Wong:	…and was asked where I belonged and what I expected to get from him.	"*I* am a commoner from Sun Chow of Kwangtung. *I* have travelled far to pay *you* respect…" (1930, p. 2)
Heng:	"Where are *you* from and what do *you* seek?"	"*Your disciple* is a commoner from Hsin Chou in Ling Nan and comes from afar to bow to *the Master*." (1977, p. 57)
Cleary:	"Where are *you* from, and what do *you* want?"	"*I* am a peasant from Hsin Province in Ling-nan. *I* have come from far away to pay my respects to *you*…" (1998, p. 2)
Cheng:	"Where do *you* come from? And what do *you* desire to seek here?"	"*I* am a common citizen of Hsin State in Ling-Nan area. *I* came from afar to pay homage to *Your Mastership*." (2011, p. 6)

Although the humble status of Huineng as reflected through personal references is not fully retained by Cheng, this appears to be compensated by his use of speech functional metaphors (Matthiessen, 1995, pp. 438-444), where indicative clauses are used to realise requests and commands. Compared with other translations, Cheng's translation uses the fewest imperative clauses (Table 3.2), as many of the original imperatives are rendered into modulated indicative clauses.

Table 3.2 Mood types in the source text and translations

		ST	Wong	Heng	Cleary	Cheng
indicative		162 (86.2%)	130 (87.2%)	167 (88.4%)	156 (88.6%)	166 (91.2%)
	declarative	141 (87%)	119 (91.5%)	146 (87.4%)	135 (86.5%)	147 (88.6%)
	interrogative	21 (13%)	11 (8.5%)[4]	21 (12.6%)	21 (13.5%)	19 (11.4%)
imperative		26 (13.8%)	19 (12.8%)	22 (11.6%)	20 (11.4%)	16 (8.8%)
total no. of clauses		188	149	189	176	182

The two ways of representing Huineng's humility and politeness, through honorific terms used by Heng and speech functional metaphors used by Cheng, can be illustrated through the following example:

Example 10

ST: 惠能 不 識 字º請 上 人 爲讀 (huì néng bù shí zì qǐng shàng rén wéi dòu)
Huineng not know word ask *Superior person* read
(T2008_.48.0348c28)

Wong: … (and I asked him) to read it to me, as I am illiterate (1930, p. 5).

Heng: "*Huineng* cannot read. Please, *Superior One*, read it to me." (1977, p. 73)

Cleary: "*I* am illiterate; please read it to me." (1998, p. 10)

Cheng: "*I* cannot read; *could you read it for me*?" (2011, p. 15)

In Example 10, the use of Huineng's own name as self-reference, and an honorific term 上人 (superior person) to refer to the boy passing by his working place, are both retained by Heng in her translation. Cheng's translation, however, renders these terms into *I* and *you*, and changes the original imperative clause into an interrogative clause modulated by *could*, which achieves a similar effect in the target language.

In summary, both the translations by Heng and Cheng are relatively equivalent to the source text in terms of interpersonal meaning, and represent the image of Huineng as humble and polite. Translation shifts are more evident in the texts of Wong and Cleary, as most of the original terms of address, which are full of interpersonal connotations, are simply rendered as *I* and *you*. In this way, the inferior social status of Huineng in a hierarchical context becomes less apparent to the target readers.

3.5 Textual meaning: how does the story of Huineng unfold?

The textual metafunction is to make the text coherent, and is mainly realised in writing through the system of THEME, which will be the focus of this section.

3.5.1 Theme

The textual metafunction of language functions to create text, and one of its major grammatical systems is THEME, which is defined as follows:

> The system of THEME sets up a local environment, providing a point of departure by reference to which the listener interprets the message. With this system the speaker specifies the place in the listener's network of meanings where the message is to be incorporated as relevant. The local environment, serving as point of departure, is the Theme; what is presented in this local environment is the Rheme (Matthiessen & Halliday, 2009, p. 65).

The Theme in English appears in the initial position of the clause. It extends from the beginning of the clause, up to and including the first element that has a function in Transitivity, which is called topical Theme. A topical Theme can be either marked or unmarked. When a topical Theme is conflated with Subject in a declarative clause, with the finite verbal operator in a yes/no question or WH- element in a WH- question, or the predicator in an imperative clause, it is an unmarked Theme.

I	was selling firewood in the market one day.
Do you	understand the situation?
Where	are you from?
Go	to the backyard.
Theme	**Rheme**

A marked Theme is any element that does not belong to the above-mentioned categories, but is put at the beginning of the clause:

One day	the Grand Master called all his disciples to him.
marked Theme	**Rheme**

Anything else that comes before the topical Theme is also part of the Theme of the clause, though of a different nature: apart from the topical Theme, the clause may also have a textual Theme, which is usually a Continuative, Conjunction or conjunctive Adjunct, or any combination of them; and/or an interpersonal Theme, which may be a Vocative, a modal Adjunct or a Finite verbal operator of a WH- interrogative, or any combination of these.

So	I	retired to the backyard,
and	(I)	was told by a lay brother to split firewood.
textual Theme	**topical Theme**	**Rheme**

Barbarian, I think	your faculties these views of yours	are too sharp. can be of use.
interpersonal Theme	**topical Theme**	**Rheme**

Sometimes the topical Theme following a textual Theme may be implicit, but will still be counted in the analysis, as indicated in the above example.

As for Theme in Chinese, although it is generally agreed that Theme in Chinese can also be identified by the initial position, there is controversy over the markedness of the topical Theme. Fang et al. (1995) and Halliday and McDonald (2004) consider that there is no need to make the distinction between marked and unmarked Theme in Chinese, as it is considered that almost any element in the TRANSITIVITY system can be put at the beginning of the clause. However, Li (2007) and later Fang (2008) maintain such a distinction, and regard any clause-initial element other than the Participant (of the experiential function) that is conflated with the Subject (of the interpersonal function) as marked Theme. The reason for this is that the selection of the first element is usually not random, and that there is a strong tendency to use unmarked Themes (Li, 2007, p. 164) in Chinese. The present study thus follows Li and Fang, and distinguishes between marked and unmarked Themes.

3.5.2 Huineng's thematic status and ways of storytelling

The analysis in this section is conducted from two perspectives: references to Huineng as the topical Theme, and the overall Thematic choices of the texts. Contrary to the interpersonal analysis that focuses on dialogues in Section 3.4, the analysis of data in this section covers the narrative clauses only.

As the Theme provides the point of departure for the clause and is what the speaker wants to focus on, anything that is put in the initial position obtains thematic prominence (Halliday, 1979, p. 67). Therefore, how often references to Huineng serve as topical Theme can be seen as an indicator of his importance and personal involvement in the storytelling. The occurrences of Huineng as topical Theme in each text are summarized in Table 3.3, which includes cases where the unmarked topical Theme is left implicit.

Table 3.3 Huineng as the topical Theme in the source text and translations

	ST	**Wong**	**Heng**	**Cleary**	**Cheng**
Huineng as topical	64 (34.0%)	53 (32.5%)	53 (30.6%)	60 (33.7%)	68 (33.3%)
Total topical (unmarked)	188	163	174	178	178

As presented in Table 3.3, Huineng appears as the topical Theme more often in the source text than in all the translations, although translations by Cleary and Cheng are closer to the source text than those by Heng and Wong. It should also be noted that, as Heng's translation retains the name *Huinen*g for the whole story, there are many cases where the third-person pronoun *he* (which refers back to *Huineng*) serves as topical Theme. This actually reduces the prominence of Huineng as topical Theme, since *he* is also used as anaphora to any one of the male characters in the story. In contrast, there is only one *I* (referring to Huineng) in the narrative parts of the story in other translations.

An analysis of Theme patterns in each text is presented in Table 3.4.

Table 3.4 Theme in the source text and translations

		ST	Wong	Heng	Cleary	Cheng
interpersonal Theme		-	1 (0.4%)	1 (0.4%)	1 (0.4%)	1 (0.4%)
textual Theme		21 (9.3%)	69 (25.8%)	70 (25.5%)	68 (24.9%)	**91 (30.3%)**
topical Theme		206 (90.7%)	197 (73.8%)	203 (74.1%)	204 (74.7%)	208 (69.3%)
	unmarked	188 (91.3%)	163 (82.7%)	174 (85.7%)	178 (87.3%)	178 (85.6%)
	marked	18 (8.7%)	**34 (17.3%)**	29 (14.3%)	26 (12.7%)	30 (14.4%)

Overall, there is an increase in interpersonal, textual and marked topical Themes in all the four English translations in comparison with the source text.

As for interpersonal Theme, although there is no clause containing interpersonal Theme in the source text, there is one such clause in each translation. While Heng, Cleary and Cheng use the same comment Adjunct *unfortunately* (Example 11) as interpersonal Theme, Wong uses a metaphorical modality (Example 12):

Example 11

ST: 此(cǐ) 身(shēn) 不(bú) 幸º(xìng) 父(fù) 又(yòu) 早(zǎo) 亡(wáng) (T2008_.48.0348a02-3)
this body not lucky father too early die

Heng: Unfortunately, his father soon died (1977, p. 53).

Cleary: Unfortunately *for me*, my father also died early (1998, p. 1).

Cheng: Unfortunately, my father passed away early (2011, p. 4).

Example 12

ST: 宿昔(xiǔ xī) 有(yǒu) 緣º(yuán) 乃(nǎi) 蒙(méng) 一(yī) 客(kè) 取(qǔ) 銀(yín) 十(shí) 兩(liǎng) 與(yǔ) 惠(huì) 能º(néng) 令(lìng) 充(chōng) 老(lǎo) 母(mǔ)
past have affinity so one guest give ten tael silver to Huineng let buy mother
衣(yī) 糧º(liáng) 教(jiào) 便(biàn) 往(wǎng) 黃(huáng) 梅º(méi) 參(cān) 禮(lǐ) 五(wǔ) 祖(zǔ)
clothes food ask to go to Huangmei visit Fifth Patriarch (T2008_.48.0348a11-12)

Wong: It must be due to my good affinity in past lives that I could have heard about this, and that I was given ten taels for the maintenance of my mother by a man who advised me to go to Wong Mui to interview the Fifth Patriarch (1930, p. 2).

Although they are different, the interpersonal Themes help to exhibit an inclination to interact with the audience and invite a sense of pity from them on the part of Huineng, which is absent in the source text.

As for textual Theme, while there are only 21 clauses with textual Themes in the source text, the number increases to 91 in Cheng's translation, and nearly 70 in the other three translations. This increase can be partly seen as the consequence of the typological differences between Chinese and English. As previous studies (e.g. Wang, 1984, pp. 468-472) have pointed out, the logical relations between clauses in a clause complex are often left implicit in Chinese, with no overt transitions. In the process of translation, the translators may choose to explicitly 'translate' these implicit transitions by using conjunctions, or alternatively, by relating two or more clauses that are related cohesively in the source text through tactic structures (Christian Matthias Ingemar Martin Matthiessen, 2014, pp. 290-293).This can be illustrated through Example 13.

Example 13

ST: shén xiù zuò jì chéng yǐ 神秀作偈成已º Shenxiu compose verse already shù dù yù chéng ---數度欲呈º ---several times want to submit háng zhì táng qián ---行至堂前º ---walk to front hall xīnzhōng huǎngcòng ---心中恍惚º ---mind in a trance biànshēn hàn liú ---遍身汗流º ---whole body covered by sweat (T2008_.48.0348b16-18)	**Wong:** When Shin Shau had composed his stanza, he made several attempts to submit it to the Patriarch; but as soon as he went near the hall his mind was so perturbed that he sweated all over his body (1930, p. 3).
	Heng: After composing his verse, Shen Hsiu made several attempts to submit it. But whenever he reached the front hall, his mind became agitated and distraught, and his entire body became covered with perspiration (1977, p. 65).
	Cleary: After Shen-hsiu had composed his verse, several times he got as far as the front of the auditorium intending to present it, but each time he felt faint and broke out in a sweat (1998, p. 7).
	Cheng: Having finished composing the Gatha, Shen-Hsiou tried several times to submit it. Yet when he walked up to the front of the hall, he became so distrait and perturbed that he perspired all over (2011, p. 10).

It can be seen that the source text has five clauses, all with *神秀* (Shenxiu) as the topical Theme, and there is no textual Theme. By contrast, each English translation has several conjunctions as textual Themes, which relate one clause to another.

As for the marked topical Themes, a considerable increase in the translations can also be observed in Table 3.4. In the source text, there are 18 clauses with marked topical Themes. Most of these are temporal circumstances, which are generally non-specific, such as *復兩日* (two days later) and *又經數日* (several days later). Instead of locating the event in a particular time, these Themes contribute more to the sequential

development of the narrative. Time, therefore, serves as both (marked) topical and cohesive Themes, linking different events in a temporal sequence and making the narrative cohesive.

The number of clauses containing marked topical Themes sees an increase from 18 in the source text to 34 in Wong's translation, 30 in Cheng's translation, and 29 and 26 in Heng's and Cleary's translations, respectively. As a large number of the marked topical Themes in the translations are temporal circumstances, this increase indicates that the story is told in a more cohesive way than in the source text, as shown in Example 14.

Example 14

ST: zǔ 祖 sān gēng 三更 huàn 喚 xiù 秀 rù táng 入堂 Patriarch midnight call Xiu to Hall (T2008_.48.0348c06-7)	**Wong:** At midnight, the Patriarch sent for Shin Shau to come to the hall (1930, p. 4).
	Heng: At the third watch, the Patriarch called ShenHsiu into the hall (1977, p. 69).
	Cleary: In the middle of the night, the Grand Master asked Shen-hsiu to his quarters (1998, p. 8).
	Cheng: At the third hour that night, the Patriarch summoned Shen-Hsiou to his chamber (2011, p. 13).

If the focus were put on the clause alone, it would be difficult to understand why all the four translations have 三更 (at midnight) at the beginning of the clause (thus a marked topical Theme). However, if the choice is examined in a broader environment, that is, in relation to the Themes of the previous and following clauses or the thematic progression of the text, it becomes clear that the shift is to enhance the cohesion of the text. The clause in Example 14 is part of the description of an event that happened during one day. Each of the marked topical Themes in the translations actually corresponds to another marked Theme in a previous clause. Taken together, the correspondence and cohesion of the two marked Themes can be clearly seen, as in Example 15.

Example 15

ST: tiān míng zǔ huàn lú gòngfèng lái 天明 祖 喚 盧供奉 來 Morning Patriarch call officer Lu to come ..... zǔ sān gēng huàn xiù rù táng 祖 三更 喚 秀 入堂 Patriarch midnight call Xiu to hall (T2008_.48.0348c01; 06)	**Wong:** In the morning, the Patriarch sent for Mr. Lo, the court artist… …… At midnight, the Patriarch sent for Shin Shauto come to the hall (1930, p. 4).
	Heng: At daybreak, the Patriarch called Court Artist Lu Chen… …… At the third watch, the Patriarch called Shen Hsiu into the hall (1977, p. 69).
	Cleary: In the morning he called the artist Lu Kung-feng… …… In the middle of the night, the Grand Master asked Shen-hsiu to his quarters (1998, p. 8).
	Cheng: At dawn, when the Patriarch called Kong-fong Lu… …… At the third hour that night, the Patriarch summoned Shen-Hsiou to his chamber (2011, p. 13).

It is probable that the translators noticed the use of the marked Theme in the first clause and then chose to keep the same pattern in the second, thus making a shift in the selection of Theme. This shift, however, is a kind of trade-off, as coherence and emphasis are enhanced at the same time (Eggins, 1994, p. 298).

As discussed above, both the marked (topical) and textual Themes quite often serve as transitions in the texts, and thus provide the speaker with a means to guide the audience in interpreting the unfolding text by linking the current clause to its preceding or following clauses. Compared with the source text, Huineng in the English translations speaks in a more explicit and logical way, providing more guidance to the audience's interpretation of the story. Among the translations, there is a tendency for Wong and Cheng to explicate the connections between clauses, more so than do Heng and Cleary.

3.6 Conclusion

Based on the theoretical framework of systemic functional linguistics, this study analyses the meaning reproduction in four English translations of the same story, from three perspectives: experiential, interpersonal and textual. It has been found that shifts

occur in almost all the translations, which consequently lead to variation in the image of Huineng.

Experientially, translations by Heng, Cleary and Cheng are relatively equivalent to the source text in depicting Huineng as an active pursuer of the Dharma, while suppression of Huineng's participant role as Actor, and increase of his role as Sayer, Receiver and Carrier in Wong's translation produce an image of Huineng that is less active. Interpersonally, the low status of Huineng is retained in translations by Heng and Cheng; but is more or less lost in translations by Cleary and Wong. Textually, all the translations shift away from the source text by reducing references to Huineng that serve as topical Themes, and by increasing textual, interpersonal and marked topical Themes. Therefore, Huineng talks in a more cohesive way in the translations than in the source text.

While it can be said that translation shifts are inevitable, as "all choices in translation arguably constitute shifts in meaning" (Matthiessen, 2014, p. 275), the various shifts in the translations discussed in the present study differ according to their 'motivatedness' (ibid). Some of the shifts might have been motivated by contextual considerations, such as the shifts in the interpersonal meaning in the translations by Wong and Cleary. As both translations are targeted at ordinary readers, it is probable that the culture-specific terms of address are left out for the sake of acceptability of the translation. Some of the shifts may be considered only partly motivated. For instance, the shifts in textual meaning may partly be due to the typological differences between the source and target languages, and may also be the result of the translator's effort to assist the reader's comprehension. There may be other shifts that appear to be even less motivated, such as Wong's preference for the passive structure and the consequent creation of a less-active image of Huineng.

Notes

1. The term‘translation shifts’ is first introduced into translation studies by Catford, and originally refers to “departures from formal correspondence in the process of going from the SL (source language) to TL (target language)” (Catford, 2000). This definition has been revisited and expanded by many scholars, such as Popovic (1970), van Leuven-Zwart (1989), Munday (1998) and Matthiessen (2014). Matthiessen’s definition is adopted in this study, as it is SFL-oriented and pays attention to ‘meaning’, which is the focus of the present study.

2. The low percentage of interrogative clauses in Wong’s translation is due to the change of many questions from direct into indirect speech.

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4 Verbs of saying and images of Huineng[1]

4.0 Preamble

The previous chapter of the thesis, Chapter 3, provided a background for the following analytical chapters by analysing the translations of the story of Huineng from the three metafunctional perspectives: ideational, interpersonal and textual. Results implicate that: in terms of ideational meaning, there is slight difference among the four translated texts; in terms of interpersonal meaning, the differences are more salient; and in terms of textual meaning, the differences are more likely due to typological differences between the source and target languages than to the translators' personal choices.

In the following of the thesis, each of Chapters 4 to 9 will focus on a certain aspect from the three metafunctions, with Chapter 4 on verbs of saying within the ideational, Chapters 5 to 8 on different aspects within the interpersonal, and Chapter 9 on textual complexity within the textual metafunction.

As has been pointed out in Chapter 3 (Section 3.2.2), verbal processes are prominent in the *Platform Sutra*, which is a written record of words spoken by Huineng. Therefore, verbs of saying play an important role in the sutra and contribute to the construction of the image of the speaker, Huineng, in both the source text and translations. The study presented in this chapter will investigate the use of verbs of saying in the *Platform Sutra* and how they are rendered in four English translations (Wong, 1930; Heng, 1977; Cleary, 1998; Cheng, 2011) through manual analysis in Excel. It will also demonstrate how various verbs of saying used in the translations help to recreate a certain image of Huineng, and answer the question why certain verbs of saying tend to be selected by one translator but not the others, by taking the context of translation into consideration.

[1] This chapter is based on the article "The Master *Said*, the Master *Exclaimed*: Reporting Verbs and Image of Huineng in Translations of the *Platform Sutra*", originally published in *Asia Pacific Translation and Intercultural Studies*, 3 (3): 1-13. Available at http://tandfonline.com/doi/full/10.1080/23306343.2016.1228148.

4.1 Introduction

In recording Huineng's spoken words, the compiler of the *Platform Sutra* took the responsibility to provide information concerning the time, place, and addressee, and more importantly, the manner of speaking in the form of verbs of saying, as the tone of voice, and gestural and facial clues once accessible to the original audience had become unavailable to the readers. These verbs of saying play an important role in providing a framework for the readers' understanding of the recorded words and, ultimately, the image of Huineng as exhibited through the way of speaking.

There are previous studies on the function of verbs of saying in presenting the speaker as strong or weak (Geis, 1987, pp. 93-94; 130-137), confident or pessimistic (Belmonte, McCabe, & Chornet-Roses, 2010, pp. 234-238), and on the relation between choice of verbs of saying and the reporter's attitude towards the speaker (Floyd, 2000). Moreover, translation of saying verbs between two languages in general (e.g. Ardekani, 2002; Rojo & Valenzuela, 2001), and in a particular literary text (e.g. Bourne, 2002; Winters, 2007) has also been discussed. In contrast, although variation in reporting verb selection for the same speaker by different translators has been discussed by scholars such as Liu and Yan (2010) and Huang (2014), few studies have focused on the function of these verbs in directing readers' interpretation of the utterance, the relationship between the speaker and the hearer, and the persona of the speaker (though the topic is touched upon in Bourne, 2002, pp. 249-251). It is, therefore, expected that the study presented here can attract scholars' attention to this area.

4.2 Data and methodology

The source text used in this study is the 'orthodox' version of the *Platform Sutra* (Schlütter, 2012, p. 18). Four English translations based on this version are included here. They are: *Sutra Spoken by the Sixth Patriarch (Wei Lang) on the High Seat of the Gem of Law (Message from the East)* by Wong Mou-lam (1930), *The Sixth Patriarch's Dharma Jewel Platform Sutra* by Heng Yin (1977, second edition), *The Sutra of Hui-neng, Grand Master of Zen: with Hui-neng's Commentary on the Diamond Sutra* by Thomas Cleary (1998a), and *The Dharmic Treasure Altar-Sutra of the Sixth Patriarch* by Cheng Kuan (2011, second edition).

These four translations are selected on the basis of heterogeneity in terms of publishing time, translators' identity, and intended readership. The translations were produced across a time span of eighty years, with the first one published in 1930 and the last one in 2011. As for the translators themselves, while Wong and Cheng are Chinese translators, Heng and Cleary are Americans. In terms of religious background, however, both Heng and Cheng are Buddhists, and Wong and Cleary are lay people. As for the intended readership, Wong's translation was targeted at Western readers, with the purpose to arouse in them some interest in Chinese Buddhism, which was still unknown in the West in the 1930s (Dih, 1930, p. I). Heng's translation was for Western Buddhist practitioners, and aimed to help them in their religious pursuit (Hsuan, 2001, p. xv). In contrast, Cleary's translation was mainly for ordinary Western readers, as can be seen from the title of the book and its introduction (1998a, pp. 3-4). Finally, as a Buddhist Master and abbot himself, Cheng produced the translation for his American disciples, Buddhism experts and practitioners (Low, 2010, pp. 41, 87).

A parallel corpus is established by identifying all the reporting clauses with Huineng as speaker in the source text and in their corresponding translations in the four English texts. Verbs of saying are identified, classified and summarised in Excel. Verbs of saying in the source text are classified into two types, general and specific, on a semantic basis. General verbs of saying refer to those verbs that do not specify the manner or attitude of speaking apart from the basic notion of 'saying'; while specific verbs of saying are those with such specification. Corresponding translations of both general and specific verbs of saying are identified in each translation. Attention was paid to discerning any propositional phrase or adverb modifying the reporting verb, but nothing significant was found.

4.3 Results and discussions

4.3.1 General verbs of saying

Three general verbs of saying are recognized in the source text, which are '曰' (yuē), '云' (yún) and '言' (yán), according to Wang (2000) and Wang, Cen and Lin (2005). While there is no difficulty in classifying '言' (yán) as a general verb of saying, '曰' (yuē) and '云' (yún) are used in two different ways in the text. They are recognized as

general verbs of saying when used in the structure of ‘speaker + 曰/云’, such as ‘師曰’ (shī yuē, literally, *the Master say*). In cases where they occur in the structure of ‘speaker + a specific reporting verb + 曰/云’, such as ‘師問曰’ (shī wèn yuē, literally, *the Master ask say*), they are considered quotation markers, and the inserted verb is counted as a specific reporting verb. This is because there is no punctuation in old Chinese, and ‘曰’ (yuē) / ‘云’ (yún) in these cases serve to signal that what follows are words spoken by the subject of the reporting verb, rather than by the reporter.

Table 4.1 General verbs of saying and their translations

ST		**Wong**		**Heng**		**Cleary**		**Cheng**	
曰(yuē)	76	reply	27	say	83	say	91	say	74
云(yún)	11	ask	17	reply	5	ask	2	ask	7
言(yán)	8	say	16	continue	2	reply	1	demand	5
		add	8	ask	2	add	1	remark	2
		address	5	exclaim	1			observe	1
		remark	3	answer	1			return	1
		exclaim	2	add	1			pronounce	1
		retort	2					continue	1
		reprove	2					reply	1
		rejoin	2					speak	1
		commend	2					omitted	1
		concur	1						
		continue	1						
		tell	1						
		explain	1						
		demand	1						
		declare	1						
		omitted	3						
total			95		95		95		95

General verbs of saying used in the source text and translations of these verbs in each English text are presented in Table 4.1. The table shows that the three general saying verbs of ‘曰’ (yuē), ‘云’ (yún) and ‘言’ (yán) are rendered differently in each translation. While Cleary mainly relies on the neutral, unmarked, or most general verb ‘say’ in English (91 times), ‘say’ only occurs 16 times in Wong’s translation. As for the variety of saying verbs, Wong uses 18, Cheng uses 10, Heng uses 7 and Cleary uses only 4 different verbs in their translations.

Verbs of saying apart from the general ‘say’, as many studies have proven, can help the translator establish a certain image for the character (Rojo & Valenzuela, 2001; Winters, 2007). In the following, verbs specifying the manner of speaking, and thus contributing to recreating a certain image of Huineng, are discussed in detail.

reply

The meaning of the verb 'reply' can be probed from three perspectives. Firstly, 'replying' means "responding to a speech act with another speech act" (Wierzbicka, 1987, p. 373), and it signifies the turn-taking nature of the activity. Secondly, 'replying' differs from 'answering', as Wierzbicka points out, in that "the person who *answers* feels that he *has to* say something to what has been said; the person who *replies* feels that he *wants to* say something in response" (ibid p. 374, emphasis added). That is, to 'answer' is an obligation, while to 'reply' reveals voluntariness on the part of the speaker. Thirdly, to 'reply' implies a relationship between two people. It draws attention to the person who says something as well as to what is said.

The verb 'reply' is used most frequently in rendering the original general saying verbs in Wong's translation (27 times) in comparison with the other three translations. In these three translations, the verb 'say' dominates and 'reply' occurs only occasionally. An example is provided in Example 1. In this example, while all the other three translators use 'say' to render the original '曰', Wong chooses the verb 'reply'. The inherent turn-taking nature of this verb presents Huineng as willing to take his turn to respond to others' questions.

Example 1

ST[1]: ní nǎi zhí jùan wèn zì
(尼 乃 執 卷 問 字)
nun therefore hold book ask character
shī yūe zì jì bù shí yì jì qǐng wèn
師 曰º 字 即不 識º 義 即請 問
teacher say character not know meaning please ask (T2008_.48.0355a16-17)

Wong: (Whereupon, she picked up the book and asked him the meaning of certain words.)
"I am illiterate," he *replied*, "but if you wish to know the purport of this work, please ask." (1930, p. 36)

Heng: The Master *said*, "I cannot read; please ask about the meaning." (1977, p. 261)

Cleary: The Master *said*, "I don't know characters; please ask about meaning." (1998a, p. 44)

Cheng: The Master *said*, "As for the Words themselves, I do not read any of them; however, in respect of the Imports, you could ask me whatever you would like to know about." (2011, p. 87)

[1] Note: Due to the dialogic nature of some examples, words of another person with whom Huineng interacts are also provided in the brackets to serve as context. Translations of these words will be provided once only (usually in Wong's translation) to save space; source text sentences are referred to by identifying their line numbers in the on-line database of Taishō Shinshū Daizōkyō, http://21dzk.l.u-tokyo.ac.jp/SAT/ddb-bdk-sat2.php?lang=en.

The difference between ‘reply’ and ‘answer’ is illustrated in Example 2, where ‘reply’ is used by Wong and ‘answer’ by Heng:

Example 2

ST:

jiǎn yūe shī shuō bù shēng bù miè hé yì wài dào
(簡 曰º 師 說 不 生 不 滅º 何 異 外 道)
Jian say teacher say no production no extinction how differ from other schools

shī yūe wài dào suǒ shuō bù shēng bù miè zhě jīang mie zhǐ
師 曰º 外 道 所說不 生 不 滅者º 將 滅 止
teacher say other schools say no production no extinction use extinction to end

shēng yǐ shēng xían mie
生º 以 生 顯 滅
production use production to reveal extinction (T2008_.48.0360a10-11)

Wong: (Sit Kan then asked, “You say that it is above existence and non-existence. How do you differentiate it from the teaching of the heretics who teach the same thing?”)
“In the teaching of the heretics,” *replied* the Patriarch, “‘non-existence’ means the end of existence, while ‘existence’ is used to contrast with ‘non-existence’……” (1930, p. 63).

Heng: The Master *answered*, “As non-production and non-extinction are explained by other religions, extinction ends production and production reveals extinction……” (1977, p. 375).

Cleary: The Master *said*, “The unborn and unperishing of which outsiders speak is using annihilation to stop birth, using birth to show annihilation……” (1998a, p. 69).

Cheng: The Master *said*, “The Non-nascence and Non-perishment that the External Wayists’ postulate is to employ ‘Perishment’ to halt ‘Nascence’, and then utilize ‘Nascence’ to offset the ‘Perishment’……” (2011, p. 146).

In Example 2, while both ‘reply’ and ‘answer’ can be used to respond to the question asked, the use of ‘reply’ by Wong, according to the interpretation by Wierzbicka, highlights the willingness of the speaker, which is different from the sense of obligation conveyed by the verb ‘answer’.

Frequent use of ‘reply’ by Wong, especially in comparison with the use of ‘say’ and ‘answer’ by other translators, helps to present Huineng as willing to engage in a dialogue with his audience and thereby establish a close relationship with them.

ask/ demand

In a verbal exchange, both ‘ask’ and ‘demand’ can be used to seek for information. But the two differ in their interpersonal connotations. By ‘asking’, the speaker inhibits expectation of a verbal response from the hearer, but there is no assumption of the interpersonal relation: that is, ‘ask’ is neutral between “you have to” and “you don’t have to” answer (Wierzbicka, 1987, p. 67). In contrast, to ‘demand’ implies that the

hearer *has to* respond. The verb implies that the speaker thinks he has the right and power to obtain the information he needs, and the hearer is of a lower status to comply with this 'demand'.

This distinction in meaning can shed some light on the difference in the image of Huineng presented by Wong and Cheng, though both tend to use many specific verbs of saying. In Wong, Huineng most of the time is 'asking' for information, with 'demand' used only once. In Cheng, Huineng is both 'asking' and 'demanding'. The following example serves as an illustration:

Example 3

ST:	shī yūe rú céng zùo shén mē lai 師 曰º 汝 曾 作 什麼來 teacher say you past do what (T2008_.48.0357b14)
Wong:	"What work have you been doing?" *asked* the Patriarch. (1930, p. 47)
Heng:	The Master *said*, "What did you do before coming here?" (1977, p. 309)
Cleary:	The Master *said*, "What have you done?" (1998b, p. 55)
Cheng:	The Master *demanded*, "What have you been doing before you came here?" (2011, p. 114)

In Example 3, Huineng 'asked' the person who came to visit him a question in Wong, but 'demanded' an answer in Cheng.

<u>exclaim/ retort/ reprove/ rejoin/ commend</u>

These are all verbs with connotations of the speaker's emotions and attitudes. To 'exclaim' is obviously more emotional than simply to 'say', as shown in the following example, where Huineng is having a lively discussion with a disciple concerning his understanding of Buddhist ideas:

Example 4

ST:	shī yūe zhǐ cǐ bù wū rǎn zhū fó zhī suǒ hù nìan 師 曰º 只此 不 汚染º 諸 佛 之所 護 念... teacher say only this no pollution all Buddhas protect think (T2008_.48.0357b23)
Wong:	… the Patriarch *exclaimed*, "It is this unpolluted thing that all Buddhas take good care of..." (1930, p. 48)
Heng:	The Master *said*, "It is just the lack of defilement of which all Buddhas are mindful and protective..." (1977, p. 312)
Cleary:	The Master *said*, "This non-obessession is just what all Buddhas keep in mind..." (1998b, p. 55)
Cheng:	The Master *said*, "Just this idea of 'not befouling it' alone has been mindfully protected by all Buddhas..." (2011, p. 115)

While to ‘exclaim’ is to express one’s own emotions, to ‘retort’/ ‘reprove’/ ‘rejoin’/ ‘commend’ conveys the speaker’s attitude towards the hearer (or his words/behaviour). A negative judgement is conveyed by ‘retort’, ‘reprove’ and ‘rejoin’, although the force of the criticism may vary. By contrast, to ‘commend’ expresses a favourable opinion about the hearer.

It can be seen from Table 4.1 that all these words, with the exception of ‘exclaim’ (which is used once by Heng), are only used by Wong, who presents Huineng as a Chan master talking in a passionate way. He openly criticizes some disciples for their improper words, and praises others for their thorough understanding of the Buddhist ideas.

In summary, by using so many different verbs of saying, which add specification of the speaker’s attitude or manner of speaking to the original general verbs of saying, Wong recreates a more vivid image for Huineng. In Wong’s translation, Huineng willingly replies to others’ words, asks for information as well as makes statements, and does all these with emotions. The same Chan master is presented as being more authoritative in Cheng’s translation, as the use of verbs such as ‘demand’ and ‘pronounce’ reveals to us. Following the source text in relying on general verbs of saying, translations by Heng and Cleary do not provide much information concerning the manner of speaking, and thus largely leave the image of Huineng to the interpretation of the reader.

4.3.2 Specific verbs of saying

Apart from the general verbs ‘曰’ (yuē), ‘云’ (yún) and ‘言’ (yán), there are also some verbs of saying that are more specific in the source text. As has been pointed out above, almost all of them are used in combination with ‘曰’ (yuē)/ ‘云’ (yún), which can thus be seen as quotation markers in these cases.

Specific verbs of saying used in the source text and their corresponding translations are presented in Table 4.2.

The first thing to be noticed in Table 4.2 is the use of the unmarked ‘say’ to translate the original specific verbs of saying in each translation. While ‘say’ occurs only twice in Wong’s and 6 times in Cheng’s translation, it appears 14 times in Cleary’s and 9

times in Heng's translations. As for the variety of verbs, Cheng uses 11 different verbs to translate the 7 specific verbs in the source text, Wong uses 10, Heng uses 8, and Cleary uses the fewest, 7. This means that, in translating these specific verbs of saying, Cheng and Wong tend to choose different verbs for the same verb in the source text. On the contrary, Cleary mainly relies on the verb 'say' to generalize the original verbs with specifications of the attitude or manner of speaking.

Table 4.2. Specific verbs of saying and their translations

ST	Wong		Heng		Cleary		Cheng	
告…曰 (gào…yuē)	address	2	say	2	say	5	impart	1
	deliver	2	speak	1	announce	1	say	2
	ask	1	address	1			tell	1
	add	1	continue	1			exhort	1
			tell	1			pronounce	1
示…云 (shì…yún)	preach	5	instruct	5	say	3	tell	1
					omitted	2	say	1
							evince	3
謂…曰 (wèi…yuē)	address	3	say	6	say	5	say	3
	give order	1			tell	1	tell	2
	say	1					address	1
	tell	1						
說(偈)曰 (shuō (jì) yuē)	utter	3	speak	3	utter	3	divulge	1
							impart	2
問 (曰/云) (wèn (yuē/yún))	ask	3	ask	3	ask	3	ask	3
語…曰 (yǔ…yuē)	say	1	say	1	say	1	tell	1
訶曰 (hē yuē)	reprove	1	scold	1	chide	1	castigate	1
total		25		25		25		25

Discussion of the translation of several specific verbs is presented in the following, with the aim of investigating the role of these verbs in recreating the image of Huineng.

告…曰 (gào…yuē)

Example 5

ST: zǔ shī gào zhòng yūe jīn yǒu dào fǎ zhī rén qián zài cǐ huì
祖師 告 衆 曰º 今 有 盜 法 之人º 潛在此 會
Teacher tell people say now have steal Dharma person hide this assembly (T2008_.48.0358b17-8)

Wong: "Someone has hidden himself here to plagiarize my lecture," *addressed* the Patriarch to the assembly. (1930, p. 53)

Heng: The Patriarch *told* the assembly, "Today there is a Dharma thief hidden in this assembly!" (1977, p. 340)

Cleary: …the Grand Master *announced* to the crowd, "Now there is someone stealing the teaching concealed in this congregation." (1998a, p. 60)

Cheng: …the Patriarch *pronounced* to the Congregants, "Right now there is a 'Dharma-Thief' hiding in this Assembly." (2011, p. 131)

Example 5 is taken from Chapter Eight of the *Platform Sutra*, where Huineng's opponent, Shenxiu, sent one of his disciples to hide among the multitude to 'steal' the teaching of Huineng, who already knew what had happened and told his audience that there was a spy among them.

The original verb '告' (gào) roughly means 'to tell (someone) something', and implies the existence of a hearer. According to Wang (2000, p. 109), there is usually no distinction in terms of social status between the speaker and hearer when '告' (gào) is used. The feature of the verb lies in its implication of saying as a purposeful activity targeted at one or more particular hearers, and its emphasis on the interactive activity of the communication. By putting the audience in the role of message receiver, '告' (gào) in the source text has the function of uniting Huineng and those who are 'genuine' in the audience into one group, while isolating the spy as an outsider, an opponent to all.

'告' (gào) is translated into different verbs in the four translations. In Wong, the verb used is 'address', and Heng uses the common verb 'tell' with the meaning of "to cause someone to hear and to know" (Wierzbicka, 1987, pp. 286-289). Both 'address' and 'tell' lack any implication of the status of the speaker in relation to his audience. In contrast, 'announce' and 'pronounce', adopted by Cleary and Cheng, do have the implication that the message is transmitted in an authoritative way and that the speaker himself assumes certain authority (Wierzbicka, 1987, pp. 305-308; 350-352). Moreover, in 'pronouncing' and 'announcing', the focus is on the message, and the

speaker may not have an interest in the addressee. Therefore, the choice of these two verbs, ‘announce’ and ‘pronounce’, helps present Huineng as an authoritative Chan master declaring something important in front of the audience, which is different from the image of Huineng who politely ‘addresses’ or simply ‘tells’ his audience something.

<u>示…云 (shì…yún)</u>

Example 6

ST:	shī 師 shì 示 zhòng 衆 yún 云 Teacher instruct people say (T2008_.48.0352c13, 25; T2008_.48.0353a07 ; T2008_.48.0353b08,18)
Wong:	The Patriarch *preached* to the assembly as follows (1930, pp. 23, etc.).
Heng:	The Master *instructed* the assembly… (1977, pp. 203, etc.)
Cleary:	The Master *said* to the assembly… (1998a, pp. 31, etc.)
Cheng:	The Master *told* the Congregation… The Master *said* to the Congregants… The Master *evinced* to the Congregants… (2011, pp. 203, etc.)

The clause ‘師示衆云’ (shī shì zhòng yún) appears 5 times in Chapters Four and Five of the sutra, with the function of introducing a number of reported sentences (or even paragraphs) as the records of Huineng’s public sermons. In Example 6, the reporting verb, ‘示’ (shì), has a special meaning in Buddhism, as ‘開示’ (kāi shì), which refers to the practice of an enlightened and highly revered Buddhist master teaching/lecturing a large audience to help them understand certain Buddhist ideas and obtain enlightenment.

It can be seen that ‘示’ (shì) is also rendered differently by the translators. Wong uses the verb ‘preach’ and Heng uses ‘instruct’ 5 times each; while Cleary uses the unmarked ‘say’ 3 times, with the other 2 omitted. Cheng’s translation displays diversity by using 3 different verbs, ‘tell’ and ‘say’ once each and ‘evince’ 3 times, for the same verb in the source text. Due to its religious connotation, ‘preach’ depicts Huineng as someone who is delivering a public sermon, and no indication of his high status is given. ‘Instruct’ in Heng’s translation emphasizes the transmission of skills, and “presents the speaker’s role in terms of competence and responsibility rather than superiority” (Wierzbicka, 1987, p. 46). ‘Evince’ used by Cheng is rather formal, and has the implication that what is being said is something hidden and secret. By ‘evincing’, Huineng in Cheng’s translation is presented as a Chan master having access

to some confidential information inaccessible to common people, and his image thus becomes superior and mysterious.

<u>說 (shuō)</u>

Example 7

ST:	fù shuō jì yūe 復 *說* 偈 曰 again say verse say (T2008_.48.0355b17, T2008_.48.0356b09, T2008_.48.0362b01)
Wong:	he concluded his remark by *uttering* another stanza… the Patriarch then *uttered* another stanza… then he *uttered* another stanza… (1930, pp. 38, 42, 74)
Heng:	he then *spoke* a verse… he then *spoke* this verse… he further *spoke* this verse… (1977, pp. 270, 285, 422)
Cleary:	then he *uttered* another verse… then he *uttered* another verse… then he *uttered* another verse… (1998b, pp. 46, 50, 80)
Cheng:	the master *divulged* a Gatha again… thereupon the master *imparted* another Gatha … Now I would like to *impart* another Gatha to you… (2011, pp. 91, 100, 170)

‘說’ (shuō) in the source text roughly means ‘say something (the verse) as an explanation’. While Huineng in Wong, Heng and Cleary simply ‘utters’ or ‘speaks’ a verse, he ‘divulges’ and ‘imparts’ the verse in Cheng. Both ‘divulge’ and ‘impart’ have the implication that the information being conveyed is something secret and confidential, and the image of Huineng becomes a person who has privilege of access to some message that would have been unknown to others without his divulgence.

<u>訶曰 (hē yuē)</u>

Example 8

ST:	shī hē yūe lǐ bù tóu dì hé rú bù lǐ 師 訶 曰º 禮 不 投 地º 何如 不 禮 Teacher scold say bow not touch ground how about no bow (T2008_.48.0355b9-10)
Wong:	…the Patriarch *reproved* him, saying, “If you object to lowering your head down to the ground, would it not be better to do away with salutation entirely?...” (1930, p. 37)
Heng:	The Master *scolded* him, saying, “If you do not touch the ground, isn’t it better not to bow? ...” (1977, p. 269)
Cleary:	The Master *chided* him, “If you bow without reaching the ground, how does that compare to not bowing at all? ...” (1998b, p. 45)
Cheng:	The Patriarch *castigated*: “If you would prostrate without touching your head on the floor, it might as well not to make the prostration at all…” (2011, p. 90)

Example 8 is taken from a dialogue between Huineng and a disciple, where the disciple fails to show proper respect for Huineng, and Huineng expresses his criticism. The original verb '訶' (hē) is an expressive word with the connotation of "blaming angrily in a loud voice" (Wang, 2000, p. 1046), which is quite rare in the source text.

The verb 'reprove' used in Wong is 'mild' (Wierzbicka, 1987, p. 141), as no bad feeling about the person is implied; but its didactic and corrective purpose makes it "somewhat school-masterish" (ibid, p. 142). Similarly, 'scold' used in Heng also has the implication of "a parent-child or teacher-child style of relationship" (ibid, p. 146). While 'chide' in Cleary has a similar force as 'scold', 'castigate' in Cheng is more severe, as it always implies punishment. Therefore, Huineng presented by Cheng seems to be more strict and severe than the same Chan master presented by other translators.

In summary, it can be seen that, in translating the original specific verbs, Cheng differs from other translators in his choices of a variety of words which contribute to establishing the image of Huineng as superior and authoritative.

4.4 Interpretation: in relation to context

Analysis in the above section reveals that, compared with Heng and Cleary, Wong and Cheng paid more attention to enhancing the diversity of verbs of saying. However, while Wong mainly uses words such as 'reply', 'exclaim', 'commend', and 'reprove' to present Huineng as a Chan master intimate with his audience, Cheng emphasizes Huineng's superiority and authority by choosing words such as 'demand', 'pronounce', 'evince' and 'castigate'. All these findings, at first sight, can be regarded as the exhibition of different translators' styles (Baker, 2001, p. 245).

However, what is of interest here is the motivation behind the recurring linguistic choices that make up a certain style of a translator, or as Thompson puts it, "the factor that lead the speaker to produce a particular wording rather than any other in a particular context" (Thompson, 2014, p. 9).

The underlying motivation for the two Chinese translators, Wong and Cheng, to use a variety of verbs of saying may be their intention to avoid repetition and to facilitate target readers' understanding. Avoiding repetition is regarded by many as a 'universal'

of translation (Ben-Ari, 1998). The fact that Wong and Cheng were not native English speakers but translated the text for English readers may have increased the translators' anxiety for recognition and eagerness to avoid lexical repetition that is considered poor style (Dimitrova, 2005, p. 195). This phenomenon, in fact, is also observed by other scholars. In Huang (2014, pp. 262-263), it was found that the Chinese translator of *The Analects*, Ku Hung-ming, tended to translate the original general verb of saying '曰' (yuē) into different specific verbs in comparison with the Western translator, Arthur Waley. Liu and Yan (2010, pp. 89-90) also find that compared with two western translators, Chinese translator Yang Xianyi uses the largest number of saying verbs in translating the general reporting verb '道' (dào) in *Hong Lou Meng*. Moreover, compared with the general verbs of saying in the source text, which leave all interpretation to the readers, specific verbs in translations by Wong and Cheng can provide target readers with information to interpret the speaker's attitude, his relation with the listener, and the whole utterance in a given context. This tendency of Wong and Cheng to use specific verbs of saying in translating the original general verbs leads to 'explicitation' (Baker, 1995, 1996; Olohan & Baker, 2000) in the process of translation, and results in "acceptable" rather than "adequate" (Toury, 1995, pp. 56-57) translations.

A probe into the context of translation can help us understand why different verbs are selected by Wong and Cheng. Wong's translation was the first English version of the *Platform Sutra* and the purpose of his translation was to introduce Chinese Chan Buddhism to the West, where Chan was almost unheard of at that time. Huineng is therefore presented as an amiable and approachable Chan master who behaves like an ordinary man by 'replying' to others' words, 'exclaiming', 'commending' as well as 'reproving' his students. In contrast, Cheng's identity as a Buddhist master and abbot of two Buddhist temples (one in Taipei and the other in the U.S.) can help explain why he used verbs like 'demand', 'announce', and 'impart' to present Huineng as a highly knowledgeable and authoritative Chan master providing information otherwise inaccessible to his audience. These findings are consistent with the study on the choice of personal pronouns (cf. Chapter 5 of the thesis), where Huineng in Wong's translation addresses his audience mainly with the inclusive 'we', which exhibits an intention to establish a close interpersonal relationship, and Huineng in Cheng's

translation favours the impersonal ‘one’, which presents Huineng as detached from the audience.

Compared with translations by Wong and Cheng, translations by the two American translators Heng and Cleary appear to be more faithful to the source text as far as verbs of saying are concerned. The fact that Heng and Cleary translated a popular and highly revered Eastern religious text into their own language and culture might have contributed to their adherence to the norms of the source text, in order to exhibit the exoticism of the alien culture and text; or, seen from another perspective, it can be said that Heng and Cleary did not consider it necessary to ‘beautify’ the source text. After all, there exists such a biblical tradition to use the verb ‘say’ to present the way Jesus speaks (Franklin, 1992, p. 242) in the English culture. The verb ‘say’, although plain and simple, is considered the safest and most accurate attributive verb (Cole & Shaw, 1974, p. 62).

However, it may be improper to say that this faithfulness in form will contribute to recreating an image of Huineng that is the same as that presented in the source text. As has been pointed out, prevalence of general verbs of saying such as ‘曰’ (yuē) and ‘云’ (yún) in the source text is due to the literary tradition and linguistic constraint of the source language. It is also possible that the two Chinese translators were more aware of this than were their American counterparts, and thus they were more likely to make changes in the translated texts.

4.5 Conclusion

The study presented in this chapter investigated the use of verbs of saying in the *Platform Sutra* and in its four English translations, the impact of the verbs on recreating the image of the speaker Huineng, and the possible motivation for choosing one instead of another reporting verb. It has shown that the two Chinese translators, Wong and Cheng, used a larger number of different verbs than did the American translators, Heng and Cleary, who mainly relied on the general verb ‘say’ to translate the original verbs of saying. Examination of the particular verbs chosen revealed that Wong presented Huineng as kind and intimate by using verbs such as ‘reply’, ‘exclaim’, ‘commend’ and ‘reprove’, while Cheng presented Huineng as superior and authoritative by using verbs such as ‘demand’, ‘pronounce’ and ‘impart’.

It should be noted that the use of general verbs of saying such as '曰' (yuē) and '云' (yún) in the source text, and similarly 'say' in Heng's and Cleary's translations, provides a range of possible interpretations for the readers. The use of specific verbs by Wong and Cheng, on the other hand, exerts constraints by imposing a certain reading, and therefore reduces "the dynamic role of the reader" (Hatim & Mason, 1990, p. 11). However, it is also true that "[N]o speech representation is objective or simply neutral…Sayings are transformed through the perspective of a teller, who is an agent in a discursive practice" (Caldas-Coulthard, 1994, p. 307). While translating the *Platform Sutra*, the translator is actually choosing to present the speech, and ultimately the speaker Huineng, in a certain way. It is difficult to say whether the translators' imagination of Huineng's image influenced their linguistic choices, or that their recurring subconscious linguistic choices led to the recreating of a certain image. However, what can be said is that there are always semantic consequences of linguistic choices, which can be further interpreted in relation to the specific context of each translation.

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5 Personal pronouns and images of Huineng[1]

5.0 Preamble

Following the previous chapter, which was mainly ideational in nature, this chapter shifts the focus to the interpersonal, and will investigate the recreation of the image of Huineng in the four translated texts through the choice of personal pronouns. Adopting SysConc as analytical tool, the chapter looks at use of personal pronouns and the image of Huineng recreated in each translation. In Wong (1930a), the use of *we* in combination with *you* presents Huineng as both friendly and authoritative; in Heng Yin (1977a), Huineng tends to avoid personal pronouns and seems to be detached; in Cleary (1998a), Huineng is more involved in the interaction and uses many *I*'s as well as *you*; in Cheng (2011), Huineng speaks in an elegant way and uses generic *one* as personal reference. It is argued that both the choices of personal pronouns and the images of Huineng recreated can be better understood in terms of the context of translation.

5.1 Introduction

The aim of the present chapter is to investigate the image of Huineng recreated in four English translations (Wong, 1930; Heng 1977; Cleary 1998; Cheng, 2011) of the *Platform Sutra* (1291), through the use of personal pronouns.

Due to cultural and linguistic differences, personal pronouns tend to pose challenges for translators (Marco, 2000, pp. 9-11). The interactional effect of personal pronouns has been studied in translations between European languages (e.g. Baumgarten, 2008; Baumgarten & Özçetin, 2008; Sabater, Turney, Lopez, & Fleta, 2001; Smith, 2004), but not much attention has been paid to typologically different languages such as Chinese and English. The tendency in Chinese to omit personal pronouns wherever

[1] The chapter is based on the article "Recreating the Image of Chan Master Huineng: The Role of Personal Pronouns", originally published in *Target*, 2017, 29 (1): 64-86. Available at https://benjamins.com/#catalog/journals/target.29.1.03yu/details.

possible (Lü, 1999, p. 8) and to keep implicit the subject, which may consist of a personal pronoun (Halliday & McDonald, 2004; Wang, 2002), usually leads to English translations having more personal pronouns than the original Chinese texts (Hao, 2015; Tong, 2014; Zhao, 1996). Given that personal pronouns provide the speaker/writer with resources to establish a certain kind of relationship with the hearer/reader (P. Brown & Levinson, 1987; R. Brown & Gilman, 1960, 1989; Halliday & Matthiessen, 2004), it is conceivable that their addition or explicitation (c.f. Baker, 1996; House, 2004) may have an impact on the translated text and the image construction of the writer/speaker.

The theoretical basis of the study in this chapter presented in this chapter is systemic functional linguistics (SFL), as it provides a systematic interpretation of the functions of personal pronouns from an interpersonal perspective. There are two questions to be answered in this chapter:

(1) How do personal pronouns in the translations help recreate the image of Huineng?

(2) What are the contextual factors that might have motivated the translators in their selection of personal pronouns?

5.2 Personal pronouns: a systemic functional perspective

SFL identifies three metafunctions of language: ideational, interpersonal and textual. The ideational metafunction serves to construe human experience, the interpersonal to enact personal and social relationships, and the textual to construct texts (Halliday & Matthiessen, 2004, pp. 29-31). Personal pronouns are used to realize the interpersonal metafunction, especially to establish interpersonal distance between the speaker and hearer.

5.2.1 System of NOMINAL PERSON

The system of NOMINAL PERSON (see Figure 5.1) is concerned with the choice of personal pronouns according to their functions or roles in the speech situation (Matthiessen, 1995, p. 687). It has two categories: ‘interactant’ (person within the dialogue), including the first person (*I*, *we*) and the second person (*you*); and ‘non-

interactant' (person outside the dialogue), including all other relevant entities (*he*, *she*, *they*, *it*, *one*).

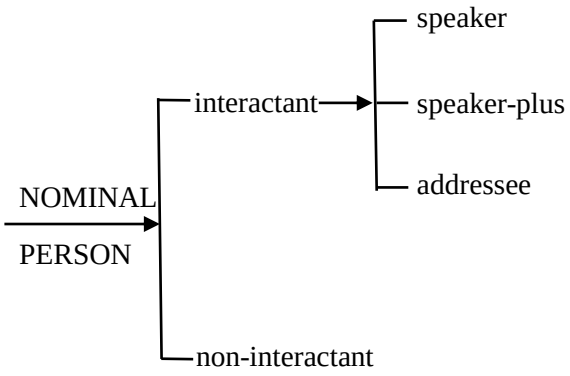

Figure 5.1 System of NOMINAL PERSON

The system of NOMINAL PERSON is a closed system. Once the speaker starts choosing from the system, s/he has to make a choice between 'interactant' and 'non-interactant'. If 'interactant' is chosen, a further choice has to be made: either 'speaker' (*I*), 'speaker-plus' (*we*) or 'addressee' (*you*). As will be demonstrated in the analysis below, such a feature makes it possible not only to look at the individual choices but also to take into account the systemic notion of choice: one choice made in relation to other possible choices.

The system of NOMINAL PERSON in English consists of the following personal pronouns, as shown in Table 5.1.

Table 5.1 Personal pronouns in the system of NOMINAL PERSON in English

interactant	speaker	I/me	my/mine
	speaker-plus	we/us	our/ours
	addressee	you	your/yours
non-interactant		they/them he/him she/her one it	their/theirs his her/hers one's its

By providing the speaker with the means to refer to her/himself, the hearer and others, the system of NOMINAL PERSON constitutes an important resource for the realization of interpersonal distance, which in turn helps to construct an image of the speaker

5.2.2 Interpersonal distance and image of Huineng

The system of NOMINAL PERSON is one of the key systems to realize interpersonal distance, which has two end-points: intimacy and distance (Poynton, 1991, pp. 89-90). Examples of intimate relationship include the relationship between lovers and members of a family; while a distant relationship may exist between two strangers on the train or a high-status master and his servant. In a variety of European languages where a two-term system (T/V) exists in the second-person pronouns (R. Brown & Gilman, 1960, p. 254), the T pronoun can be used to indicate intimacy, while the V pronoun usually serves as a sign of politeness/distance. In modern English, as the T/V distinction no longer exists, the exact interpersonal function of the second-person pronoun may vary according to the context, but the inclusive first-person plural pronoun *we* is usually considered a way to create intimacy with the audience.

Interpersonal distance itself is dynamic and flexible. As Poynton points out, although the actual distance imposed by social reality between the interlocutors is relatively stable, it is possible and sometimes even desirable for them to narrow or widen the distance through deliberate linguistic choices at the moment of communication:

> […] the negotiation of distance is also a dynamic process, not simply a function of roles and statuses. Through particular configurations of linguistic choices, interactants may lay claim to greater intimacy or distance than the actual circumstances of their relationship would predict (Poynton, 1991, p. 90).

The possibility of creating a kind of 'desirable' distance, instead of the actual distance between participants, reveals the power of language in communication. The speaker may be well aware of the actual social distance between her/him and the hearer, but s/he can still choose to establish a kind of temporary personal distance.

Similarly, in translating the *Platform Sutra*, the translator may try to establish certain interpersonal distance between Huineng and his audience for different target readers or translating purposes, even though their social roles are specified (a Chan master and the general public/his disciples). The kind of interpersonal distance established will further contribute to the construction of an image of Huineng. For example, in Huineng's public teachings and conversations, does he try to be close to or keep a distance from his audience? Is he a friendly teacher or an aloof Chan master?

5.3 Data and methodology

5.3.1 Data

Like many classical Chinese texts, the *Platform Sutra* is known in different versions, which evolved in the many dynasties in China. Most versions, however, were lost in the ups and downs of history, and the final version of the sutra produced in the year 1291 by a monk named Zongbao became the orthodox, or canonical version (Schlütter, 2012, p. 18). For hundreds of years it was the only text read by monks and literati in East Asia. This version is included in the Taishō Shinshū Daizōkyō (vol. 48, no. 2008), a collection of Chinese Buddhist canons, and is the basis of the present study.

The four translations selected in this study are: *Sutra Spoken by the Sixth Patriarch (Wei Lang) on the High Seat of the Gem of Law (Message from the East)* by Wong Mou-lam (1930a), *The Sixth Patriarch's Dharma Jewel Platform Sutra* by Heng Yin (1977a, second edition), *The Sutra of Hui-neng, Grand Master of Zen: with Hui-neng's Commentary on the Diamond Sutra* by Thomas Cleary (1998a), and *The Dharmic Treasure Altar-Sutra of the Sixth Patriarch* by Cheng Kuan (2011, second edition). Statements by the translators themselves (Cleary, 1998b; Wong, 1930b), and previous studies (Bielefeldt & Lancaster, 1975; Chao, 2012; Lin, Tsai, & Lin, 2004; Low, 2010; Nanjio, 1883), show that they are all based on the orthodox version. These four translations are selected on the criterion of heterogeneity in terms of publishing time, translator's identity, publishing agency, translating purpose and strategy, and intended readership.

The data of analysis in this study includes all the direct speeches of Huineng in the four English translations. In cases where the original direct speech is translated into indirect speech, the indirect speech is excluded.

5.3.2 Analytical tool and procedure

The analytical tool used in this study is SysConc, developed by Wu (2000), a concordance tool for corpus analysis. In distinction to other concordance programs, SysConc is especially used in researches from the systemic functional perspective (Wu, 2009, p. 137). It focuses on the lexical level, and is powerful in investigating word frequencies and associations. It can produce frequency lists, collocation patterns and

concordances; and has been successfully applied to many studies (e.g. Herke-Couchman, 2006; Herke-Couchman & Wu, 2004; Wu & Fang, 2006).

The procedure of analysis in this study is as follows. Firstly, the feature of NOMINAL PERSON is set up in SysConc. This feature has two sub-categories, 'interactant' and 'non-interactant'. 'Interactant' is further sub-divided into 'speaker', 'speaker-plus' and 'addressee'. Each of these consists of specific personal pronouns (cf. Table 5.1).

Secondly, a 'feature search' is conducted for all occurrences of direct speech by Huineng in the four English translations, with raw counts and relative percentages obtained automatically. These two are local measurements, and valuable in looking into the internal composition of personal pronouns within each translation. As illustrated in Figure 5.2, the raw count of all the personal pronouns used in Cleary's translation is 1,721, which includes 1,123 'interactant' and 598 'non-interactant' types, with the former making up about 65.3% of the whole and the latter about 34.7%. Further divisions within each type are also presented.

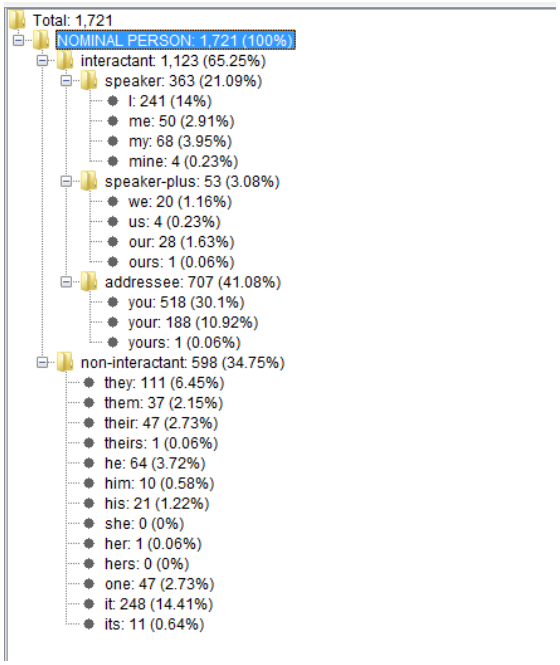

Figure 5.2 Feature search result of Cleary's translation

Thirdly, the normalized percentage of each category (and sub-category) is obtained by dividing the total number of words by the number of personal pronouns used in a translated text. In this way, the percentage of each category of personal pronouns is normalized against text length, and the normalized percentage makes it possible to

compare the use of personal pronouns across translations regardless of text length. Using again Cleary's translation as an example, it can be seen that the normalized percentage of all the personal pronouns (1,721) against the text's total number of words (19, 486) is 8.8%, of which the "interactant" type (1,123) takes up 5.8% and "non-interactant" type (598) 3.0% (cf. Table 5.2 in the next section).

5.4 Analysis and findings

In this section, the two research questions put forward in the introduction are answered. Firstly, the use of personal pronouns in each translation will be presented, and the image of Huineng thereby recreated will be analysed. Then, the contextual factors affecting the linguistic choices and the image construction will be explored.

5.4.1 Personal pronouns in the four translations

Table 5.2 presents the use of personal pronouns in each translation. In the table, 'number' (no.) refers to the raw count of pronouns. There are two types of 'percentage' (pct.): relative percentage, and normalized percentage (inside the brackets). Relative percentage refers to the proportion each type of pronoun takes up within the NOMINAL PERSON system (cf. Section 2.1) in a specific translated text, and is obtained automatically in SysConc by dividing the total number of personal pronouns by the number of a specific (category of) personal pronoun in each text. Normalized percentage refers to the percentage of personal pronouns normalized against text length, and is obtained by dividing the total number of words by the number of each category of personal pronouns used in a translation. As a local measurement, relative percentage can show the choice of 'non-interactant' vs. 'interactant' ('speaker' vs. 'speaker-plus' vs. 'addressee') pronouns within each translated text, while normalized percentage is to compare the use of personal pronouns across different translations.

In discussing the result shown in Table 5.2, the characteristics of each translation as against other translations are firstly pointed out by referring to normalized percentages. Then, the internal distribution of personal pronouns within each translation is examined by referring to relative percentages. It should be noted that comparison of normalized percentages across translations can only exhibit a generalised difference, which, although sometimes minimal, is still able to reveal much on the use of personal

pronouns with further probing, as can be seen in the following discussion (Section 5.4.2.2).

Table 5.2 Personal pronouns in each translation[1]

	Wong		Heng		Cleary		Cheng	
	no.	pct. %	no.	pct. %	no.	pct. %	no.	pct.%
NOMINAL PERSON	2166	100.0 (8.8)	1552	100.0 (7.7)	1721	100.0 (8.8)	2038	100.0 (8.2)
interactant	1279	59.1 (5.2)	893	57.5 (4.4)	1123	65.3 (5.8)	1096	53.8 (4.4)
speaker	380	17.5 (1.5)	235	15.1 (1.1)	363	21.1 (1.9)	384	18.8 (1.5)
I	215	9.9	152	9.8	241	14.0	246	12.1
me	83	3.8	21	1.3	50	2.9	61	3.0
my	77	3.6	57	3.7	68	4.0	72	3.5
mine	5	0.2	5	0.3	4	0.2	5	0.2
speaker-plus	487	22.5 (2.0)	33	2.1 (0.2)	53	3.1 (0.3)	50	2.5 (0.2)
we	218	10.1	12	0.8	20	1.2	33	1.5
us	50	2.3	3	0.2	4	0.2	2	0.1
our	215	9.9	18	1.2	28	1.6	13	0.6
ours	4	0.2	-	-	1	0.1	2	0.1
addressee	412	19.1 (1.7)	625	40.3 (3.1)	707	41.1 (3.6)	662	32.5 (2.7)
you	321	14.8	427	27.5	518	30.1	499	24.5
your	90	4.2	197	12.7	188	10.9	160	7.9
yours	1	0.1	1	0.1	1	0.1	3	0.1
non-interactant	887	40.9 (3.6)	659	42.5 (3.3)	598	34.7 (3.0)	942	46.2 (3.8)
they	135	6.2	88	5.7	111	6.5	90	4.4
them	48	2.2	33	2.1	37	2.1	34	1.7
their	71	3.3	53	3.4	47	2.7	52	2.5
theirs	-	-	-	-	1	0.1	-	-
he	162	7.5	93	6.0	64	3.7	126	6.2
him	26	1.2	21	1.3	10	0.6	26	1.3
his	69	3.2	53	3.4	21	1.2	52	2.5
she	-	-	-	-	-	-	-	-
her	2	0.1	-	-	1	0.1	3	0.2
hers	-	-	-	-	-	-	-	-
one	46	2.1	62	4.0	47	2.7	189	9.3
it	301	13.9	235	15.1	248	14.4	356	17.4
its	27	1.2	21	1.4	11	0.6	14	0.7
total words in text	24485		20185		19486		24892	

A distinctive feature of Wong's translation is the high normalized percentage of 'speaker-plus' (2.0%), which is nearly ten times that used in the translations by Heng (0.2%) and Cheng (0.2%), and seven times that used in the translation by Cleary (0.3%). Within Wong's translation, 'speaker-plus' takes up the largest proportion

[1] Note: As SysConc cannot distinguish *one* and *one's*, they are put together in the search; only pronominal use of *one* and *one's* is included in this table.

(22.5%) of the 'interactant' category, while 'addressee' is most frequently chosen in all the other translations.

Compared with other translations, Heng's translation has the lowest normalized percentage of personal pronouns (7.7%, against 8.8%, 8.8% and 8.2% in Wong, Cleary and Cheng, respectively). More specifically, the category of 'speaker' (1.1%) is used less in Heng's translation than in other translations. Within Heng's translation, 'addressee' (40.3%) assumes a dominant position in relation to 'speaker' (15.1%) and "speaker-plus" (2.1%) of the "interactant" category of personal pronouns.

Cleary's translation is significant in its high normalized percentage of the 'interactant' category (5.8%). This shows that the translation is more interactive than all the others. Focusing on the use of personal pronouns within the translation, we can see that it favours both 'addressee' (41.1%) and "speaker" (21.1%). Therefore, it can be said that, although the hearer *you* is the focus of attention in Huineng's teachings, there is also active interaction between the speaker *I* and the hearer *you*.

Cheng's translation is interesting in that it has similar normalized percentages of 'non-interactant' (3.8%) and 'interactant' (4.4%) categories of personal pronouns, which makes it distinct from other translations where the 'interactant' type is preferred. This indicates that third-person pronouns are used more often by Cheng than by other translators. In fact, a significant feature of Cheng's translation is the use of *one* as generic personal reference (9.3% against 2.1%, 4.0%, and 2.7% in Wong, Heng and Cleary, respectively).

The following section will discuss the impact of the different personal pronouns on the interpersonal distance between Huineng and his audience, and more importantly, on the image of Huineng recreated in each translation.

5.4.2 Images of Huineng in the four translations

5.4.2.1 An intimate spiritual mentor with authority

As has been pointed out above, a significant feature of Wong's translation is its frequent use of *we*. Although *we* in English can be either 'inclusive' (speaker plus hearer) or 'exclusive' (speaker plus others instead of the hearer) (Baumgarten, 2008; Biber, Johansson, Leech, Conrad, & Finegan, 1999; Haas, 1969; Levinson, 1983;

Pennycook, 1994), analysis shows that *we* used by Huineng in Wong's translation refers to both himself and the hearer (inclusive *we*). A vocative is often added at the beginning of the sentences containing *we* when Huineng gives public teachings in front of a large audience, or has personal conversations with his disciples.

For example, the first sentence uttered by Huineng in the *Platform Sutra* is translated as follows by Wong:

Example 1

ST: shàn zhī shì 善知識 ｏ pú tí 菩提 zì 自 xìng 性 ｏ běn lái 本來 qīng 清 jìng 淨 ｏ dàn 但 yòng 用 cǐ 此 xīn 心 ｏ zhí liǎo 直了 chéng 成 fó 佛 (T2008_.48.0347c28-29)[1]
Vocative Bodhi self nature originally pure clean [ø] only use this mind directly [ø]become Buddha

Wong: Learned Audience, *our* essence of mind (literally self-nature) which is the seed or kernel of enlightenment (Bodhi) is pure by nature, and by making use of this mind alone *we* can reach Buddhahood directly (1930a, p. 1).

The use of inclusive *we* in English is to achieve solidarity and communality with the hearer (Hyland, 2001, p. 559), and to construct a 'chummy' and 'intimate' tone (Katie Wales, 1996, p. 67). By using the inclusive *we*, Huineng intends to be closely identified with his audience. The image of Huineng recreated here is not that of a solemn Chan master standing high above the listeners, but a kind and considerate mentor who positions himself as being part of the group.

However, as inclusive *we* could also be taken as being non-authoritative on the part of the speaker (Quirk, Greenbaum, Leech, & Svartvik, 1985, p. 350), 'addressee' (*you*) is therefore adopted as a compensation in both suggestions and demands. This is illustrated in the Example 2.

[1]Source text sentences are referred to by identifying their line numbers in the online database of Taishō Shinshū Daizōkyō, http://21dzk.l.u-tokyo.ac.jp/SAT/ddb-bdk-sat2.php?lang=en.

Example 2

ST: hàn zhī shì 善知識 o pú tí bō rě 菩提般若 zhī zhì 之智 o shì 世 rén 人 běn 本 zì yǒu zhī 自有之 o zhǐ 只
Vocative Bodhi Prajna wisdom worldly people originally self have only

yuán 緣 xīn 心 mí 迷 o bù néng 不能 zì 自 wù 悟 o xū 須 jiǎ 假 dà 大 shàn zhī shì 善知識 o
because mind lost [ø]cannot self realize [ø] must rely on great learned people

shì 示 dǎo 導 jiàn 見 xìng 性 o dāng 當 zhī 知 yú rén 愚人 zhì rén 智人 o
instruct guide [ø] see nature [ø] should know the foolish the wise

fú 佛 xìng 性 běn 本 wú 無 chā bié 差別 (T2008_.48.0350a11-14)
Buddha nature originally no difference

Wong: Learned Audience, the Wisdom of Enlightenment is inherent in every one of *us*. It is because of the delusion under which *our* mind works that *we* fail to realize it ourselves, and that *we* have to seek the advice and the guidance of enlightened ones before *we* can know *our* own essence of mind. *You* should know that so far as Buddha-nature is concerned, there is no difference between an enlightened man and an ignorant one (1930a, p. 11).

The transition from the inclusive *we* to the addressee *you* can be understood as an indication of authority, and a slight adjustment on the part of Huineng of the close relationship with his audience. In fact, *you* and *we* are used alternatively in Wong's translation (19.1%% and 22.5%, respectively), depicting Huineng as eager to be regarded as authoritative as well as amiable.

5.4.2.2 A detached Chan master

In Heng's translation, Huineng speaks in an objective and detached way, which is mainly manifested through the non-use of personal pronouns. This is most apparent in the first chapter, where Huineng tells his own experience of getting the Dharma and becoming the Sixth Patriarch. In the following example, Huineng relates his first meeting with the Fifth Patriarch, who asked him where he came from and what he wanted, and Huineng tells the audience how he answered this question:

Example 3

ST: huì néng 惠能 duì yuē 對曰 o dì zǐ 弟子 shì 是 lǐng nán 嶺南 xīn zhōu 新州 bǎi xìng 百姓 o yuǎn lái 遠來
Huineng reply disciple be Lingnan Xinzhou commoner [ø] afar come

lǐ 禮 shī 師 o wéi qiú 惟求 zuò fó 作佛 o bù qiú 不求 yú wù 餘物
pay respect to teacher [ø] only seek to be Buddha[ø] not seek other thing

Heng: *Hui Neng* replied, "*Your disciple* is a commoner from Hsin Chou in Ling Nan and comes from afar to bow to *the Master*, seeking only to be a Buddha, and nothing else." (1977, p. 44).

In Heng's translation, *Hui Neng* (his own name), *your disciple* (a humble term as self-reference), and *the Master* (an honorific term to refer to the Fifth Patriarch) in the source text are all retained. In comparison, personal pronouns are used in the other three translations, as can be illustrated by Wong's translation of the same sentences:

> **Wong:** *I* replied, "*I* am a commoner from Sun Chow of Kwangtung. *I* have travelled far to pay *you* respect and *I* ask for nothing but Buddhahood." (1930a, p. 2).

The linguistic choice in Heng's translation helps to create an image of Huineng that is different from those in the other translations. He is telling his own story, but first-person pronouns are totally avoided. On the one hand, this is consistent with the traditional genre of jataka (birth story), in which the Buddha narrates stories of his previous lives in third person (Jorgensen, 2012, p. 48), and with the no-self doctrine in Buddhism (Fink, 2012, p. 289). On the other hand, self-naming and the use of the third-person pronoun as self-reference (also called illeism) are unusual in English. Self-naming in English may be used to assert self-worth, to distance oneself from the immediate situation and achieve objectivity, to emphasize a tension between inner and outer self, and so on (Curren-Aquino, 1987, pp. 149-156). Speaking of oneself in the third person is often associated with presenting the views of someone else on oneself (Land & Kitzinger, 2007, pp. 494-502). The adoption of these two strategies often signals a detached attitude from the speaker; in this context, the politeness and humbleness manifested in the original text are lost in the translation.

The objectivity and detachment on the part of Huineng are also maintained in his later public sermons and teachings in Heng's translation. The high proportion of 'addressee' (40.3%) in relation to 'speaker' (15.1%) and 'speaker-plus' (2.1%) shows that Huineng in Heng's translation pays great attention to his audience. He constantly refers to them using *you*, with little inclination to talk about himself as *I*, and is even less inclined to identify the audience and himself together as *we*. Therefore, the image of Huineng in Heng's translation is a solemn, God-like Chan Master, with absolute authority and objectivity in imparting knowledge and all attention focused on his audience.

5.4.2.3 A friendly teacher

Unlike the image of a modest mentor who uses *we* to identify himself and the audience in Wong's translation, or of an aloof Patriarch speaking in a detached and indifferent manner in Heng's translation, Huineng is presented by Cleary as a friendly teacher,

who addresses his audience and disciples as *you*, and is also willing to address himself in a personal way as *I*.

An example can be seen at the beginning of Chapter Six of the *Platform Sutra*, where Huineng is leading a large audience to perform a ritual of bestowing precepts. The opening speech of Huineng in Cleary's translation is presented as follows:

Example 4

ST: jì cóng yuǎn lái o yī huì yú cǐ o jiē gòng yǒu yuán o jīn kě gè gè
既 從 遠 來 。 一會于此。皆共有 緣 。今 可各各
since from far [ø] come [ø]meet here all have affinity now [ø] can each
hú guì o xiān wèi chuán zì xìng wǔ fēn fǎ shēn xiāng o cì
胡跪。先 爲傳 自性 五分 法 身 香 。 次
kneel first [ø] transmit self-nature five-part dharma body incense then [ø]
shòu wū xiāng chàn huǐ (T2008_.48.0353c04-06)
授 無相 懺悔
teach no-form repentance

Cleary: Since *you* have come from far away to gather here as one, *all of you* have affinity together. Now let *each of you* kneel: first *I* will transmit the perfumes of the five-part reality body in *our* own essential nature; then *I* will pass on formless repentance (1998a, p. 37).

In Cleary's translation, Huineng addresses the audience directly using *you*, *all of you* and *each of you*, while using *I* for himself, and *our* for the audience and himself. This indicates that he is willing to include his audience as part of the exchange in the public teaching.

The use of 'addressee' (*you*) in conversation mainly has two advantages. Firstly, as the second person *you* does not have any distinction in gender, number or social distance, it has greater potential to cater to more hearers. Anyone who hears may become the actual *you*. This also helps to create a one-to-one relationship between the speaker and hearer (Myers, 1994; Smith, 2004), and shows the speaker's recognition of the existence of, care for and attention to the audience, especially in the genre of sermon (Bader, 2010, p. 9).

Secondly, *you* can be used to indicate both informal and formal relationships between the participants. The voice of the speaker can "simultaneously be one of friendship, authority and respect" (Cook, 2001, p. 183). Just as Huineng in Wong's translation uses *you* to offset the over-friendliness of inclusive *we*, the frequent use of *you* by Huineng in Cleary's translation can also be seen as a way to indicate authority. As pointed out by Pennycook (1994, p. 176) and Hyland (2001, p. 557), the use of *you*

referring to the hearer, while acknowledging his existence, also has the possibility of creating an 'Other' and a kind of distance between the speaker and hearer, especially when considered in relation to the simultaneous use of *I* to refer to the speaker.

Therefore, the image of Huineng in Cleary's translations is more flexible and realistic. Huineng addresses the audience directly as *you*, which can be understood as an indication of a close interpersonal relationship, established in a less formal situation. But the fact that he is the Chan master, the venerable Sixth Patriarch, may also indicate that *I*, Huineng, as a distinguished Chan master, am teaching *you*, who lack the knowledge and can only obtain enlightenment with *my* help. After all, a teacher is a teacher. What makes Huineng different is that he is at the same time friendly and aloof, close and distant. This kind of paradox is actually what makes Huineng attractive to the general public, as such an image can satisfy different needs and imagination of the readers.

5.4.2.4 An elegant truth transmitter

The distinctive feature of Cheng's translation is its high frequency of 'non-interactant' personal pronouns, especially the use of *one* to refer to people in general. Such a linguistic choice helps to present Huineng as an elegant Chan master whose aim is to impart knowledge rather than establish any interpersonal relationship with his audience.

In the following Example 5, the subject is omitted in the source text, and Cheng uses the non-interactant *one*. In comparison, *we*/*our* and *you*/*your*, which are all 'interactant' personal pronouns, are used by the other three translators, as can be seen in their translations of the same sentences:

Example 5

ST: wài ruò zhù xiāng。nèi xīn jí luàn 。wài
外 若 著 相。內 心 即 亂 。外
outside if [ø] attach to form inner mind will (be) disturbed outside
ruò lí xiāng 。xīn jí bù luàn (T2008_.48.0353b21-22)
若 離 相 。心 即 不 亂
if [ø] leave form mind will not (be) disturbed

Cheng: If *one* is attached to external appearances, the mind will be perturbed. If *one* can be detached from extraneous phenomena, the mind will be freed from perturbation (2011, p. 69).

Wong: If *we* are attached to outer objects, *our* inner mind will be perturbed. When *we* are free from attachment to all outer objects, the mind will be in peace (1930a, p. 27).

Heng: If *you* become attached to external marks, *your* mind will be confused inwardly. If *you* are separate from external marks, inwardly *your* mind will be unconfused (1977a, p. 219).

Cleary: If *you* are fixated on appearances externally, *your* mind is disturbed within; if *you* are detached from appearances outside, then the mind is not disturbed (1998a, pp. 35-36).

In Cheng's translation, *one* is used as a 'generic' reference, which refers to people in general (Kathleen Wales, 1980, p. 95). This usage is chiefly 'formal' (Quirk et al., 1985, pp. 387-388). Meanwhile, the generic *one* is primarily restricted to written registers, especially fiction and academic prose, as it helps to build an impersonal and objective style (Biber et al., 1999, pp. 353-355).

A quick examination of the textual environment of *one* using SysConc (key word in context (KWIC), see Figure 5.3) shows that the two most frequent concordant words on its immediate left are *if* and *when*, indicators of hypothetical situations; and the frequently used words on its immediate right include *would*, *should*, *can*, *could*, and *shall*, all of which are modal auxiliaries. This is the typical use of *one* in theoretical or hypothetical contexts. As Wales (1980, p. 96) points out, when used in conditional clauses and in combination with modal auxiliary, the generic personal pronoun *one* is to indicate universal truth.

Left-

Word	#
if	38
When	20
of	11
Dharma	4
is	4
perceive	4
on	4
Mind	3
only	3
every	3
no	3
that	3
through	2
make	2
should	2
would	2
way	2
whence	2
the	2
from	2
Sutra	2
moment	2
each	2

Right+

Word	#
s	41
is	24
would	16
should	14
can	13
who	8
of	6
could	5
single	4
to	4
shall	4
comes	2
implements	2
needs	2
perceives	2
will	2
might	1
insists	1
fosters	1
be	1
comprehends	1
becomes	1
does	1

Figure 5.3 KWIC search of *one* in Cheng Kuan's translation

By using the personal pronoun *one*, Huineng in Cheng's translation shows an inclination to be both impersonal and formal in his teaching. The image of Huineng presented here is an elegant Chan master who speaks in a formal manner and pays more attention to the validity of what he is saying than to the people who are listening.

5.4.3 Contextual considerations

From the above analysis and discussion, it can be seen that different translators favour different personal pronouns, thus recreating different images for the same Chan master Huineng. To account for this phenomenon, it is necessary to consider the context in which each translation was produced, as "no translation should ever be studied outside of the context in which it came into being" (Toury, 2012, p. 22).

In SFL, context can be described using three parameters, Field (what is being talked or written about), Mode (the kind of text that is being made), and Tenor (the relationship between the speaker/writer and hearer/reader) (Butt et. al, 2006, p. 5). These three parameters resonate with the three metafunctions of language: Field resonates with ideational, Mode with textual, and Tenor with interpersonal metafunction. As personal pronouns indicate the interpersonal relationship between the speaker and the hearer, Tenor will be the focus of the discussion, namely the identity of the translators and the intended readers, and the relationship between the

translators and the readers. By following Hasan (1996, p. 52) and House (2001, p. 151), the present chapter holds the view that the relationship between characters in a literary work is relevant to that between the author (translator) and the reader, and the author's (translator's) view on the characters. It should also be noted that the contextualization here is better considered tentative rather than conclusive.

5.4.3.1 Wong Mou-lam (1932): the first translator and his Western readers

Wong Mou-lam was the first person to translate the *Platform Sutra* into English. Born in Hong Kong, Wong went to Shanghai to work in a law firm in 1923. He was 'discovered' by one of the founders of the Pure Karma Society, which published his translation later, as he was both proficient in English and interested in Buddhism (Welch, 1968, p. 180). In 1928, Dih Ping Tsze, another founder of the society, invited Wong to stay in his house and translate the *Platform Sutra*, which took one and half years. The translation was sold in Shanghai, and more than one hundred copies were taken to London and soon sold out (Humphreys, 1973; Ko, 1996).

The purpose of translating the sutra into English, according to the preface by Dih, was to make the ideas of Chan Buddhism known to Westerners, as "it is rather sad to see that so far this Good Law has not yet been made known to the Western people in Europe and America" (Dih, 1930, p. I).

Therefore, the intended readers of the translation were Westerners with an interest in the ideas of Chan Buddhism. However, it is interesting to see the ambivalent attitude towards these targeted readers. On the one hand, Dih admitted that, "so far as felicity in the form of material comfort is concerned, the Occidentals are in a more favourable position than our Eastern people" (ibid). On the other hand, he claimed, "but in spite of their favourable position, the Great Law reaches them at a later date than it reached us" (ibid).

This kind of self-contradictory Tenor relationship between the translator trying to introduce Chinese Chan Buddhism to the West in the 1930s and the targeted Western readers is reflected in the recreation of the image of Huineng. On the one hand, Huineng was portrayed as an Eastern Chan master intimate to his audience by addressing them with *we*. On the other hand, however, the belief that Chinese people, although in lack of material comfort, were able to help their Western counterparts by

transmitting to them the *Message from the East* (part of the title of the translation) led the translator to choose *you* alongside *we*, in order to ensure that the authoritative image of Huineng, the much respected Sixth Patriarch in China, would be maintained.

5.4.3.2 Heng Yin (1977): the first Western Buddhist translator and early American Buddhists

The former Bhikshuni, Heng Yin, was the first ordained Buddhist and Westerner to translate the *Platform Sutra* into English. Becoming a Buddhist nun in 1969, Heng was one of the first five Americans ordinated by Hsuan Hua (Baur, 1998).

The purpose of Heng's translation of the *Platform Sutra*, as stated in Hsuan Hua's introduction, was to help the Westerners to "realize Bodhi and accomplish the Buddha way" (2001, p. xvi). It was hoped that "Westerners will now read, recite and study it [the *Platform Sutra*], and all become Buddhas, Bodhisattvas, and/or Patriarchs" (ibid, p. xv). The intended readers, therefore, were mainly American Buddhist practitioners, especially those who were studying under the teaching of Hsuan Hua.

Heng's translation contains not only Huineng's words in the *Platform Sutra*, but also a running commentary by Hsuan Hua, which was originally Hsuan Hua's Chinese lectures on the sutra. The commentary was praised highly by the translator, who stated that "if you wish to understand the wonderful meaning of this sutra, you should study this [Hsuan Hua's] commentary, for within it are set forth the limitless, inexhaustible, profound principles of the Buddhadharma" (Heng, 2001, p. xvii).

In this way, equal importance is put on the words of Huineng and Hsuan Hua. By translating both at the same time, the translator also assumed the role of being the mouthpiece of her own teacher, who enjoyed great obedience and devotion from his students, as a result of the early Buddhism institutionalization in the U.S. in the 1970s (Lachs, 2008).

The Tenor relationship between the translator and her intended readers is, therefore, unequal, as the translator served as an appointed representative of the authority, and the intended readers were those waiting to receive instructions. This may have further influenced the translator's recreating of the image of Huineng, a historically significant Patriarch who is said to have served as an inspiration for the present Master (C. Heng, 1977, p. xix). Possessing absolute authority and high status, Huineng was

divine and noble. His sole mission was to convey the profound knowledge to his disciples and the audience, help them to get enlightenment, and save them from the endless circle of birth and death.

5.4.3.3 Thomas Cleary (1998): a professional translator and the general public

Thomas Cleary is a professional translator of East Asian culture and philosophy, and one of the major authors of Shambhala Publications, the publisher of his translation. Up to now, he has translated more than eighty works from eight languages into English, with the themes mainly covering Buddhism, Confucianism, Daoism, conflict studies, and women's spirituality[1].

The identity of the translator and the publisher enables one to infer that the general public are the intended readers of Cleary's translation. This is further revealed by the description of Huineng in the blurb of the book, as "perhaps the most respected and beloved figure in Zen[Chan] Buddhism", and the introduction of the translator as a person who "holds a doctorate in East Asia languages and civilizations from Harvard University" (on the blurb of the book).

The Tenor relationship between Cleary and his target readers is, therefore, likely to be intimate, as the translator mainly served to bring East Asian wisdom to those who had similar Western cultural background. Accordingly, Huineng is presented as a friendly teacher speaking in a less formal way, talking about himself as *I* and his audience as *you*. He is kind, simple and approachable. His high status in history, and the reverence towards him from past and present Buddhists, were no longer the main concern for the translator as well as for the target readers.

Such a construction of the image of Huineng is also reflected in the title of the translation and the translator's introduction to the text. The translation is entitled *Sutra of Hui-neng*, and in his introduction, Cleary spends two pages talking about the legendary life and influence of Huineng, using the name 'Hui-neng' whenever reference is necessary. Actually, this kind of attitude was criticized by Cheng Kuan, who indignantly stated that it is greatly disrespectful to refer to the highly revered Sixth

[1] Burton-Rose http://terebess.hu/zen/mesterek/ThomasCleary.html.

Patriarch directly by his name, and it is improper, and even frivolous, to use his name in the title of the translation (Low, 2010, p. 97).

5.4.3.4 Cheng Kuan (2011): an abbot and his disciples

Previously an English major in college and a translator after graduation, Cheng Kuan was ordained in 1988 and is now the founder and abbot of two temples, one in Taiwan (Maha-Vairocana Temple, 1991) and the other in the U.S. (Americana Buddhist Temple, 1993). From 2005 he began translating Chinese Buddhist texts into English, and up to now he has translated six books into English. All these translations were published by the publishing institutions under his charge and distributed for free.

Cheng's translation is mainly targeted at his American disciples (most of these are Chinese Americans), as well as Buddhist experts and practitioners (Low, 2010, pp. 41, 87). The tenor relationship between Cheng and his intended readers is, therefore, not equal, as the identity of Cheng as an abbot of two temples, the successor of two Buddhist sects and a Buddhist master gave him an authoritative status. This, in combination with Cheng's dissatisfaction with most of the existing translations, which he thought were too informal and lacking in the solemnity of a Buddhist canon (Low, 2010, p. 86), resulted in his choice of the general personal pronoun *one* and recreating of the image of Huineng as highly revered and talking in a scholarly and genteel way.

As Cheng considers that both the sutra and Huineng as the Sixth Patriarch deserve great reverence, his translation has a formal style and focuses on knowledge transmission. This is also reflected in the structure of the book, which contains nearly one-hundred pages of glossaries and index at the end of the translated text.

5.5 Conclusion

The study presented in this chapter investigated the images of Huineng presented in four English translations of the *Platform Sutra* through the use of personal pronouns, a resource to establish interpersonal distance between communication participants. Why particular personal pronouns were chosen and a certain type of image recreated was further interpreted in light of the context of translation.

Being the first one to translate the *Platform Sutra* into English, Wong presents Huineng as a modest spiritual mentor who addresses his audience with inclusive *we*; whereas

as a professional translator who translated the book for a publishing company, Cleary presents Huineng as a friendly teacher interacting with his audience with *I* and *you*. Huineng, in translations of Heng and Cheng, however, is more detached and impersonal, although the underlying reasons for this are different. Influenced by the popular patriarchal ideas in a certain period in history, Heng's translation used fewer personal pronouns to present Huineng as a detached Chan master. With a clear aim to construct a formal and respectable image of Huineng, Cheng's translation adopted the generic personal pronoun *one*, which makes Huineng's speech formal and scholarly.

Translating is a decision-making process, and the translator needs to select "among a certain (and very often exactly definable) number of alternatives" (Levý, 2012, p. 72). In most cases, these selections are not random, as different translations tend to be made under different conditions and to satisfy different needs (Lefevere & Bassnett, 1990, p. 5). Although personal pronouns are traditionally classified as merely 'functional words', they do make an important contribution to establishing a specific interpersonal relationship between the speaker/writer and hearer/reader, and thus constitute a good scenario to exhibit the variety of choices, and the interaction between linguistic choices and the context of different translations of the same source text.

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6 MOOD & MODALITY and images of Huineng[1]

6.0 Preamble

Similar to Chapter 5, this chapter is also conducted from the interpersonal perspective. It investigates the roles of MOOD and MODALITY in recreating the image of Huineng in the four translated texts.

Adopting SysFan, a computational tool to produce systemic and functional analysis, the chapter investigates the choice of mood types and values of MODALITY (low, median and high) in realising statements and commands by Huineng in each translation. In realising statements, Heng and Cleary favour high-valued modality more than Wong and Cheng, although the mood type of declarative is adopted by all. In realizing commands, Heng and Cleary use more imperative clauses, as well as indicative clauses with high-valued MODALITY, than Wong and Cheng. Consequently, two types of image are recreated for Huineng: an authoritative and forceful Huineng, presented by the two American translators; and a prudent and polite Huineng, presented by the two Chinese translators. Further discussion shows that this phenomenon cannot be accounted for by the translators' linguistic competence in the source language. Instead, the context of the translation, especially the Tenor between the translators and target readers, should be taken into consideration in order to interpret the recreating of these two types of image of Huineng.

6.1 Introduction

In SFL, MOOD refers to the mood types of indicative (declarative and interrogative) and imperative; and MODALITY covers the semantic space between 'yes' and 'no', and provides different ways "in which a language user can intrude on his/her message,

[1] This chapter is based on the article 'Recreating the Image of Chan master Huineng: Roles of MOOD and MODALITY', originally published in *Functional Linguistics*, 2016 3 (4): 1-22. Available at https://functionallinguistics.springeropen.com/articles/10.1186/s40554-016-0027-z.

expressing attitudes and judgements of various kinds" (Eggins, 1994, p. 179). The role of MOOD and MODALITY in an exchange is closely related to the speech functions of the clause, that is, what the speaker is doing through language.

As the basic question of religion is "how to be and what to do" (Downes, 2011, p. 42), the study presented in this chapter focuses on how Huineng provides information and gives commands to his audience and disciples in different translations, and the types of image recreated of him thereby. In this study, an alternative perspective on the research of MODALITY is provided by taking into consideration its close relation to mood types and speech functions. The correlation between text and context, and the interdependence of translation, translator and target readers, are also explored through investigation of the mutations of the image of the same person.

Section 6.2 of this study provides the theoretical framework of MOOD and MODALITY based on SFL, which is followed by a description of methodology in section 6.3. Two types of image recreated of Huineng will be discussed in section 6.4, and possible textual and contextual factors will be considered in section 6.5. The last section, section 6.6, presents a conclusion for the chapter.

6.2 MOOD and MODALITY: a systemic functional perspective

Traditionally, MOOD is considered a grammatical category that mainly depends on the form of the verb (Bybee & Fleischman, 1995, p. 2) or the status of the clause as Realis and Irrealis (Palmer, 2001, pp. 4-5). MODALITY has been studied from the perspectives of semantics (speaker's commitment to the truth value of the proposition) (Biber et. al, 1999; Lyons, 1977; Palmer, 2003; Perkins, 1983), pragmatics (Coates, 1987, 1990; Holmes, 1984; Hyland, 1994; Myers, 1989), and interpersonal interaction (Butler, 1988; Camiciottoli, 2004; Gao, 2012; He, 1993; White, 2000, 2003).

The combination of MOOD and MODALITY with interpersonal interaction is systematically achieved in SFL, a theory centred on the notion of language function. Three metafunctions of language are recognized in SFL: ideational, interpersonal and textual. The ideational metafunction is to construe people's inner and outer experience of the world, the interpersonal metafunction is for speakers to enact their speech roles and construct relationships with each other, and the textual metafunction is to create a coherent and understandable text. MOOD and MODALITY are within the interpersonal

system, and closely related to the speech functions of the clause as proposition and proposal, which is demonstrated in the following sections.

6.2.1 Clause as exchange, speech function, MOOD and MODALITY

Two mood types, indicative and imperative, are recognized in SFL, with each having further sub-classifications, as presented in Figure 6.1. The key elements in distinguishing mood types are Subject, a nominal group picked up by the pronoun in the tag question, and the Finite element, one of a small number of a verbal operators expressing tense (e.g. *is*, *has*) or MODALITY (e.g. *can*, *must*).

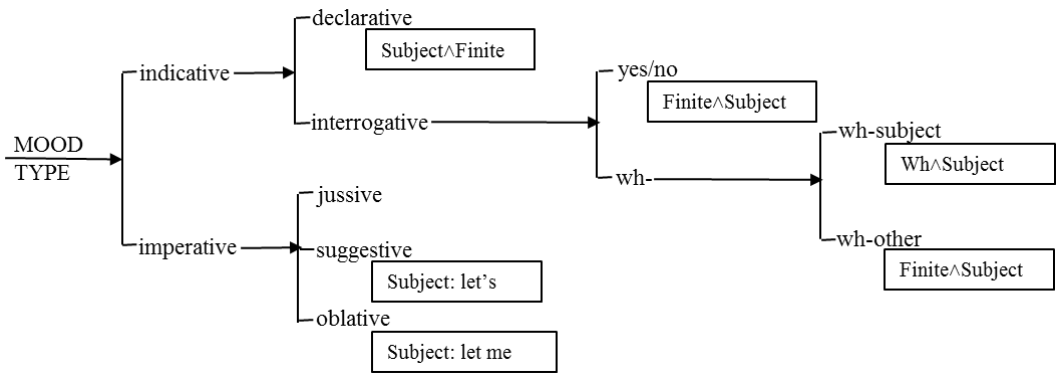

Figure 6.1 Mood types in English

Presence or absence of both the Subject and Finite can be seen as a distinction between indicative and imperative. Within the indicative, the order of the Subject and Finite can serve as a criterion to distinguish 'declarative' (Subject + Finite), 'yes/no interrogative' (Finite + Subject) and 'Wh-interrogative' (Subject + Finite if the Wh-element is the Subject, and Finite + Subject otherwise) (Halliday & Matthiessen, 2004, pp. 111-115).

From an interpersonal perspective, an act of speaking is an act of interaction, and the clause functions as an exchange. The speaker can choose either of the two speech roles of giving and demanding; and there are two kinds of things to be exchanged — information, and goods and services. Such choices are represented on the semantic level through speech functions of statement, question, offer and command. Correspondence between speech functions and mood types on the lexico-grammatical level also exists.

Table 6.1 Clause as exchange

commodity	speech role	speech function	
information	giving	'statement' ↘ indicative: declarative He is an Australian.	proposition
	demanding	'question' ↘ indicative: interrogative Is he an Australian?	
goods-&-services	giving	'offer' ↘ various, e.g. modulated interrogative Would you like a cup of tea?	proposal
	demanding	'command' ↘ imperative Give me a cup of tea.	

As can be seen from Table 6.1, the mood type of indicative is typically used to exchange information, with declarative as the realization of statement and interrogative as that of question. 'Imperative' is typically chosen to realize commands. Offers do not have a dedicated realisation in MOOD, and may have different kinds of realization, such as modulated interrogatives (Matthiessen 1995, p. 437).

What are presented in the table are the congruent, or 'unmarked' ways of realizing the different speech functions; the status of being 'unmarked' means a high probability of being chosen in conversation. However, it should also be noted that there is no strict one-to-one correspondence between speech functions and mood types (Matthiessen, 1995, pp. 438-444), especially in the exchange of goods and services where language is used to achieve non-linguistic ends. It is here that MODALITY, in combination with the indicative mood, constitutes an important resource to realize offers (as the example in the table) or commands (such as *you should give me a cup of tea*).

MODALITY is "a form of participation by the speaker in the speech event" (Halliday, 1970, p. 335), which creates various intermediate degrees between the categorical extremes of unqualified positive and negative. It can be categorized according to the functions of the clause as a proposition or proposal, as illustrated in Table 6.2.

Table 6.2 Speech function and modality type

speech function	**type of intermediacy**		**example of realization**
proposition	modalization	probability	He *may* be an Australian. He is *possibly* an Australian. *I think* he is an Australian.
		usuality	He *must* walk when it is sunny. He *always* walks when it is sunny.
proposal	modulation	obligation	You *should* read the book. You *are required to* read the book.
		inclination	I *will* read the book for you. I *want to* read the book for you.

MODALITY in propositions is termed modalization, and is about how probable or frequent the information is valid. MODALITY in proposals, termed modulation, is about the obligation and inclination of the interlocutors. MODALITY can be realized in the form of modal auxiliaries, modal adverbs, or separate clauses. Moreover, the value of MODALITY can be graded as low, median or high, according to the strength of the assessment. Interpersonally, the more certain the speaker is about the proposition, the more likely he is expecting assent from the hearer; and the higher the value of obligation, the more likely the speaker is expecting the hearer to respond (Croft, 1994, p. 469). A combination of type and value is exhibited in any modal expression, such as those illustrated in Table 6.3.

Table 6.3 Combination of modality type and value

modality type		**modality value**		
		low	**median**	**high**
modalization	probability	can/could/may/might possibly, I guess	will/would probably, I think	must/should certainly, I know
	usuality	can/could/may/might sometimes	will/would usually	must/should always
modulation	obligation	can/could/may/might it's permissible…	should/had better, it's desirable…	must/have to/ought to it's necessary
	inclination	willing to	will/would like to	must/have to

The following section will focus on one type of proposition (statement) and one type of proposal (command), and the use of MOOD and MODALITY in realizing these two speech functions and building a certain image of the speaker.

6.2.2 MOOD and MODALITY in clauses as statements

In a statement, the speaker provides information. As information is something that can be argued about, the validity of the information becomes the core of an exchange. Moreover, a speaker is not a neutral observer of the world. Whenever one speaks, one is also expressing attitudes, such as certain or uncertain, towards the information being conveyed (Coates, 1990, p. 55). The speaker can either say that something IS or IS NOT in a categorical way, or take up an intermediate position between these two poles through the use of MODALITY (Crompton, 1997; Hyland, 1994, 1996; Markkanen & Schröder, 1997), as shown in the following two examples:

(1) Huineng *is* the founder of Chan Buddhism.
(2) Huineng *must/would/may* be the founder of Chan Buddhism.

From an interactional perspective, the choice of categorical or modalised expression exhibits the speaker's strategy to orient the hearer towards the validity of the proposition. By uttering Example 1, the speaker conveys to the hearer the information that the proposition is valid without any qualification; but in Example 2, the definiteness of the proposition is moderated, with the focus of the argument being not whether Huineng *is* or *is* not the founder but whether or not he *must*/*would/may* be the founder (Butt et. al, 2006, p. 89).

Moreover, such a choice can reflect the speaker's perception of the potential response from the hearer and help the speaker construct a desirable self-image. Categorical assertions leave no room for dialogue about the validity of the proposition, reject the need for feedback, and consign the hearer/reader to a passive role (Hyland, 1996, p. 258). They make the proposition monoglossic (Martin & White, 2005, pp. 99-100), and the image of the speaker as being authoritative. On the other hand, modalization can be used to create a heteroglossic environment, to express deference to a superior in conversation (Eggins, 1994, pp. 194-195), or to create a less authoritative tenor to balance the power inequality in written texts (ibid, p. 315).

6.2.3 MOOD and MODALITY in clauses as commands

Commands are different from statements: instead of being usually realized through the congruent mood type, commands are more likely to be realised non-congruently, despite having an unmarked realization of imperative clauses. The reason for this is that the use of imperatives is often restricted, and depends on the interpersonal relation between the speaker and the hearer.

(3) You *should* read the *Platform Sutra*.
(4) *Will* you read the *Platform Sutra*?
(5) Read the *Platform Sutra*.

Interpersonally, modulated indicative clauses such as Examples 3 and 4 are 'metaphorical', in comparison with the congruent imperative clause (Example 5), and thus expand the potential for further negotiation. They provide a range of interpersonally more delicate ways of commanding (Halliday & Matthiessen, 2004, pp. 632-633). Instead of the strongly controlling imperative clause, 'Read the *Platform Sutra*', a declarative clause with the modulation of obligation *should* or an interrogative clause with the modulation of inclination *will* give more discretion to the hearer, who will thus find it easier to choose to either comply or refuse. Therefore, they are considered a 'politeness' strategy (Brown & Levinson, 1987; Butler, 1988).

Like modalization in statements, modulation in commands is also an indicator of the speaker's sensitivity to the interpersonal relationship, and a way to project his/her self-image. Modulated indicative clauses are typically used to reflect deference, and the image of the speaker will therefore be more polite compared with imperatives.

The interpersonal function of MOOD and MODALITY provides an important resource for speakers to build a desirable image for themselves, and the perception of the image of a certain person on the part of the hearer. Simpson (1990, p. 64), for example, points out that the adoption of modulated indicative clauses to realize commands can not only help maintain the social relationship but also lead to a favourable evaluation of the 'personality' of the writer/speaker by the addressee. Politicians, for example, tend to use MODALITY in statements during media interviews to construct an image of confidence and intelligence for themselves (Simon-Vandenbergen, 1996).

6.3 Data and methodology

6.3.1 Data

The four English translations constituting the data of this study include: *Sutra Spoken by the Sixth Patriarch (Wei Lang) on the High Seat of the Gem of Law (Message from the East)* by Wong Mou-lam (1930a), *The Sixth Patriarch's Dharma Jewel Platform Sutra* by Heng Yin (1977a, second edition), *The Sutra of Hui-neng, Grand Master of Zen: with Hui-neng's Commentary on the Diamond Sutra* by Thomas Cleary (1998a), and *The Dharmic Treasure Altar-Sutra of the Sixth Patriarch* by Cheng Kuan (2011, second edition).

The criterion of selection is heterogeneity in terms of translator's identity, publishing time and agency. Both Chinese and American translators are included in this study. Translators from the same cultural background are further distinguished by their religious identity, either as a layperson (one who is not ordained to Buddhism), or as a Buddhist. Time gaps between the different translations also exist, with the first one produced in 1930 and the last one in 2011. As for publishing agencies, all of the translations are published by institutions affiliated to Buddhist institutions, with the exception of the translation of Thomas Cleary, which is published by Shambhala Publications. This heterogeneity is assumed to be likely to lead to variation in linguistic choices and the types of image of Huineng.

Direct speeches of Huineng in five chapters of the *Platform Sutra*, Chapter Two, Four, Five, Six and Seven, are extracted from each translation as the data of analysis in the study presented in this chapter. These chapters of the *Platform Sutra* comprise both Huineng's public sermons and conversations with disciples.

6.3.2 Analytical procedure

The extracted direct speeches of Huineng are divided into clauses and imported into SysFan, a computational tool to produce systemic and functional analysis (Wu, 2000). A total of 4,836 clauses from the four translations are analysed, according to the lexico-grammatical realization of the interpersonal system of English, which is illustrated in Figure 6.2. Results can be summarized automatically using Sysfan, and the MOOD and MODALITY of all clauses can be retrieved after the analysis.

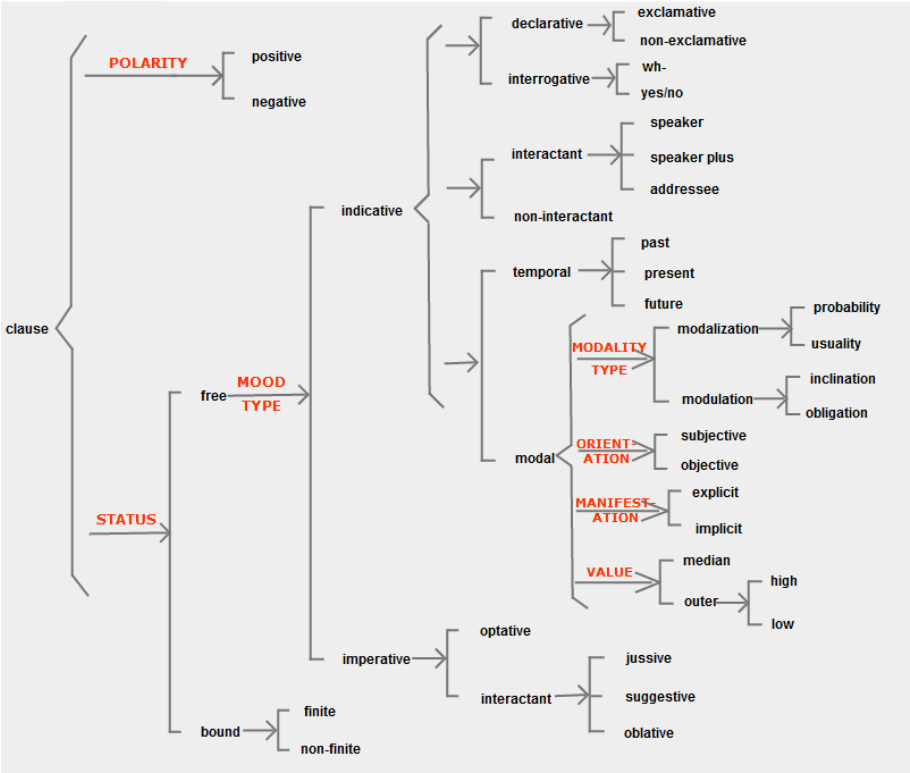

Figure 6.2 Interpersonal system of English in SysFan

As for the presentation of the analysis result, there are two points that need explication. Firstly, for clauses as statements, analysis results of both the declarative and bound finite (dependent) clauses are listed. Since the study takes the clause as the unit of analysis, in cases where more than one modal expressions of probability or usuality occur in the same clause, only the one with higher value is counted. For example, in the following clauses, both modal auxiliaries and adverbs are used in the same clause. The whole clause is counted as modalised, and only the expression with a higher value (*surely* and *always*) will be exhibited in the analysis result:

(6) Those who never regress all their lives *will surely* enter the ranks of sages (Cleary, Chapter 2).

(7) Thus, they *would always* unfold the Apprehension-Perception of Plebeians for themselves (Cheng, Chapter 7).

Secondly, for clauses as commands, only imperatives and free modulated indicatives are included, as dependent clauses with modulations, such as the following example, cannot serve as command for others to do something:

(8) The Words in the Sutra profess distinctly *that you should take Refuge under Buddha intrinsically* (Cheng, Chapter 6).

Modulated clauses with inclusive *we* as subject (only found in Wong Mou-lam's translation) are regarded as realizing commands in this study, as shown in Example 9. This kind of realization is considered a strategy by the speaker to shorten the distance between himself and the hearer, and is therefore more polite and less threatening than clauses containing *you* as subjects:

(9) Within, *we should* control our mind; without, *we should* be respectful towards others (Wong, Chapter 6).

Free modulated clauses with non-interactant third-person subjects, although they may be regarded as intermediate between propositions and proposals (Halliday & Matthiessen, 2004, p. 148) (such as *John should do that*), are regarded as commands in the analysis. The reason lies in the fact that, in the data, although the subjects of these clauses take the form of third person, they are usually generalized and have the potential to be applied to the audience, such as Example 10, or to clearly refer to the audience, such as Example 11, and thus have the function of commands:

(10) *Those who are under delusion have to* train themselves gradually (Wong, Chapter 4).

(11) *Both laity and monks should* put its teaching into practice (Wong, Chapter 2).

As modal auxiliaries are notoriously polysemic, there are inevitably some cases where the meaning of a modal auxiliary is hard to identify. A solution of referring to the source text, comparing with other translations and examining the co-text is taken in order to pin down the exact meaning and make the analysis reliable.

6.4 Results and discussions

6.4.1 Statements: how authoritative is Huineng?

Analysis shows that, when providing information to the audience, Huineng uses declarative clauses in all the translations. Significant difference lies in the certainty/uncertainty of what he is saying, which is illustrated in Table 6.4 in terms of numbers and frequencies of clauses without and with MODALITY. While clauses

containing MODALITY reach 31% and 15% in translations by Cheng and Wong, respectively, only 7% and 9% of the clauses are qualified in Cleary's and Heng's translations, respectively. Moreover, values of MODALITY also differ among these translations, with 38% and 19% modal expressions being high valued in translations of Cleary and Heng, respectively, in comparison to the much lower frequencies in Wong (11%) and Cheng (8%).

Table 6.4 Modality in clauses as statements

		Wong	**Heng**	**Cleary**	**Cheng**
clauses without modality		703 (85%)	781 (91%)	860 (93%)	643 (69%)
clauses with modality		129 (15%)	74 (9%)	63 (7%)	286 (31%)
low value		42 (32%)	12 (16%)	10 (16%)	44 (15%)
	can	8	-	2	14
	could	-	-	-	17
	may	33	9	8	11
	might	1	3	-	2
	I gather	-	-	-	-
median value		73 (57%)	48 (65%)	29 (46%)	220 (77%)
	will	38	41	23	45
	shall	5	1	-	19
	would	30	6	6	156
high value		14 (11%)	14 (19%)	24 (38%)	22 (8%)
	cannot	3	2	-	1
	must	2	1	1	1
	certainly	-	-	1	-
	surely	-	-	2	-
	always	5	6	14	11
	never	4	5	6	9
total clauses		832	855	923	929

This provides strong interpersonal indications. In the *Platform Sutra*, Huineng is either preaching on the principles of Chan Buddhism or answering his disciples' questions. Uncertainty due to lack of knowledge is almost ruled out by the context, and an interpersonal consideration seems more plausible. High frequencies of unqualified clauses and high-valued MODALITY in Cleary's and Heng's translations help the translators recreate an authoritative image for Huineng: Huineng intends to regard all his words as definite and indisputable. In comparison, Cheng and Wong, by qualifying many of the statements through median- and low-valued MODALITY, recreate the image of Huineng as cautious and less threatening. Examples are presented in the following.

Unqualified vs. qualified statements

Example 1

ST: kǒu nìan xīn bù xíng º rú hùan rú huà º rú lù rú diàn
口 念 心 不 行º 如 幻 如 化º 如 露 如 电
mouth recite heart not practice like illusion like delusion like dew like lightning

kǒu niàn xīn xíng º zé xīn kǒu xīangyìng
口 念 心 行º 则 心 口 相应 (T2008_.48.0350a20-21)
mouth recite hear practice then heart mouth correspond

Cleary: Verbal repetition without mental application *is* illusory and evanescent. When it *is* both spoken of and mentally applied, then mind and speech *correspond* (1998, p. 16).

Heng: When the mouth *recites* and the mind *does not* practice, it *is* like an illusion, a transformation, dew drops, or lightning. However, when the mouth *recites* and the mind *practices*, then mind and mouth *are* in mutual accord (1977, p. 116).

Wong: Mere reciting it without mental practice *may* be likened to a phantasm, a magical delusion, a flash of lightning or a dewdrop. On the other hand, if we *do* both, then our mind *would* be in accord with what we repeat orally (1930, p. 11).

Cheng: If it *is* merely muttered in the mouth without Mental Implementations, it *would* be like Phantasm or Metamorphosis, or like dew drops and electricity. Chanting verbally and implementing mentally at the same time *could* make both the mouth and the Mind congruently corresponding (2011, p. 30).

In Example 1, Huineng is comparing two ways of practicing Chan, verbal reciting only, and a combination of verbal reciting and mental practice, by pointing out the futility of the former and the productivity of the latter. Both Cleary and Heng translated the sentences into categorical statements, showing that Huineng is absolutely certain in making judgement of the two kinds of practice. In comparison, Huineng in the translations by Wong and Cheng is more cautious, as he says that there *may/would* be such an analogy between verbal reciting only and certain things, and the combination of verbal and mental practice *would/could* lead to a certain consequence.

Example 2 in the following is taken from Chapter Four of the *Platform Sutra*, where Huineng is giving a definition to Samadhi and Prajna. Being an illustration of the resistance to absolutism and consideration of the audience's understanding, definition through analogy is characteristic of Huineng's teaching (Yu, 2011, p. 65). It is interesting to see how Cleary and Heng present the analogy as definite, and Wong and Cheng interpret this with low-valued modality *may* and *can*. The causal relationship between lamp and light/darkness is also put in different ways, being either unequivocal, or merely hypothetical through the use of *would* (Coates, 1983, p. 211).

Example 2

ST: shàn zhī shī dìng huì yóu rú hé děng yóu rú dēngguāng yǒu dēng jí guāng wú dēng jí àn
善知识º定 慧 犹如何等º犹如灯 光º有灯 即 光º无 灯 即闇
Voc. Samadhi Prajna like what like lamp light have lamp be light no lamp dark (T2008_.48.0352c21-22)

Cleary: Good friends, what *are* stabilization and insight like? They *are* like a lamp and its light. If there *is* a lamp, there *is* light; without a lamp, there *is* darkness (1998, p. 31).

Heng: Good Knowing Advisors, what *are* concentration and wisdom like? They *are* like a lamp and its light. With the lamp, there *is* light. Without the lamp, there *is* darkness (1977, p. 204).

Wong: Learned Audience, what *are* Samadhi and Prajna analogous to? They *may* be analogous to a lamp and its light. With the lamp, there *is* light. Without it, it *would* be dark (1930, p. 23).

Cheng: Good Mentors, what *is* Stasis-Wisdom like? It *can* be likened to the Lamp and the Light: If there *is* a Lamp, there *would* be Light; if there *is no* Lamp at all, it *would* be only pitch-dark (2011, p. 61).

Example 3 in the following is an illustration of the tendency to use more qualified clauses by Cheng in comparison with the other three translators. As can be seen from Table 6.4, the highly frequent use of *would* in Cheng's translation contributes to its high frequency of qualified statements. Preference for this word makes the text sound academic, and the image of Huineng scholarly, as if talking about philosophical hypotheses.

Example 3

ST: ruò shí běn xīn jí běn jiě tuō ruò dé jiě tuō jí shì bō rě sān mei
若 识 本 心º即本 解脱º若得 解脱º即是般若三昧º
if know original heart be original liberation if obtain liberation be Prajna Samsdhi
bō rě sān mei jí shì wú nìan
般若 三昧º即是无 念
Prajna Samsdhi be no thought (T2008_.48.0351a26-27)

Cleary: If you *know* your original mind, you *are* fundamentally liberated. If you *attain* liberation, this *is* prajnasamadhi, which *is* freedom from thought (1998, p. 21).

Heng: The recognition of your original mind *is* the original liberation. The attainment of liberation *is* the Prajna Samadhi, *is* no-thought (1977, p. 149).

Wong: To know our mind *is* to obtain fundamental liberation. To obtain liberation *is* to attain Samadhi (exalted ecstasy) of Prajna which *is* 'thoughtlessness' (1930, p. 14).

Cheng: If one *can* cognize one's own Native Mind, it *would* be the Fundamental Liberation. When the Liberation *is* attained, it *would* be Prajnaic Samadhi, and Prajnaic Samadhi *is* Non-deliberation (2011, p. 41).

Median- and low-valued vs. high-valued modalization

Example 4

ST:	ru shen de wu sheng zhi yi 汝 甚 得无 生 之意 you very get no production idea (T2008_.48.0357c15)
Cleary:	You have *certainly* gotten the intent of non-conception (1998, p. 57)!
Heng:	You have *truly* got the idea of non-production (1977, p. 320).
Cheng:	You have *well* comprehended the meaning of Non-nascence (2011, p.119).

This example is taken from Huineng's conversation with one of the disciples who came afar to consult him. After talking with the disciple, Huineng made a comment on his understanding of the Buddhist principle. While Huineng evaluates the nature (*truly*) and manner (*well*) of the student's understanding in translations by Heng and Cheng, he expresses his assessment of the probability with a high-valued MODALITY (*certainly*) in Cleary's translation. Wong's translation is missing from the example as this is translated into an indirect speech (*The Patriarch then commended him for his thorough grasp of the motion of 'Birthlessness'*), which is not included in our data.

6.4.2 Commands: how powerful is Huineng?

There is also significant difference among the four translations in the realization of commands, as shown in Table 6.5. Cleary and Heng apparently favour imperatives much more than Wong and Chen, using 70% and 68% imperative clauses in their translations, respectively. On the contrary, Cheng uses only 32% imperative clauses in expressing commands. Imperatives and indicative clauses containing modality occupy almost equal status in Wong's translation, but a more polite form of imperative, suggestive (*Let's*/*Let us*), is adopted by Wong. Different from a jussive imperative, where the hearer *you* is the only one responsible to carry out the action, a suggestive imperative assigns the proposal to both the hearer and the speaker, and can be seen as an intermediate between an offer and a command (Matthiessen, 1995, pp. 423, 425). In this way, the command is softened and the image of the speaker also becomes more considerate.

Table 6.5 Realization of commands

		Wong	Heng	Cleary	Cheng
imperatives		58 (50%)	117 (68%)	86 (70%)	33 (32%)
	jussive	42 (72%)	117 (100%)	86 (100%)	33 (100%)
	suggestive	16 (28%)	-	-	-
modulated indicatives		59 (50%)	55 (32%)	36 (30%)	70 (68%)
total clauses		117	172	122	103

In demanding the hearer to take an action, imperative clauses are considered the most direct and bold way (Brown & Levinson, 1987, p. 69). Although potentially fact-threatening and usually avoided, imperative clauses can be viewed as an indication of the powerful status of the speaker over the hearer when actually used, especially in comparison with the modulated indicative form, such as *You should*… (Eggins & Slade, 1997, p. 88). Interpersonally, modulated clauses are less imposing, as they ground the demand in the subjectivity of the speaker and make allowance for alternatives.

Table 6.6 Modality in indicative clauses as commands

		Wong	Heng	Cleary	Cheng
modulated indicatives		59	55	36	70
low value		4 (7%)	2 (4%)	1 (3%)	8 (11.5%)
	need not	4	1	-	1
	may	-	1	-	3
	can	-	-	1	3
	could	-	-	-	1
median value		49 (83%)	39 (71%)	28 (78%)	54 (77%)
	will	2	-	-	-
	should	46	39	28	53
	shall	1	-	-	1
high value		6 (10%)	14 (25%)	7 (19%)	8 (11.5%)
	have to	5	-	-	-
	must	-	13	4	-
	ought to	1	1	1	2
	need to	-	-	2	6

Therefore, by relying more on imperative clauses to issue commands, Huineng, in the translations by Cleary and Heng, appears to be more direct and powerful than the same Chan master presented by Wong and Cheng. This is further illustrated through the frequency of high-valued against median- and low-valued modulation in indicative clauses, as shown in Table 6.6.

As shown in the table, Heng and Cleary use fewer modulated clauses, but there is a higher frequency of high-valued modulation in their translations (25% and 19%, respectively) than the other two (11.5% in Cheng and 10% in Wong). As value of modulation is a reflection of the strength of the modal assessment, the higher the value, the stronger the command, and the more power the speaker assumes for himself over the hearer.

Examples illustrating difference in realizing commands through two kinds of mood types, and variation in the values of modulation, are provided in the following.

Imperative clauses vs. modulated indicative clauses

Example 5

ST:	bǐ yǒu hé yán jù º rú shì jǔ kàn 彼有 何 言句 º汝试 举看 he have what words you try quote (T2008_.48.0356b27)
Cleary:	What did he have to say? Try to quote him (1998, p. 51).
Heng:	What instruction did he give you? Try to repeat it to me (1977, p. 292).
Wong:	What instruction did he give you? *Will* you please repeat it? (1930, p. 43)
Cheng:	What did he say? You *can* cite for me some of his teachings (2011, p. 103).

Example 5 is taken from Huineng's conversation with a disciple, who says that he failed to understand the words of another master he visited before. Huineng then asks the disciple to repeat what the other master has said. Both Cleary and Heng translate the second clause into imperative mood, while modulated indicative clauses are used by Wong and Cheng. In Wong's translation, Huineng uses *will* to inquire into the inclination of the student to carry out the action. In Cheng's translation, instead of expressing obligation, Huineng grants permission to the student by saying 'you *can*…'. Both these forms are indirect in giving orders, and exhibit Huineng's effort to balance the inequality between a teacher and a student.

Example 6

ST: jīn kě gè gè hú guì
今 可各各 胡跪
now can each kneel (T2008_.48.0353c05)

Cleary: Now let each of you kneel (1998, p. 37).

Heng: Now all of you kneel (1977, p. 221).

Wong: Now *let us* kneel down in the Indian fashion (1930, p. 29).

Cheng: Now you *can* all genuflect… (2011, p.71)

In Example 6, Huineng is asking a large audience to kneel down before leading them to perform the ritual of repentance. Both Cleary and Heng use 'marked' imperatives (cf. Halliday & Matthiessen, 2004, p. 138) with explicit subjects (*each of you* and *all of you*) to emphasize the audience as responsible to carry out the action. Wong Mou-lam, although also using an imperative, creates a relatively more intimate tone by using a suggestive *let us*, despite that Huineng does not actually do the action together with his audience (Wong, 1930a, p. 29). Cheng Kuan still uses *can* to express the order in the form of a permission, with the result of creating a rather undemanding image for Huineng.

Median- and low-valued vs. high-valued modulation in indicative clauses

Example 7

ST: shàn zhī shī ° ruò yù rù shènshēn fǎ jiè jí bō rě sān mèi zhě ° xū xīu bō rě xíng
善知识 ° 若欲入甚深 法 界 及 般若三昧者 ° 须 修 般若行
Voc. if want enter deepest Dharma world and Prajnasamadhi must practice prajna (T2008_.48.0350c09-10)

Cleary: Good friends, if you want to enter the most profound realm of reality and prajnasamadhi, you *should* cultivate the practice of prajna (1998, p. 19).

Heng: Good Knowing Advisors, if you wish to enter the extremely deep Dharma realm and the Prajnasamadhi, you *must* cultivate the practice of Prajna (1977, p. 131).

Wong: Learned Audience, if you wish to penetrate the deepest mystery of the Dharmadhatu (the sphere of the law) and the Samadhi of Prajna, you *should* practice Prajna… (1930, p. 14).

Cheng: Good Mentors, those who desire to enter into the profound Dharmic Sphere and Prajnaic Samadhi, *should* cultivate on the Prajnaic Deed (2011, p. 36).

Example 7 illustrates that, although all translators may use modulated indicative clauses to realize commands, a difference still exists in the force of the commands exhibited through values of the modulation. Heng is the only one to use a high-valued *must*, and all the other three translators choose a less threatening *should* with a median value.

Example 8

ST:	yù nǐ huà tā rén º zì xū yǒu fāngbìan 欲 拟 化 他 人 º 自须 有 方便 want try teach other people self must have means (T2008_.48.0351c07)
Cleary:	If you want to try to teach other people, you *need to* have expedient methods yourself (1998, p. 23).
Heng:	If you hope and intend to transform others, you *must* perfect expedient means (1977, p. 157).
Wong:	Those who intend to be the teachers of others *should* themselves be skilled in the various expedients which lead others to enlightenment (1930, p. 17).
Cheng:	With a view to edifying other people, you *should* be equipped with Expedient Dexterities (2011, p. 46).

Example 8 is taken from the verse at the end of Chapter Two of the *Platform Sutra*, where Huineng summarizes what he has preached in the whole chapter. It can be seen that high-valued modal expressions (*need to* and *must*) are used by the two American translators, Cleary and Heng, while a median-valued *should* is used by the two Chinese translators, Wong and Cheng. Wong's translation, although having a third-person subject, is still counted as realizing command, as the pronoun *those* here is usually generalized and can be interpreted by the hearer as including himself (cf. Section 6.3.2).

6.4.3 Summary

As can be seen from the previous discussions, in providing information through statements, Heng and Cleary favour categorical clauses (clauses without MODALITY), and high-valued modalization, more than do Wong and Cheng. Similarly, they use more imperatives and high-valued modulation than Wong and Cheng in realizing commands.

Therefore, the four translations can be generally classified into two groups: those by the two Western translators, Heng and Cleary, and those by the two Chinese translators Wong and Cheng. Consequently, there are roughly two types of image recreated of Huineng in the four translations, one being authoritative and powerful, and the other being modest and polite.

This identification of two types of Huineng's image and classification of the translators into two groups highlight the possible influence of the linguistic and cultural backgrounds of the translators. It appears, however, that different religious identities

of the translators (layperson or Buddhist) and time gap between the translations (cf. Section 6.3.1) fail to make much difference between the two in each group.

A consideration of the two different cultures, moreover, appears to run contrary to the finding. Patriarchal tradition and granting teachers with absolute authority and power are apparently more acceptable and prevalent in Chinese than in American culture. Then, is it possible that the two Chinese translators, being relatively more familiar with the source language, have the ability to capture linguistic subtleties which are neglected by the two American translators? Or rather, if this source language competence hypothesis cannot be supported, is it possible that the reason may lie in the context rather than the text? Answers to these questions will be explored in the next section.

6.5 Why are different types of image recreated?

The question, why are different types of image recreated, can be answered from two perspectives: the perspective of text, and that of context. The first part in this section will focus on the possible textual constraints that may have been neglected by the two American translators but captured by the two Chinese translators. The second part will move on to contextual considerations, with emphasis on the social distance between the translators and target readers.

6.5.1 Textual consideration

In realizing statements, difference among translations lies in the choice of categorical versus qualified clauses. As the two American translators tend to produce categorical expressions and the two Chinese translators tend to moderate the clauses through MODALITY, are there linguistic elements of uncertainty that elude the attention of the American translators but are captured by their Chinese counterparts?

The answer is, roughly, “No”. Different from English, where MODALITY is realized both grammatically in the form of modal auxiliaries within the Finite of the clause (Halliday & Matthiessen, 2004, pp. 115-116) and lexically in the form of modal adverbs and separate clausal expressions, MODALITY in Chinese is lexicalized (Halliday & McDonald, 2004, p. 339), as Chinese does not have corresponding

finiteness (Matthiessen & Halliday, 2009, p. 10). Therefore, it is relatively easy to detect modal expressions in Chinese.

In the source text, lexical expressions of (un)certainty are rarely adopted in statements. Where such an expression does exist, it tends to be captured by all the translators.

Example 9

ST: rú xīn zhōng bì yǒu yī wù
汝 心中必 有 一 物
you heart must have one thing (T2008_.48.0355b10)

Cleary: You *must* have something on your mind (1998, p. 45).
Heng: There *must* be something on your mind (1977, p. 269).
Wong: There *must* be something in your mind that makes you so puffed up (1930, p. 37).
Cheng: You *must* be harbouring something in your mind (2011, p. 90).

It can be seen that the expression of subjective assessment of certainty, on the part of the speaker, through the lexical item 必 (bì) in the source text, is represented in the form of a modal auxiliary *must* in all the translations.

However, as can be illustrated in the following two examples, which are repetitions of the previous Examples 1 and 2, with only the modalised translations by Wong and Cheng, in many cases the two Chinese translators choose to modify the statements that do not have corresponding features in the source text.

Example 10

ST: kǒu nìan xīn bù xíng º rú hùan rú huà º rú lù rú diàn
口 念 心 不 行º 如 幻 如 化º 如 露 如 电
mouth recite heart not practice like illusion like delusion like dew like lightning

kǒu niàn xīn xíng º zé xīn kǒu xīangyìng
口 念 心 行º 则 心 口 相应 (T2008_.48.0350a20-21)
mouth recite hear practice then heart mouth correspond

Wong: Mere reciting it without mental practice *may* be likened to a phantasm, a magical delusion, a flash of lightning or a dewdrop. On the other hand, if we *do* both, then our mind *would* be in accord with what we repeat orally (1930, p. 11).

Cheng: If it *is* merely muttered in the mouth without Mental Implementations, it *would* be like Phantasm or Metamorphosis, or like dew drops and electricity. Chanting verbally and implementing mentally at the same time *could* make both the mouth and the Mind congruently corresponding (2011, p. 30).

Example 11

ST: shàn zhī shī dìng huì yóu rú hé děng yóu rú dēngguāng yǒu dēng jí guāng wú dēng jí àn
善知识º定 慧 犹如何等º犹如灯 光º有灯 即光º无灯 即闇
Voc. Samadhi Prajna like what like lamp light have lamp be light no lamp dark (T2008_.48.0352c21-22)

Wong: Learned Audience, what *are* Samadhi and Prajna analogous to? They *may* be analogous to a lamp and its light. With the lamp, there *is* light. Without it, it *would* be dark (1930, p. 23).

Cheng: Good Mentors, what *is* Stasis-Wisdom like? It *can* be likened to the Lamp and the Light: If there *is* a Lamp, there *would* be Light; if there *is no* Lamp at all, it *would* be only pitch-dark (2011, p. 61).

Similarly, in realizing commands, where the source text has explicit modulating expressions, they tend to be retained in all the translations.

Example 12

ST: dāng yòng dà zhì huì dǎ pò wǔ yùn fán nǎo chén láo
当 用 大 智慧 打破五蕴 烦恼 尘劳
Should use big wisdom break five afflictions Skandhas (T2008_.48.0350c02-03)

Cleary: You *should* use great wisdom to break through the afflictions and mundane toils of the five clusters (1998, p.18).

Heng: You *should* use great wisdom to destroy affliction, defilement, and the five skandhic heaps (1977, p.129).

Wong: We *should* use this great wisdom to break up the five Skandhas… (1930, p. 13).

Cheng: One *should* implement great Wisdom to crash the Annoyances derived from the Penta-Aggregates, as well as the Mental Toils of Worldly Cares (2011, p. 35).

In Example 12, the lexical item 当 (dāng), which is an expression of obligation in the source text, is translated into its corresponding modulation *should* in English by all the translators.

However, the tendency to change the original imperative clauses into modulated indicative clauses by the two Chinese translators is apparent, as can be seen in the following example:

Example 13

ST: bǐ yǒu hé yán jù rú shì jǔ kàn
彼有 何 言句º汝试举看
he have what words you try quote (T2008_.48.0356b27)

Wong: What instruction did he give you? *Will* you please repeat it? (1930, p. 43)

Cheng: What did he say? You *can* cite for me some of his teachings (2011, p.103).

Therefore, it appears that the linguistic competence hypothesis is refuted by the fact that in many cases the two Chinese translators choose to soften the statements/commands where no source text constraints can be found. Then, what is the possible reason? To answer this question, a broader picture needs to be drawn and the context of translation needs to be considered.

6.5.2 Contextual consideration

A text cannot be separated from its context. The relation between text and context is dynamic, in that context is realized in text and text can reveal context (Butt et al., 2006, p. 182). Context of situation, which is the immediate environment of the text, can be described in terms of three dimensions: Field (what is to be talked or written about), Tenor (the relationship between the speaker/writer and hearer/reader), and Mode (the kind of text that is being made) (ibid, p. 5).

Our focus here will be on Tenor, between the translator and target readers, as MOOD and MODALITY are within the interpersonal system of language, and reflect tenor. One variable of tenor, social distance (Butt, 2004; Halliday & Hasan, 1989), will be mainly investigated. Social distance in translation refers to "the amount of shared contextual space which the participants are assigned" (Steiner, 1998, p. 294). That is, the frequency of previous interaction and the degree of sharing the same culture and codes. It is assumed that the social distance of the translator with target readers will have an influence on his/her linguistic choices and the type of image of Huineng recreated in the translation.

Wong Mou-lam was the first one to translate the *Platform Sutra* into English. He was born in Hong Kong and came to Shanghai in his twenties. In 1928, he was requested by Dih Ping Tsze, one of the founders of the Pure Karma Buddhist Association, to translate the sutra into English. One and a half years later, the translation was published by the Association, and copies were taken to London and soon sold out (Ko, 1996, pp. 9-10). The purpose of translation was to make the ideas of Chan Buddhism known to the Westerners, and the targeted readers were Westerners with an interest in this Eastern religion (Dih, 1930; Wong, 1930b). The social distance between the translator and the target readers is, therefore, near maximal, as a clear division of *they* as *the Europeans and Americans* and *we* as *people of the East* can be seen in Dih's preface,

and the translator himself keeps apologizing to the target readers for his incompetence in providing a good translation.

Formerly an English major in college and a translator after graduation, Cheng Kuan was ordained in 1988, and now is the founder and abbot of two temples, one in Taiwan (Maha-Vairocana Temple, 1991) and the other in America (Americana Buddhist Temple, 1993). From 2005 he began translating Chinese Buddhist texts into English, and up to now he has translated six books. These translations are published by the publishing institutions under his charge and distributed for free. Although Cheng Kuan has a temple in America, most of his disciples are American Chinese, which can be seen from the list of named donors contributing to the translation of the *Platform Sutra*, where only three Westerners can be recognized among his 350 disciples (Cheng, 2011, pp. 273-276). Therefore, it can be assumed that there remains a large social distance between the translator and his targeted American readers. On the other hand, the fact that the translator has the experience of living in America for more than twenty years (Low, 2010, p. 36) may have helped him become more aware of the cultural and ideological differences confronted in the process of translating a typical Eastern religious text into English.

By contrast, both Heng Yin and Thomas Cleary are native-born Americans. Heng Yin is the first Westerner and ordained Buddhist to translate the *Platform Sutra* into English. Her translation of the sutra is accompanied by the commentary of Hsuan Hua, who was also Heng Yin's teacher. The aim of translating the sutra, according to Hsuan Hua's introduction, is to help Westerners to "realize Bodhi and accomplish the Buddha way" (1977, p. xvi). The target readers are Western Buddhist practitioners. It can be estimated that the social distance between Heng Yin and her target readers is nearly minimal.

The same applies to Thomas Cleary, who is a professional translator of East Asian culture and philosophy, and one of the major authors of Shambhala Publications. Judging by the title (*Sutra of Hui-neng*), publishing agency and introduction to the translation, the target readers of the translation should to be ordinary English readers who may be interested in the story and ideas of Huineng, who is described as "perhaps the most respected and beloved figure in Zen Buddhism" (from the blurb of the translation). Being a translator of more than 80 works on Eastern religions and

philosophy, Cleary plays the role of a cultural mediator introducing Eastern ideas to his fellow Americans. The social distance between him and the target readers is therefore also minimal.

Translating for an audience who are not part of their own culture, Wong Mou-lam and Cheng Kuan are confronted a huge social distance in between themselves and their readers. The awareness of the possibility that the target readers may find the exotic Chan Buddhist ideas hard to accept probably contributes to the presentation of Huineng as cautious in making statements and polite in issuing commands. On the other hand, the idea of translating for readers sharing the same language and culture can explain why Heng Yin and Thomas Cleary did not consider it important to qualify Huineng's statements or soften the commands.

6.6 Conclusion

The study in this chapter is an application of SFL to the comparison of four English translations of the *Platform Sutra* in terms of MOOD and MODALITY. Recognizing the dynamic relation between lexicogrammar and semantics, and that between text and context, the study relates lexicogrammatical choices of MOOD and MODALITY to speech functions of statements and proposals, and the image of the Chan master Huineng to the context of translation.

In providing information, more categorical indicative clauses are used by the two American translators, Heng Yin and Thomas Cleary, than by the Chinese translators, Wong Mou-lam and Cheng Kuan. Similarly, more imperative clauses are adopted in issuing commands by Heng and Cleary than by Wong and Cheng. Moreover, variation in the values of MODALITY can also be seen between these two groups of translators. While the American translators tend to use more high-valued modal expressions, the Chinese translators usually favour median- and low-valued MODALITY. Consequently, two types of image recreated of Huineng can be recognized: an authoritative and powerful Huineng, versus a cautious and polite Huineng. An exploration of the possible textual and contextual factors influencing the process of translation leads us to the identification of the difference in the social distance between the translators and the target readers. The way Huineng preaches to the audience and talks to his disciples in the translation can be seen as a reflection of the method by which a translator tries

to approach his target readers. Being aware of the huge cultural and ideological difference confronted in translating a traditional Eastern religious text into English, the Chinese translators are more cautious and tentative, which influences their linguistic choices and reconstruction of Huineng's image.

Translating is a process of making choices, as mentioned in Chapter 5. The study not only investigates the different linguistic choices in terms of MOOD and MODALITY made by different translators of the same source text, but also explores the semantic consequence of these choices. It also demonstrates that text (including translated text) can be better understood by referring to its context. It is hoped that, through the study presented in this chapter, more attention can be drawn to the application of SFL to translations of religious texts, which are usually assumed to be immune to extra-textual influences.

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7 Images of Huineng on book covers and in verbal texts[1]

7.0 Preamble

Different from the previous chapters, Chapters 5 and 6, this chapter and the following, Chapter 8, although also focussing on the interpersonal metafunction, present two case studies, where not all of four translations are included. This chapter aims to demonstrate how cover pictures and verbal texts are congruent with each other in presenting images of Huineng in the translations by Wong Mou-lam (2005) and Thomas Cleary (1998). The focus is on the interpersonal/ interactive meanings, and the analytical frameworks adopted SFL and Kress and van Leeuwen's visual social semiotics.

The study in this chapter will extend the concept of picture-text congruence by demonstrating the semantic coherence between the book covers and verbal texts of two English translations of the *Platform Sutra*. The study reveals that the visual techniques employed to depict Huineng, the Chan master and protagonist of the sutra, on the two book covers, are in consistency with the verbal choices used to present Huineng in the two translated texts. Thus, the study presented here intends to shed light on the fact that a cover picture, instead of just being designed as a commercial lure, can also complement the verbal text and contribute to the overall meaning of the translated work as a whole.

Apart from extending the concept of picture-text congruence to images on the covers and words inside the book, the significance of the study in this chapter also lies in its effort to apply multimodal analysis to the field of translation studies. With recognition of the multimodal nature of modern media and development of multimodal theories, scholars have come to realise the importance of other semiotic modes (such as images

[1] This chapter is based on the article "Picture-text Congruence in Translation: Images of the Zen Master on Book Covers and in Verbal Texts', originally published in *Social Semiotics*, 2016 26 (6): 1-20. Available at http://www.tandfonline.com/doi/pdf/10.1080/10350330.2016.1251104.

and sounds) in the process of translating/interpreting (Taylor, 2004, 2013, 2015). In fact, multimodality is considered a resource as well as challenge for translation scholars (O'Sullivan, 2013), and some researchers such as Gerber (2012) and Chueasuai (2013) have already paid attention to the use of visual pictures in their studies of translated works. However, interaction between words and pictures in published translations still appears to be underexplored.

7.1 Introduction

The interaction between visual images and verbal texts in a multimodal work has been of interest to many researchers in the field of multimodality, and on this topic one can find studies by Royce (1998, 2007), Martinec and Salway (2005), O'Halloran (2005, 2007), Liu and O'Halloran (2009), Painter, Martin, and Unsworth (2013), Moya Guijarro (2014), and Bateman (2014), to name only a few. While descriptions on the semantic congruence between pictures and words are provided in these studies, analysis is predominantly taken on a single page or a multimodal work where visual images and verbal texts are usually put side by side with each other. Little effort has been made to go beyond the single page and look at the semantic relations of pictures and words that are not put together but are still meant to complement each other in a broader context.

Meanwhile, book covers, although certainly multimodal in nature, do not appear to have attracted much attention from researchers within the field of multimodal studies. Book covers are considered "thresholds" (Genette, 1997, p. 2) that surround and contextualise the verbal texts inside the books, and have been studied from perspectives where their textual characteristics and functions are analysed (Kratz, 1994), and the visual impact of cover images on the reception of the books emphasised (Matthews & Moody, 2007; Petric & Croatia, 1995). Book covers have also been studied as a kind of "visual translation" (Sonzogni, 2011, p. 20), where the designer translates the information of the story into images and signs. There have been researches conducted on magazine covers from a multimodal approach (such as Held, 2005; Lirola, 2006). The study in this chapter, therefore, contributes to the depth and scope of studies in this area by addressing the semantic congruence between the book cover and verbal text.

The theoretical basis of the study is Halliday's systemic functional linguistics (SFL) (2014), a social linguistic theory that emphasises the use of language to realise different functions in a specific context, and Kress and van Leeuwen's SFL-based visual social semiotics (2006). The focus of the study is on the interpersonal metafunction, which functions to enact and maintain a relationship between the speaker and addressee in verbal texts on the one hand, and between the viewer and the represented participant in visual images on the other.

7.2 Data: two translations of the *Platform Sutra*

Of the many English translations of the *Platform Sutra*, two of them are of particular interest due to their similarities in general features of publication, but substantial differences in terms of visual/verbal choices. One of the two translations was done by the late Chinese translator Wong Mou-lam[1] (2005), and the other by the prolific American translator Thomas Cleary (1998). In many aspects these two translations are similar. Firstly, both of them were published by Shambhala Publications, an independent publishing company based in Boulder, Colorado, USA. Secondly, both are put together with contents related to another well-known Buddhist text, the *Diamond Sutra*[2]. Thirdly, they have similar titles: Wong's translation was entitled *The Sutra of Hui-neng*, and Cleary's *The Sutra of Hui-neng*: *Grand Master of Zen*. Finally, each of them has a picture of Huineng on the front cover. The pictures are based on two paintings that originally constituted a pair and are artistically similar (Leidy, 2008, p. 200, and see the original paintings in the Appendix). These two paintings were produced by the same well-known Chinese artist, Liang Kai, in the thirteenth century.

However, a close examination of the layouts of the images on the two book covers reveals differences and nuances. Apart from the difference in the kind of actions Huineng is carrying out, the original paintings are also edited in different ways. The

[1] Wong's translation was first published in 1930 by Yu Ching Press, Shanghai, and was republished by Shambhala Publications in 1969, 1990 and 2005, with the book covers of the first and second editions being slightly different from the last edition.

[2] Like all the other sutras except the *Platform Sutra* in Buddhism, the *Diamond Sutra* was originally translated from Sanskrit (वज्रच्छेदिकाप्रज्ञापारमितासूत्र, *Vajracchedikā Prajñāpāramitā Sūtra*). It was said to have initiated Huineng's sudden enlightenment and was highly praised by Huineng. For this reason the *Diamond Sutra*, which is about ¼ the length of the *Platform Sutra*, usually accompanies English translation of the *Platform Sutra*.

painting entitled *The Sixth Patriarch Cutting Bamboo* is reproduced almost wholly on the cover of the book translated by Cleary, where the figure of Huineng occupies less than one third of the whole picture. The other painting, *The Sixth Patriarch Tearing up Sutras*, used on the cover of the translated book by Wong, however, has been edited in a way that the figure of Huineng is enlarged and positioned at the centre of the cover. The size of the pictures in relation to the words, and the choice of colours, etc., further help to elicit different responses from the viewer/reader. Furthermore, a reading of the verbal texts inside the books reveals that there is also difference in the linguistic choices.

Due to the fact that the *Platform Sutra* was compiled in the year 1291[1], long before the use of techniques for book covers, there was no book cover or cover picture in the original text. An interesting question, then, is why the two paintings produced by the same Chinese artist were selected and edited for the book covers of the two translations, and whether there is any meaning congruence between the cover picture outside and the verbal text inside each translation.

7.3 SFL and visual social semiotics: with an interpersonal focus

SFL is a social linguistic theory that studies texts produced in specific contexts for specific purposes. It provides a trifunctional model for the use of language in human life: language is used to represent the speaker's outer and inner experience of the world (ideational metafunction), to enact and maintain social relations (interpersonal metafunction), and to create coherent texts of communication (textual metafunction). Accordingly, each text conveys three types of meaning at the same time: ideational, interpersonal and textual meanings (Halliday, 1973; Halliday & Matthiessen, 2014). Convinced that this trifunctional model is applicable to other semiotic systems, researchers have tried to corroborate it in various frameworks for the multimodal study in a range of domains, such as visual image (Kress & van Leeuwen, 2006; O'Toole, 1995, 2010), video/film (J. A. Bateman, 2007), music (van Leeuwen, 1999), and movement (Martinec, 2000) (for more information, consult Taylor, 2017).

[1] There are different Chinese versions of the *Platform Sutra* that were produced at different times (Schlütter, 2007), but the 'orthodox' version compiled in 1291 is the source text of the two translations in this study.

Of these multimodality frameworks, the visual social semiotics of Kress and van Leeuwen has been proven powerful in the study of visual images (Harrison, 2003; Moya Guijarro, 2010, 2011, 2014; Moya Guijarro & Sanz, 2008; Painter et al., 2013). Similar to Halliday's tripartite division of linguistic meaning, Kress and van Leeuwen postulate that a visual image simultaneously realises three types of meaning: representational, interactive, and compositional meanings, which correspond to the ideational, interpersonal and textual meanings in a verbal text. In the following sections, the interpersonal/ interactive meanings and their realisation in the verbal and visual semiotics, which are the focus of this study, will be introduced.

7.3.1 Interpersonal meaning in SFL

From an interpersonal perspective, an act of speaking is an act of interaction in which language functions as an exchange. There are two fundamental purposes in any exchange: giving or demanding; and the commodity that is given or demanded can be either 'information', or 'goods and services' (Halliday & Matthiessen, 2014, p. 135). This gives rise to four basic speech roles in the verbal exchange: giving information, demanding information, giving goods and services, and demanding goods and services, which are usually known as the speech functions of statement, question, offer and command (Thompson, 2014). Apart from offer, each of the other speech functions has its own typical, or 'unmarked' way of realisation through a particular mood type, as shown in Table 7.1. Statements are congruently realised through declarative, questions through interrogative, and commands through imperative mood. Of the four speech functions, only statement and command will be considered in this study, as Huineng in the *Platform Sutra* most of the time is providing information for or giving demands to his audience and students.

The reason why speech functions are important interpersonal resources is not only because of their ability to enact exchange but also the possibility of non-congruent, or 'marked' realisations, which establish and/or reflect a certain relationship between the speaker and the addressee. That is to say, people tend to modify the manner of speaking on the basis of their relative status and power relation. Command, for example, is often found to be realised through mood types other than imperative. Instead of saying '*Give me a cup of tea*', the speaker may choose to wrap it in an interrogative, '*Will/Can you*

give me a cup of tea?' or even a declarative, '*I'm wondering whether you can give me a cup of tea*'. More often than not it is the (real or desired) relationship between the interlocutors, rather than just being polite (P. Brown & Levinson, 1987), that motivates such a choice.

Table 7.1 Speech functions and their typical realisation

commodity / speech role	information	goods & services
giving	'statement' ↘ indicative: declarative He is a Chan master.	'offer' ↘ various, e.g. modulated interrogative Would you like a cup of tea?
demanding	'question' ↘ indicative: interrogative Is he a Zen master?	'command' ↘ imperative Give me a cup of tea.

Even in making a statement, the realisation is subject to change according to the relationship between the interlocutors. Instead of asserting blatantly, '*He is a Chan master*', which is categorical and does not admit any dialogistic alternatives (Martin & White, 2005), one may choose to qualify the statement through modality, such as '*He may/might be a Chan master*', with the purpose to ground the proposition in the individual subjectivity of the speaker and avoid imposing one's own idea on the addressee.

Apart from speech functions, which are closely related to mood types and modality (Matthiessen, 1995, pp. 438-444), there is another system that is also often utilised to realise interpersonal meaning: the system of subject person. In SFL, subject person can be classified into two types: interactant, which refers to "person within the dialogue", and non-interactant, which refers to "person outside the dialogue" (Matthiessen, 1995, p. 687). As shown in Figure 7.1, the interactant type includes speaker (*I*), speaker-plus (*we*), and addressee (*you*), and the non-interactant type includes all the third person.

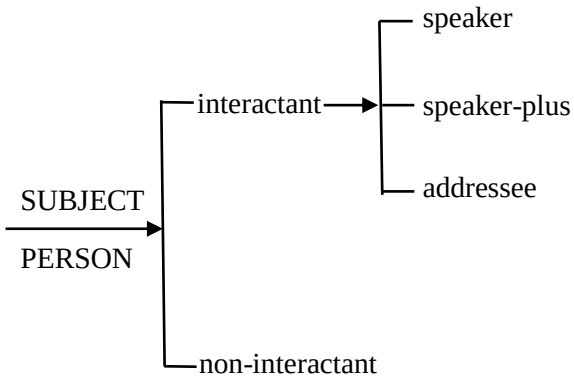


Figure 7.1 System of subject person in English

In a conversation, the speaker can choose to refer to people present (interactant subject person) or absent (non-interactant subject person). S/he can also choose to refer to the present addressee in one way or another, such as "你" (nǐ, second person, neutral) or '您' (nín, second person, polite) in modern Chinese, and T or V form of second person in French or German. This choice certainly will have significant impact on the establishment of a certain interpersonal relationship (R. Brown & Gilman, 1960).

7.3.2 Interactive meaning in visual social semiotics

Like language, images can play a key role in human interaction (Moya Guijarro, 2011). The interpersonal metafunction in visual images is to establish relations between: 1) the represented participants (in the visual image); 2) the viewer and the represented participant; and 3) the image producer and viewer. The focus in this study is on the relationship between the viewer and the represented participant.

According to Kress and van Leeuwen (2006, pp. 114-149), there are mainly three types of interactive meaning in visual images: contact, social distance, and attitude. Each of these meaning systems can be further classified, and is realised through different features in the visual mode, as shown in Table 7.2.

Contact is established when the represented participant looks directly at the viewer's eyes and the vector formed by the eye lines connects the represented participant with the viewer. This realises a demand for a kind of engagement from the viewer, asking the viewer to enter into some kind of imaginary relationship with the represented participant. When there is an absence of eye contact, the image functions as an offer: it 'offers' the represented participant to the viewer as an item of information (Kress &

van Leeuwen, 2006, p. 119). The represented participant is nothing more than an object of the viewer's dispassionate scrutiny and contemplation: no engagement is established between the viewer and the represented participant. The choice between 'demand' and 'offer' must be made whenever people are depicted.

Table 7.2 Interactive meaning and its realisation

meaning systems			**realization**
Contact		Demand	gaze at viewer
		Offer	absence of gaze
Social distance		Intimate/personal	close shot
		Social	medium shot
		Impersonal	long shot
Attitude	Involvement	Involvement	frontal angle
		Detachment	oblique angle
	Power	Viewer power	high angle
		Equality	eye-level angle
		Representation power	low angle

Social distance relates to the degree of intimacy between the represented participant and the image viewer (Moya Guijarro, 2010, p. 127), and is realised by depicting the represented participant as close to or far away from the viewer, which derives from the 'proxemics' of everyday face to face conversation (Hall, 1966, pp. 110-120). Three main types of size of frame: close, medium, and long shot, are utilised to realise the intimate/personal, social, and impersonal distance, respectively. A close shot shows no more than the head and shoulders of the represented participant. In such a case the represented participant looks very close to the viewer, who can almost "hold or grasp the other person" (Kress & van Leeuwen, 2006, p. 124), and an intimate relationship is therefore established. In a medium shot the participant is presented as within the reach of the viewer, in full image but without much space around. A long shot usually gives the human figure only half the height of the frame, which sets up an invisible barrier between the represented participant and the viewer. Consequently, the represented participant in the picture seems to be out of reach and for contemplation only. It should be noted, however, that unlike contact, social distance is not constituted of 'either-or' divisions but involves many degrees. The three categories of close,

medium and long shot constitute a cline, along which we may also have, for example, a very close shot, where only the face is shown, medium close shot, where the represented participant is shown down to the waist, and a very long shot where the figure occupies less than half of the painting (for more detail, consult Kress and van Leeuwen 2006, 134).

Attitude is realised through perspective techniques, and can be sub-divided into involvement and power, according to whether the perspective is horizontal or vertical. The horizontal angle encodes whether the viewer is involved with the represented participant or not. When the participant is presented as being face to face with the viewer, that is, in a frontal angle, an emotional involvement with the viewer can be established: the represented participant is seen as part of the viewer's world. On the other hand, a participant presented from the side (in oblique angle) is depicted as not belonging to the same world as the viewer: the viewer is just an onlooker who is detached from the represented participant. The vertical angle encodes the power relation between the viewer and the represented participant. If the represented participant is seen from a high angle, then the viewer is assumed to have power over the represented participant. If the represented participant is viewed from a low angle, the viewer has to look up at the represented participant, who is presented as having more power. If, finally, the represented participant is presented at the eye level, then an imaginary equality is established and there is no power difference.

7.4 Images of Huineng on the book covers and in the translated texts

With the frameworks to analyse interpersonal/ interactive meanings in verbal texts and visual images introduced in the last section, this section will present an analysis and comparison of the relationship between Huineng and the viewer established through the book covers on the one hand, and the relationship between Huineng and his audience established through the verbal texts on the other, in two English translations of the *Platform Sutra*. The purpose is to see whether the picture on the book cover and verbal text inside the book are congruent with each other semantically, so that a consistent image of Huineng is created in each translation.

7.4.1 Images of Huineng on the book covers

The book covers of *The Diamond Sutra and the Sutra of Hui-neng*, and that of *The Sutra of Hui-neng: Grand Master of Zen, with Hui-neng's Commentary on the Diamond Sutra* are reproduced here as Figures 7.2 and 7.3. The titles of the two books help the viewer to relate the figures depicted in the pictures to the person named Huineng, and this is further confirmed by the information provided on the back covers.

Figure 7.2 Cover of the book containing Wong's translation

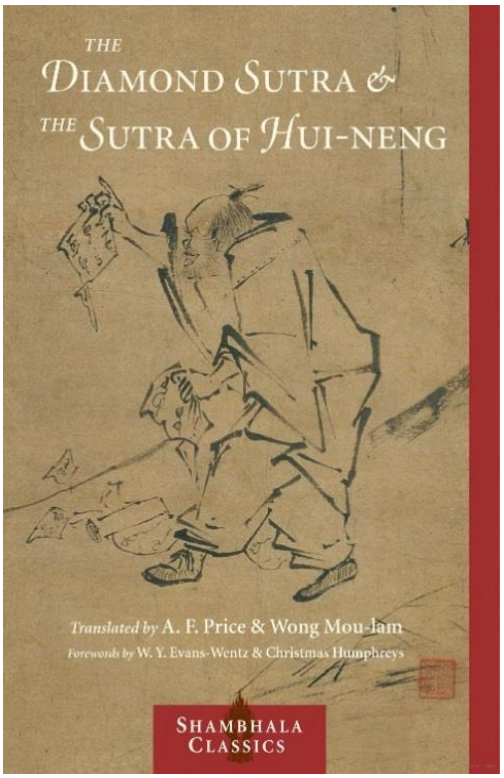
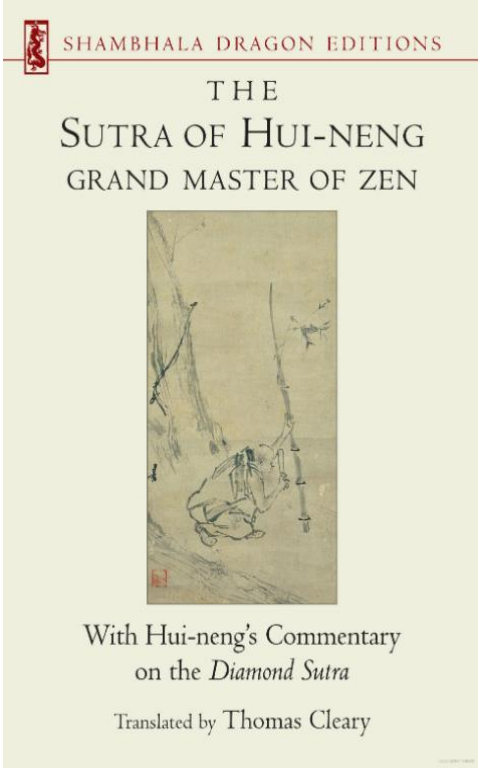


Figure 7.3 Cover of the book containing Cleary's translation



The interpersonal relationship between the viewer and the person Huineng presented on the two covers is analysed in line with the framework of Kress and van Leeuwen. The result is summarised in Table 7.3.

It can be seen that the two cover pictures convey similar interactive meanings in both contact and attitude. In terms of contact, both of them are offers. There is no eye contact between Huineng and the viewer, as Huineng in both pictures is absorbed in his own activity: either looking at the torn-up paper, or cutting a bamboo. There is no requirement of the viewer to react other than observe the portrayals, to acknowledge or reject their veracity. In terms of involvement, both pictures present Huineng from

an oblique angle, which puts the viewer in the place of an onlooker watching Huineng from the side-lines. Thus, there is an absence of involvement and Huineng is detached from the viewer as an 'Other'. In terms of power, the person is presented at an eye-level angle, and there is no power difference between Huineng and the viewer in Figure 7.2: an imaginary equality is established. The angle is slightly higher than eye-level in Figure 7.3, due to the high level of the original painting (see Appendix 2) on which the cover picture is based. But a comparison of the original painting of *The Sixth Patriarch Cutting Bamboo* and Cleary's book cover reveals that the apparent high level of the original painting is moderated by cutting off nearly one-fourth of the painting at the top. Moreover, the effort to minimise the possible consequence of a high-level angle of the cover picture is also embodied through an addition of the identification of Huineng as a *Grand Master of Zen* to the title of Cleary's translation on the book cover.

Table 7.3 Interactive meaning realised through the two cover pictures

		Wong	**Cleary**
contact		offer	offer
social distance		between social and intimate	impersonal
attitude	involvement	detachment	detachment
	power	equality	equality

That being said, the only significant difference between the two cover pictures is the social distance between Huineng and the viewer. Huineng in Figure 7.2 is presented in medium, or even medium to close shot. The hair on his head and face and even his sticking-out tongue can be clearly seen, as if he is just standing in front of the viewer who can reach out to touch him. The distance is therefore between social and intimate. On the contrary, Huineng in Figure 7.3 is presented in a very long shot, occupying only one third of the whole painting. The huge tree with entwined vines behind him, and the long, standing bamboo he is cutting, make the body of Huineng look even smaller, and farther away from the viewer. This gives rise to a highly impersonal social distance between Huineng and the viewer.

Huineng's intimacy with and detachment from the viewer established, respectively, in Figures 7.2 and 7.3 is further enhanced through the layout of the two book covers and the emotional effect the cover pictures have on the viewer. In terms of cover layout,

the spread of one colour over nearly the whole cover, and the occupation of the top and bottom space by lines of words in Figure 7.2, put the figure of Huineng at exactly the centre of the page, and render him even closer to the viewer. In contrast, the use of a colour darker than the background of the book cover, the demarcated frame, and even the squatted position of Huineng in Figure 7.3 have the effect of further distancing Huineng from the viewer. In terms of emotional effect, a dynamic or even chaotic scene is depicted in Figure 7.2, where few strictly vertical or horizontal lines are used: most of the lines are diagonal. Huineng is engaged in a violent action of tearing up sutras, some of which have already been destroyed. Huineng's hands are forceful and his face looks excited. In contrast, the scene portrayed in Figure 7.3 is static and orderly, with soft vertical and horizontal lines used to depict the tree, bamboo, and the ground. Huineng is actually *not* cutting the bamboo: he is only holding the knife which still stands straight, and the bamboo remains intact. No emotion can be seen on Huineng's face. Moreover, the colours used in Figure 7.2 are brighter and warmer compared with those in Figure 7.3. This also contributes to the emotional intensity and engagement of the cover picture of Wong's translation in comparison with the tranquillity and detachment of the cover picture of Cleary's translation (Machin, 2007, pp. 70-75).

7.4.2 Images of Huineng in the translated texts

In this section, the spoken words of Huineng in Chapters Two, Four, Five, Six and Seven of the two translations will be analysed. The focus of analysis will be on the interpersonal meaning, and the analytical tool is SysFan (Wu, 2000, 2009), a computational tool specialised for systemic functional analysis. A total of 2, 319 clauses are identified, with 1, 635 of them being free clauses. As only free (independent) clauses can realise exchanges (Matthiessen, 1995), bound (dependent and non-finite) clauses (684 in total) are not included in the analysis[1].

Subject person and the speech functions of statement and command (which are closely related to mood types and modality) can serve as suitable basis of comparison in this study, not only because they play important roles in realising interpersonal meanings

[1] The analysis of verbal text in terms of realization of statements and commands is slightly repetitive with that in Chapter 6 (MOOD and MODALITY). But the data is different (free clauses only), and the focus is different, too.

in English, but also because they are places where the translator has more freedom in making choices due to the characteristics of the source language. Subject tends to be implicit in Chinese (Halliday & McDonald, 2004; Wang, 2002), especially when it is a personal pronoun (Lü, 1999, p. 8). Modality in Chinese is lexicalised (Halliday & McDonald, 2004, p. 339), whereas modal auxiliaries are commonly used in English. That is to say, while qualification of a statement in Chinese can only be done through distinctive characters, it can be achieved in a more subtle way through modal auxiliaries in English. Finally, in making commands, imperative clauses are more commonly used in Chinese without being considered impolite (Gao, 1999; Lee-Wong, 1994).

Choices of subject person in the two translations are summarised in Table 7.4.

Table 7.4 Choices of subject person in the translations

		Wong	**Cleary**
interactant		181 (25.6%)	195 (25.6%)
	speaker	18 (9.9%)	44 (22.6%)
	speaker-plus	101 (55.8%)	12 (6.1%)
	addressee	62 (34.3%)	139 (71.3%)
non-interactant		527 (74.4%)	568 (74.4%)
total		708	763

Table 7.4 shows that, although the two translations have the same percentages of interactant (25.6%) and non-interactant (74.4%) subject person, they differ significantly in their choice of the three types of interactant subject person. In Wong's translation, the dominant interactant subject person is speaker-plus *we* (55.8%), which is followed by addressee *you* (34.3%). In Cleary's translation, however, addressee *you* is used the most often (71.3%), and there are also many speaker *I*'s (22.6%). This indicates that, when giving public sermons or talking with his students, Huineng tends to put himself in the same group with the audience by using inclusive *we* in Wong's translation, but distance himself from them by making a distinction between *you* and *I* in Cleary's translation. An example is provided in the following as illustration.

Example 1

ST:	shàn zhī shì jì chàn huǐ yǐ yǔ shàn zhī shì fā sì hóng shì yuàn 善知識º既懺悔 已º與善知識發四弘誓願
	Voc. since repent already give Voc. take four big vow (T2008_.48.0354a09-10)
Wong:	Learned audience, having repented of our sins *we* shall take the following four all-embracing vows (2005, p. 102).
Cleary:	Good friends, once *you* have repented, *I* will make the four universal vows for *you* (1998, p. 39).

In Example 1, the use of *you* to refer to the listener, in combination with the use of *I* as self-reference, in Cleary's translation may result in a kind of distance between Huineng and his audience (Hyland, 2001; Pennycook, 1994). On the contrary, the use of inclusive *we* in Wong's translation can construct a 'chummy' and 'intimate' tone (Wales, 1996), and help Huineng establish solidarity with his listeners.

As a Chan master, Huineng is quite often providing information for his audience, answering their questions and clearing their doubts: that is, making statements. Comparison of the two types of statement, categorical and qualified, used by Huineng in the two translations is presented in Table 7.5.

Table 7.5 Statements in the two translations

	Wong	**Cleary**
categorical statements	485 (82%)	598 (91%)
qualified statements	110 (18%)	57 (9%)
total	595	655

It can be seen that qualified statements in Wong's translation are twice as many as those in Cleary's translation. This indicates that, in providing information, Huineng in Wong's translation is more tentative and cautious, while Huineng in Cleary's translation seems to be more authoritative, with less inclination to moderate the propositions. This difference can be illustrated through the following example, where Huineng is talking about the benefit of getting the mind free from attachment.

Example 2

ST:

shàn zhī shì wù wú niàn fǎ zhě wàn fǎ jìn tōng
善知識。悟 無 念 法 者。萬 法 盡 通。
Voc. understand no thought Dharma person ten thousand Dharma all know

wù wú niàn fǎ zhě jiàn zhū fó jìng jiè wù wú niàn
悟 無 念 法 者。見 諸 佛 境界。悟 無 念
understand no thought Dharma person see all Buddha world understand no thought

fǎ zhě zhì fó dì wèi
法 者。至 佛 地位
Dharma person arrive at Buddha position (T2008_.48.0351b04-05)

Wong: Learned Audience, those who understand the way of thoughtlessness *will* know everything, *will* have the experience all buddhas have had, and *will* attain Buddhahood (2005, p. 85).

Cleary: Good friends, those who realize the state of freedom from thought *penetrate* all things. Those who realize the state of freedom from thought *see* the realms of the buddhas. Those who realize the state of freedom from thought *arrive* at the rank of buddhahood (1998, p. 21).

In Example 2, the categorical statements in Cleary's translation indicate that Huineng is absolutely sure about the information he gives: this is something true and universal, and there is no room for further negotiation. In contrast, Huineng in Wong's translation is more cautious and considerate, as he says that all these things *will* happen: the possibility is high, but there is no absolute certainty.

Apart from providing his audience with information, Huineng in the *Platform Sutra* also asks them to take certain actions: that is, making commands. Ways to realise commands in the two translations are presented in Table 7.6.

Table 7.6 Realisation of commands in the two translations

		Wong	**Cleary**
imperative		58 (50%)	86 (70%)
	jussive	42 (72%)	86 (100%)
	suggestive	16 (28%)	-
indicative + modality		59 (50%)	36 (30%)
total clauses		117	122

It is apparent that, in making commands, Huineng in Cleary's translation, favours imperatives (70%) more than the same Chan master in Wong's translation (50%). Moreover, a more polite form of imperative, suggestive (*Let us*/ *Let's*), is used in Wong's translation, but not in that of Cleary. Different from a jussive imperative, where the hearer *you* is the only one responsible to carry out the action, a suggestive clause assigns the proposal to both the hearer and the speaker, and can be seen as

intermediate between an offer and a command (Matthiessen, 1995). In this way, the command is softened and the image of the speaker also becomes more considerate.

As the use of imperatives to issue commands is the most direct and face-threatening in English (P. Brown & Levinson, 1987), it is usually an indication of power of the speaker. Thus, it can be said that Huineng in Cleary's translation assumes a more powerful position in front of his audience. The use of modulated clauses and suggestive imperatives by Wong, on the contrary, helps to present Huineng as being friendlier and less powerful. This can be seen in the following example:

Example 3

ST:	wú bù shí wén zì。rǔ shì qǔ jīng sòng yī biàn 吾不識 文 字。汝 試 取 經 誦 一 遍 I not know writer words you try take sutra read one time (T2008_.48.0355b27-28)
Wong:	*Will you please recite the sutra*, as I cannot read it myself? (2005, p. 112).
Cleary:	I am illiterate. *Recite the sutra for me*...(1998, p. 46).

In Example 3, Huineng is asking a student to recite the sutra which the student failed to understand. The command is realised through an imperative clause in Cleary's translation, but a modulated interrogative in Wong's translation, where Huineng uses *will* to inquire the inclination of the student to carry out the action. This kind of indirect command exhibits an effort on the part of Huineng to balance the inherent inequality between teacher and student.

Apart from modulated indicative clauses, Wong also uses suggestive clauses to realise commands, whereas Cleary apparently prefers the most direct way of expression. This is illustrated in the following example:

Example 4

ST:	yú yī qiè shí niàn niàn zì jìng qí xīn 於 一切時 念 念 自 淨 其 心 at all times thought thought self clean one's mind (T2008_.48.0353c02)
Wong:	At all times *let us purify our own mind from one thought moment to another*… (2005, p. 100).
Cleary:	At all times, moment to moment, *purify your own mind* (1998, p. 37).

In Example 4, Huineng is asking a large audience to purify their mind before guiding them through a ritual. An imperative with implicit *you* as subject is used by Cleary to

realise a direct command; whereas a suggestive *let us* is used in Wong's translation, which helps to change the command into a suggestion and establish intimacy with the audience.

From the above textual analysis, it can be seen that the image of Huineng presented in Wong's translation is friendly and polite. By using inclusive *we* as subject person, Huineng shows his willingness to be part of the audience. He is also considerate and polite in providing information and issuing commands. In contrast, Cleary's translation presents an image of Huineng who is more authoritative and powerful. He addresses his audience as *you*, who are to be distinguished from himself as *I*, and he makes more categorical statements and direct, bold commands.

7.4.3 Summary: picture-text congruence and reader attraction

The analysis results of images of Huineng on the book covers and in the translated texts in the above two sections reveal that there is a convergent "coupling" (Painter et al., 2013, pp. 143-148) between the visual and the verbal in realising similar interactive/interpersonal meanings in each translation. In Wong's translation, the cover picture presents Huineng as being in a social to close distance with the viewer through a medium shot, and the verbal choices of inclusive *we*, qualified statements and polite requests exhibit Huineng's intention to achieve solidarity with his audience. In Cleary's translation, the cover picture depicts Huineng as being detached from the viewer through a very long shot, and the verbal choices of second personal pronoun *you*, categorical statements and bold imperatives help to put Huineng at an authoritative status as opposed to the general public and his students. It can, therefore, be said that the cover pictures and translated texts are congruent with each other, at least as far as the interpersonal/ interactive meanings are concerned, in each of the translations.

However, a possible criticism or suspicion of the analysis may be that the cover pictures might have been used only to attract the buyers/readers, serving as nothing more than a marketing device (Kratz, 1994), or that the cover pictures have just been randomly chosen and, therefore, have nothing to do with the verbal texts. However, this is clearly not the case in the study presented in this chapter. As demonstrated in our analysis, the two book covers are designed in such a way that the visual images

are able to convey meanings different from those in the original paintings. The cutting off all the space in the sutra-tearing painting used on Wong's cover enlarges the figure of Huineng and puts him at the centre of the page. The use of nearly the whole painting, a black-line frame and darker colour for the bamboo-cutting painting on Cleary's cover has the effect of further detaching Huineng from the viewer and presenting him as a complete 'Other'. Moreover, although the two paintings illustrated on the book covers were produced by the same artist and were initially a pair, they now belong to different collectors: the one entitled *The Sixth Patriarch Tearing up Sutras* (on the cover of Wong's translation) is treasured by Mitsui Memorial Museum; and the other entitled *The Sixth Patriarch Cutting Bamboo* (on the cover of Cleary's translation) is held by Tokyo National Museum. It might have required special knowledge to select these two paintings out of a number of available portrayals of Huineng, and much effort to get permissions to reproduce the paintings on the book covers from two different institutions. Therefore, the 'accident' hypothesis appears to be unconvincing.

Also significant to note is that this semantic congruence between the cover pictures and the verbal texts does not compromise the reader-appealing function of the covers – if anything, this function has only been reinforced. The book containing Wong's translation was first published by Shambhala in 1969. Against the backdrop of anarchy the world was experiencing in general and the USA in particular, it is not difficult to see why the sutra-tearing picture was used on the cover. Huineng's torn clothes, fierce looks and revolutionary act of tearing the sutras (which may be interpreted as standing for traditional authority and constraints) bear strong similarity to the Chinese legendary monk poet Hanshan (Cold Mountain), who enjoyed high popularity in the USA from the 1950s to 1970s, at the promotion of Snyder and Kerouac, the representatives of the 'beat generation' (He, 2009; Hong & Hu, 2008). The association triggered by this painting might have had the function of catering to the expectation of the public and attracting potential buyers/readers.

If the verbal text and the cover picture put more emphasis on promoting Huineng as a *person* in Wong's translation, the focus of Cleary's translation shifts to regarding Huineng as a source of *information*: his ideas are considered representative of the collective wisdom of East Asia. The cover picture of Huineng concentrating on bamboo cutting at a distance from the viewer embodies a calm reflection on the appropriate attitude to Chan Buddhism after a national frenzied pursuit, on the part of

some American scholars at the end of the twentieth century. Huineng has now assumed his original status of a highly respected Chan master in ancient China. He stands for the 'Other', and his ideas, which may be beneficial and applicable to the target culture and readers, are no longer taken for granted but need sober and thorough examination.

7.5 Conclusion

The study in this chapter demonstrates the congruence between cover pictures and verbal texts in producing consistent images of the Chan master, Huineng, in two English translations of the *Platform Sutra*. The medium to close shot of the picture of Huineng tearing up sutras on the cover of Wong's translation corresponds to the choice of inclusive *we* as subject person, qualified statements and polite suggestions/commands in the verbal text. Together they present the reader with an image of Huineng who is friendly and approachable. In contrast, the very long shot of the picture of Huineng cutting a bamboo is consistent with the use of *you* and *I* as subject person, categorical statements, and direct/bold commands in the verbal text of Cleary's translation. Consequently, Huineng appears to be detached and authoritative.

Although the analysis in this study is based on Kress and van Leeuwen's framework of visual semiotics, there is no intention to imply that this framework is the only applicable one in the analysis of visual images (in fact this framework was under critique from researchers such as J. Bateman et al., 2004; Forceville, 1999). Neither is it intended to claim that the analysis has absolute inter-subjective validity, as there tend to be shared and non-shared interpretations of pictures. On the contrary, it is considered that different approaches should be pursued, with the aim to explore the possibility of expanding the notion of picture-text congruence to include meaning complementarity between pictures and words beyond a single page. This expansion may improve our understanding of the interaction between different semiotic modes employed simultaneously to express meaning.

Meanwhile, the study in this chapter also draws our attention to the packaging of a finished translated text with other semiotic expressions. In the field of translation studies, there are many cases where the translations have book covers that are absent in the source texts, or different from those of the source texts when the source texts did have their own covers at the time of production. Just as it is always reasonable to

ask why a certain verbal choice instead of another is made in the process of translation, it is also essential, as is argued here, to pay attention to the (equally significant) choices of visual images in the process of publication.

Appendix: original paintings used on the two book covers

1. The Sixth Patriarch Tearing up Sutras

2. The Sixth Patriarch Cutting Bamboos

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8 Paratextual attitude and the image of Huineng[1]

8.0 Preamble

Following Chapter 7, this chapter is another case study from the interpersonal perspective. Under investigation in this chapter is the translation by Heng Yin (1977). As pointed out elsewhere (cf. Chapter 5, Chapter 9 of the thesis), Heng's translation of the *Platform Sutra* distinguishes from the translations by Wong, Cleary and Cheng in that her translation is accompanied by a paragraph-by-paragraph commentary by Master Hsuan Hua. The commentary was originally given by Hsuan Hua in Chinese, and Heng translated both the sutra and the commentary into English at the same time.

Adopting Martin and White's (2005) appraisal framework, this chapter demonstrates how the translator/commentator manages to instil explicit attitudes, especially judgements, in the commentary to direct the readers to look at the protagonist Huineng as a hero and many other characters as villains. In this way the case study highlights the mediating power of attitudes in paratexts, which tends to be neglected by both text analysts and translation scholars.

8.1 Introduction

The expression of attitude plays an important role in positioning the audience/reader to take a certain stance. In both spoken and written texts, speakers/writers express their attitudes not only to 'speak their own mind', but more importantly, to invite the audience/readers to share the feelings and evaluations. Therefore, "declarations of attitude are dialogically directed towards aligning the addressee into a community of shared value and belief" (Martin and White 2005, p. 95).

While speakers/writers have full freedom to express their attitudes in communicating with the audience/readers, the situation is slightly different in the case of translation,

[1] This chapter is based on the article "Attitude as Mediation: Power of Paratext in Translation", under revision of *Text & Talk*.

where the translator is assumed to speak in the voice of the original writer. But this does not mean that the translators (or other agents involved in the production of the translation) must hide their feelings and refrain from expressing their attitudes. Explicit expression of the translator's attitude, as will be discussed in the present study, usually does not occur in the translated text, but takes the form of paratexts, which are materials surrounding a particular text, such as introduction, notes and comments (Genette 1997). Unlike a text that enjoys independent existence, a paratext usually cannot exist without the text. Consequently, the communication between the translator and the reader in a paratext always pertains to another entity, the translated text, which provides a background and the topic for the communication. The purpose of this exchange, as will be explored in this study, is to mediate between the translated text and intended readers, and to influence the readers to share the expressed attitude.

The study in this chapter therefore aims to demonstrate how the translator/commentator manages to mediate between the translated text and the intended readership by instilling explicit attitude in the paratext accompanying the translated text which contains implicit, or no attitude per se. The data under investigation is Master Hsuan Hua's commentary attached to Heng Yin's English translation of the *Platform Sutra* (Heng 1977), and the theoretical basis of the analysis is the appraisal system developed within systemic functional linguistics. By illustrating how the translator/commentator adopts various attitudinal resources to depict the protagonist Huineng as a hero and many other characters, especially Huineng's seeming enemy Shenxiu, as villains, the study will argue that there is a clear agenda on the part of the translator/commentator to impose one of the several possible interpretations of the text on the audience/readers, especially when another commentary on the same text but with contrary attitude is drawn on for comparison.

The structure of the chapter is as follows. Section 8.2 is mainly a review on attitude within the appraisal system, and on several studies on attitude in translated texts. Section 8.3 is a discussion of paratext as the site of mediation between the text and the readers. The key argument is that attitude in a paratext plays an important role in directing the readers to have a certain interpretation of the text. Section 8.4 is an introduction to the data of the study. Section 8.5 provides the analysis results by illustrating how the translator/commentator adopts various attitudinal resources, especially judgements, to depict the protagonist Huineng as hero and many other

characters as villains. Section 8.6 comprises the conclusion where the reason why judgement is prominent in the paratext is provided.

8.2 Attitude in the appraisal system and in translated texts

In this section, a review of attitude within the appraisal system will first be provided, with a focus on judgement, which is the most relevant category in the present chapter. Following this is a discussion on several previous studies on attitude in translated texts. A general observation is that there tends to be little obvious variation in the category and nature of attitude, though variation is abundant in lexical choices.

8.2.1 Attitude in the appraisal system

The appraisal system is an extension of the interpersonal meaning-making model developed within systemic functional linguistics. It concerns "the semantic resources used to negotiate emotions, judgements and valuations, alongside resources for amplifying and engaging with these evaluations" (Martin 2000, p. 145). Of the three domains of appraisal (Figure 8.1), attitude is concerned with our feelings and is the focal of the system, as engagement mainly deals with the source of attitude and graduation is to scale the intensity of attitude.

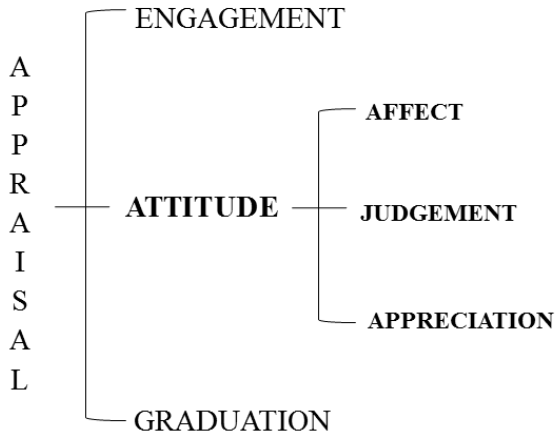

Figure 8.1 Attitude within the appraisal system

Attitude can be subcategorised into affect, judgement, and appreciation. Affect construes human emotions (happiness, sadness, fear, etc.), and judgement and appreciation can be seen as institutionalizations of affect which have evolved to

socialise individuals (Martin 2003, p. 173). Judgement is our evaluation of human behaviour (what we should and should not do), and appreciation is our evaluation of semantic and natural phenomena (what things are worth). It can also be said that while affect deals with emotion, judgement is mainly about ethics and appreciation about aesthetics.

Each type of attitude involves positive and negative feelings and can be further classified into specific categories. Table 8.1 in the following serves as an illustration, with the focus being on judgement, which is most frequently used in evaluating human characters and their behaviour.

Table 8.1 Types of attitude and examples of expression

	category		**positive**	**negative**
Affect	…		happy, confident, impressed…	sad, anxious, furious…
Judgement	**social esteem**	normality	lucky, normal, fashionable…	unlucky, odd, daggy…
		capacity	powerful, literate, successful…	weak, sick, insane…
		tenacity	brave, careful, loyal…	timid, reckless, wilful…
	social sanction	veracity	honest, credible, discrete…	lying, devious, blunt…
		propriety	moral, just, humble…	evil, mean, greedy…
Appreciation	…		good, pure, genuine…	dull, ugly, fake…

There are two subcategories of judgement, social esteem and social sanction. Social esteem includes evaluation of a person's 'normality' (how unusual someone is), 'capacity' (how capable someone is), and 'tenacity' (how resolute someone is), and social sanction is to evaluate a person's 'veracity' (how honest someone is) and 'propriety' (how far someone is beyond reproach). It should be noted that though both are attitudes based on socio-cultural standards of human behaviour, social esteem and social sanction differ in that the former is mainly *personal* evaluation expressing admiration or criticism, and the latter is *moral* evaluation to do with honesty and decency (Macken-Horarik and Isaac 2014, p. 73). That is to say, while negative values of social esteem will be considered inappropriate or to be discouraged, negative values of social sanction will be assessed as sins or crimes (White 2011, p. 23).

The exemplar expressions in Table 8.1 are explicit, direct realizations of attitude, which can also be expressed implicitly, or indirectly. When attitude is expressed explicitly, it is termed inscription, and when it is expressed implicitly, it is termed invocation. There are many ways to invoke an attitude, and sometimes even a selection of certain ideational meaning is enough. For example, the sentence s*he went to the party when her son was ill* invokes a negative judgement of the person under discussion without using any explicit evaluative expressions. But in many cases direct inscriptions of attitude in the co-text serve as a type of guidance for the readers' interpretation of the invoked evaluation (Coffin and O'Halloran 2006), and the distinction between inscribed and invoked attitude is not always clear-cut (Page 2003).

8.2.2 Attitude in translated texts

Martin and White's appraisal system has been applied to studies of translated texts where the focus is on the expression of attitude. Zhang (2002) and Qian (2007) investigate cases where the attitude expressed in the translated literary text or advertisement is different from the attitude in the source text. One of the examples provided by Zhang and quoted in Munday (2012) concerns a short paragraph taken from W. M. Thackeray's novel *Vanity Fair* and its Chinese translation.

> Source text: …yet, as it sometimes happens that a person departs his life, who is really deserving of the praises the stone-cutter carves over his bones; who is a *good* Christian, a *good* parent, child, wife or husband; who actually does have a disconsolate family to mourn his loss.
>
> Translated text: 不过偶尔也有几个死人当得起石匠刻在他们朽骨上的好话。*真的是个虔诚的*教徒，*慈爱的*父母，*孝顺的*儿女，*贤良的*妻子，*尽职的*丈夫，他们家里的人也的确爱思绵绵的追悼他们。
>
> Back translation: …yet, as it sometimes happens that a person departs his life, who is really deserving of the praises the stone-cuter carves over his bones; who is a *devout* Christian, a *loving* parent, an *obedient* child, a *virtuous* wife or a *responsible* husband; who actually does have a disconsolate family to mourn his loss (Munday 2012, p. 32, original emphasis).

While it is true that the translation of the word 'good', which serves as general judgement, into more specific words of 'devout', 'loving', 'obedient', 'virtuous' and 'responsible' embodies the subjectivity of the translator who might have aimed at catering to the expectations of the target culture, it should be pointed out that the kind of attitude expressed here is basically still the same. The positive ethical judgement

expressed in the source text through 'good' has not been changed into affect or appreciation: the attitude expressed is still *judgement*, and still *positive*.

Hu and Ma (2015) have conducted a corpus analysis of the representation of the appraisal meaning of the word 'good' in two Chinese translations of 23 Shakespearean plays. The study finds that apart from a few cases where 'good' is translated into neutral expressions (not apparently positive), the majority of the occurrences of 'good' are translated into expressions of positive attitude. More significantly, there is no omission of the word 'good' in the two translations, and not a single case where 'good', inherently positive in evaluation, is translated into a negative expression.

Munday (2012) compares 15 different translations of the same short story, and provides the following conclusion.

> From the examples we have studied, overt distortion of values is not a common occurrence in translation…Indeed, any overt distortion or manipulation would be highly marked and would be associated with recontextualization or some high-level censorship of values that are deemed to be inappropriate or threatening to the target culture (2012, p. 156).

This is especially the case when the source text is canonical in nature and the translation is not a purposeful subversion. The reason is that different from writers, translators usually do not have the freedom to explicitly express their attitude in the translated text, and that deliberate intervention is generally not welcome in translation (House 2008, p. 16).

Given the recognition that translations are not transparent reflections (though they are assumed to be) and "all translations involve the attitude of the translator" (Hermans 2007, pp. 84-85), an interesting question will be '*where can the attitude of the translator be clearly seen'*. To answer this question, as will be explained in the next section, one has to go beyond the text to investigate the paratext.

8.3 Paratext: the site of mediation

Paratexts refer to the framing elements of a text and basically include everything that is not the text proper but closely related to the text, such as titles, forewords, notes and comments, etc. They constitute a "threshold" of interpretation and "a fringe of the printed text which in reality controls one's whole reading of the text" (Genette 1997:

2). The term ‘paratext’ has been applied to translation studies where it refers to materials external to the core text and having the functions of “explaining, defining, instructing, or supporting, adding background information, or the relevant opinions and attitudes of scholars, translators and reviewers” (Pellatt 2013, p. 1).

Paratexts, being supplementary to the text and unconstrained by the words of the original author, provide the translator (and other producers of the paratexts) with an arena to exhibit her/his evaluations and to influence the intended reader’s understanding of the translated text. Paratexts in translation are of interest mainly due to “their special role as mediators between the text and the reader and their potential influence on the reader’s reading and reception of the works in question” (Kovala 1996, p. 120).

The mediating role of paratext has been studied by many scholars (Hui and Fan 2015; Kansu-Yetkiner 2014; Spiessens 2013; Tahir-Gürçağlar 2002; Watts 2000). An example provided by Kansu-Yetkiner (2014) is taken from the introduction to the Turkish translation of Defoe’s *Robinson Crusoe*.

> Robinson is a thoroughly *exploitative* hero and a *white* master. The novel, in line with the *Imperialist* Western Philosophy that condones these features, was appreciated and read with pleasure by the European reader. It was this *deviousness* that made Daniel Defoe so popular (back translation, Kansu-Yetkiner 2014, p. 346, emphsis added).

As can be seen, the translator explicitly expresses his negative judgement of the protagonist Robinson and the author Daniel Defoe, along with an implicit depreciation of the European reader. Although examples like this one provide striking evidence for the translators” attitude, it is regrettable that existing studies on paratext fail to specifically focus on the crucial role of attitudinal expressions in mediating between the translated text and the intended readership.

In the following a case study is used to illustrate how the translator/commentator manages to adopt explicit attitudinal resources in order to direct the reader’s understanding of the translated text and evaluation of the characters. The data of the case study is a religious text, which will be introduced in the following section.

8.4 Data: the *Platform Sutra* and Hsuan Hua's commentary

Although Huineng, also known as the Sixth Patriarch, is undoubtedly the central figure of the *Platform Sutra*, the book also contains words and stories of other characters, such as Huineng's teacher—the Fifth Patriarch, Huineng's fellow students who studied under the same teacher, and Huineng's own students who came for instruction. One of Huineng's fellow students is the monk Shenxiu. Shenxiu was very influential throughout his life time and his school of Chan was later called the Northern School so that it could be distinguished from the Southern School which claimed to have been established by Huineng. There are three places where Shenxiu is mentioned in the ten-chapter *Platform Sutra*. The first is in Huineng's autobiography (Chapter One of the *Platform Sutra*), where Shenxiu produced a verse to demonstrate his enlightenment, but lost to Huineng, who was chosen to be the successor to the Fifth Patriarch. In Chapter Eight of the *Platform Sutra*, Shenxiu is mentioned for the second time: he praised the teaching of Huineng in front of his own students and sent one of them to listen to Huineng's preaching. Lastly, in Chapter Nine of the *Platform Sutra*, it is briefly mentioned that Shenxiu, together with another Buddhist master, recommended Huineng to the emperor and empress who then tried to invite Huineng to the imperial court.

Despite that slandering of Shenxiu was a means to indirectly promote Huineng as the orthodox Sixth Patriarch at the very beginning of Southern school's struggle for recognition, there is little overt negative evaluation of Shenxiu in the much later version of the *Platform Sutra* (1291) which serves as the source text of the translated text in this study. One of the reasons may be that the Southern School had already established itself since the end of the eighth century, and therefore there was no need to attack the fallen Northern School. The other reason should be that there is undeniably historical record of Shenxiu who is recognized as knowledgeable, having an elite background and being highly respected during his life time. In fact, there is not much explicit attitude in the *Platform Sutra* as a whole (and therefore the translated text), since providing/exchanging information, rather than expressing attitudes, is often the purpose of the sermons and conversations in the sutra.

Due to its great influence, the *Platform Sutra* was translated into English many times (Chang and Zhao 2016). Among these translations, the translation by Heng Yin

(originally named Loni Baur) stood out in that it is the first one produced by an ordained Buddhist of Western origin, and that it is accompanied by a running commentary of the translator's teacher, Master Hsuan Hua.

Master Hsuan Hua (1918-1995) was the first influential Chinese Chan Buddhist master to come to the U.S. (Fields 1992: 339-346). He arrived in San Francisco in 1962 and soon began teaching and attracted many American students. In 1970 Hsuan Hua established the Gold Mountain Monastery in San Francisco and in 1976, the City of Ten Thousand Buddhas in Ukiah, California. The Buddhist Text Translation Society[1], which was also founded by Hsuan Hua in 1970, has the mission to provide accurate and faithful translations of Buddhist canons in English. It has published over a hundred volumes of translations so far, with some of the major sutras containing Hsuan Hua's commentary (Heng and Verhoeven 2014: 123).

According to Heng, Master Hsuan Hua used to give lectures on the *Platform Sutra* in the form of reading one paragraph of the sutra and then giving his comments. Heng listened to the recording of these lectures and translated both the original text and Hsuan Hua's commentary at one time (Baur 1998). The commentary itself is considered indispensable to the understanding of the text and highly praised by the translator, who states that "[i]f you want to understand the wonderful meaning of this sutra, you should study this commentary, for within it are set forth the limitless, inexhaustible, profound principles of the Buddhadharma" (Heng 2001b: xvii).

Sutra:

Then he thought, "This is not as good as writing it on the wall so that the High Master might see it suddenly. If he says it is good, I will come forward, bow, and say, 'Hsiu did it.' If it does not pass, then I have spent my year on this mountain in vain, receiving veneration from others. And as to further cultivation--what can I say?"

That night, in the third watch, holding a candle he secretly wrote the verse on the wall of the South corridor, to show what his mind had seen.

commentary :

"That's it!" he said with relief. "I will write it on the wall and when he sees it he will say, 'This is truly a fine verse, truly wonderful!' and I will admit that I wrote it. But if he says, 'This is too confused. It is nothing but useless trash!' then I will know that I have wasted my time here on the mountain."

He crept stealthily, like a thief in the night. He carried just a little candle, for if the light were too bright, someone might have seen him.

Figure 8.2 Layout of the translated text and commentary

The importance attributed to the commentary and the high status of the commentator makes it probable that the commentary will exert huge influence on the intended

[1] Website http://www.buddhisttexts.org/.

readers' interpretation of the text. Moreover, the arrangement of translated text immediately followed by commentary in the book also makes the commentary an integral part which is almost impossible to ignore (Figure 8.2).

Interestingly, another Chinese Chan Buddhist master who is also popular in the U.S., Master Hsing Yun, has also provided a commentary entitled *The rabbit's horn: A commentary on the Platform Sutra* (2010). Instead of being inserted to the translated text, Hsing Yun's commentary is put at the end of each translated chapter. This commentary will occasionally be drawn upon as a comparison with that of Hsuan Hua in the analysis.

8.5 Attitude in the commentary as mediation

Sentences expressing the commentator's attitudes towards Huineng and other characters are singled out from the commentary and analysed according to whether they are affect, judgement, or appreciation. The translated text on which a particular comment is based is easy to locate as a result of the translation-commentary layout of the book.

It is perhaps not surprising that little affect, and no appreciation is found in the commentary, as the translator/commentator's attitude towards the characters is mainly realized as judgement. The following sections will investigate how the judgements in the paratext help to direct the intended readers' interpretation of the characters in the text by depicting Huineng as a hero, and Shenxiu and other characters as villains.

8.5.1 Huineng as the hero

Attitudes towards Huineng and those close to Huineng in the commentary are summarised in Table 8.2, where invoked attitudes are underlined and "+" and "-" are used to indicate whether the evaluation is positive or negative.

It can be seen that all the attitudes are judgements, which assess a person's character or behaviour through reference to social acceptability or norms, and that inscribed and invoked judgements are nearly equal in number. It is a little surprising, however, to see that there are slightly more negative than positive judgements. Should not a hero be judged positively in all aspects? A close examination reveals that the negative

judgements are mainly to convey two pieces of information: Huineng has an unfortunate childhood (such as living in a poor family) and he "*never learned to read*". Put in a wider context, this actually has the function of eliciting sympathy and respect from the reader. Being unlucky and poor does not prevent Huineng from pursuing enlightenment and becoming a well-known and influential figure. His illiteracy is partly the result of poverty, but also makes him more heroic.

Table 8.2 Attitudes towards Huineng and his family

Judgement: Social esteem
+capacity able; (in spite of his illiteracy,) the Sixth Patriarch's disposition was extremely sharp
+tenacity hiked into the mountains and chopped wood, returned and sold it in the market place, using the money to buy rice for his mother and himself
-capacity received little formal schooling and could not read; never learned to read; never learned to read
-normality unfortunate; unlucky; His father died when the Master was between the ages of three and five years, leaving him alone with his widowed mother; endured the hardships of poverty; poor (his family); extremely poor (his family); poor (his family); poor (his family)
Judgement: Social sanction
+propriety kind; compassionate; never took bribes (Huineng's father); to show us that even illiterates can realize Buddhahood and become Patriarchs; raised the hopes of those who could not read
+veracity honest (Huineng's father)

The illiteracy of Huineng is simply expressed in the source text as '惠能不识字' (literally, 'Huineng does not know written words'), and the translated text renders this as 'Huineng cannot read', with no reason given and no comment made. But in the commentary, the translator/commentator provides lengthy and repetitive explanations for Huineng's illiteracy in various places. One of them is reproduced in the following, with attitudinal expressions in italic.

> Because the Sixth Patriarch's family was *poor, he received little formal schooling and could not read ... But in spite of his illiteracy, the Sixth Patriarch's disposition was extremely sharp* (1997, p. 42).

In the last sentence, the admitted illiteracy of Huineng serves as a concession to an intensified (*extremely*) positive judgement of capacity: illiteracy makes his natural brightness more admirable.

Towards the end of the book, Huineng's illiteracy is mentioned again and the following explanation is provided.

> Now, why was it that the Master never learned to read? … The Sixth Patriarch's family was *extremely poor*, because his father was an *honest* official who *never took bribes*.
>
> But there is yet another reason. Why did the Sixth Patriarch choose to appear in a poor family? *He did it to show us that even illiterates can realize Buddhahood and become Patriarchs*. Thus *he raised the hopes of those who could not read* (1977, p. 317).

Two reasons are given here for Huineng's illiteracy. Firstly, Huineng could not go to school because his family was poor, which was again because his father was honest and never took bribes (positive judgement of social sanction). Secondly and more fundamentally, the poverty and illiteracy of Huineng is a kind of purposeful self-sacrifice with the aim to benefit others (again, positive judgement of social sanction), just as Jesus chose to appear as a human being and to suffer in order to save the sinned people.

Interestingly, a different comment on Huineng's illiteracy is made by Master Hsing Yun, which is provided in the following.

> It is true that in the *Platform Sutra* Huineng says he is illiterate. This should be interpreted as a figure of speech meant to show the patriarch's *humility*. Even nowadays, we may hear someone say of himself, "I'm not really any good." This shows humility and does not mean the person is truly ignorant. Huineng was *knowledgeable* of many sutras … If we look at *the breadth of Huineng's knowledge* and *the skilful means* he used to expound the Dharma, <u>it is clear that he was not illiterate</u> (2010, p. 18).

With these comments a different image of Huineng is recreated. Claiming to be illiterate becomes a sign of 'humility' (positive judgement of social sanction), as Huineng is also said to be 'knowledgeable' and 'skilful' (positive judgement of social esteem).

It is therefore apparent that by providing judgements on the person Huineng, each of the two commentators tries to impose a certain interpretation of the text on the readers

and establish a certain image for Huineng. Compared with the humble and knowledgeable Huineng, however, the poor and illiterate Huineng depicted by Heng Yin and Hsuan Hua appears to be more heroic and appealing to the target readers. With obstacles of social class and prejudice overcome and self-value realized, Huineng becomes a representative of the grass roots who rise up against the elite represented by Shenxiu. Huineng's success, especially viewed against his humble background, becomes an inspiration for the ordinary.

8.5.2 Shenxiu and others as villains

Attitudes towards Shenxiu and other characters in the commentary are summarised in Table 8.3, where invoked attitudes are underlined.

Table 8.3 Attitudes towards Shenxiu and other characters

Affect
-security crazy; extremely nervous; fear of failure; extreme agitation; afraid; insane; <u>neither his mind nor his thoughts would calm down</u>
Judgement: Social esteem
-capacity failed; <u>even considered suicide</u>; was just working on his stinking skin-bag; <u>didn"t know how to work in the self-nature</u>
Judgement: Social sanction
-veracity <u>testing his disciples to see whether or not they would go</u>
-propriety contrived to set up the position for Shen Hsiu; secretly passed it around and whispered behind the scenes; mocking; sarcasm and light-hearted ridicule; had a great desire for the position; a huge gamble; crept stealthily, like a thief in the night; <u>as if he were being chased</u>; <u>like an expert military spy</u>; <u>his desire to become patriarch was so great</u>; with twisted hearts; locked in a fierce battle for positions of power; assassinate; murder; <u>would not have been very kind</u>; kill; kill; steal; obsessed with the deadly ambition to be a patriarch; greedy; the worst; never forgets himself; wanted the robe and bowel for himself

It can be seen that most of the attitudes are inscribed, negative judgements of social sanction (propriety), which means that some legal, moral or religious regulations are at issue. Thus, Shenxiu and others are depicted as those whose behaviour is to be

reproached as violating social ethics. Meanwhile, the negative affect of security is mainly to show Shenxiu's lack of confidence in himself.

However, a close examination reveals that most of these negative judgements in the commentary are made in places where no explicit evaluation is exhibited in the translated text. The following example may serve as an illustration.

> (1) **Text:** That night, in the third watch, holding a candle he secretly[1] wrote the verse on the wall of the south corridor, to show what his mind had seen (1977, p. 51).
>
> **Commentary:** He *crept stealthily, like a thief in the night*. He carried just a little candle, for if the light were too bright, someone might have seen him (1977, p. 52).

This example is about how Shenxiu, being unable to submit his verse to the Fifth Patriarch in person, went to write it down on a wall with the hope that the teacher might see it the next day. While the translated text only provides a description of Shenxiu's action, the commentary explicitly judges Shenxiu through apparently negative expressions of 'crept stealthily' and 'like a thief in the night'.

Sometimes the translator/commentator goes so far that the judgement of Shenxiu is made even when the name is not mentioned at all in the translated text, as can be seen in example 2.

> (2) **Text:** Hui Neng[2] arrived at Ts'ao Hsi where he was again pursued by men with evil intentions (1977, p. 84).
>
> **Commentary:** *Shen Hsiu* still wanted to *kill* the Sixth Patriarch and *steal* the Patriarchate… *Shen Hsiu's party* searched far and wide, but they never found him (1977, p. 84).

In this example, people who try to persecute Huineng are referred to as 'men with evil intentions' in the translated text. This kind of generic reference is narrowed down in the commentary where one person is held responsible: Shenxiu, as it is he who wants to 'kill' Huineng and 'steal' (negative judgement of social sanction) the symbols of patriarchate.

---

[1] 'Secretly' in the translation is a rendering of '不使人知' (literally, 'not letting people know') and therefore not considered to be evaluative in nature.

[2] The name 'Huineng' is spelt as 'Hui Neng', and the name 'Shenxiu' as 'Shen Hsiu' in Heng's translation. 'Huineng' and 'Shenxiu' are used in this article as they conform to the present pinyin system in spelling Chinese names.

The following example (example 3) demonstrates how the translator/commentator imposes negative evaluation on the character Shenxiu, and even manages to reverse the implicit positive evaluation in the translation into a negative one.

> (3) **Text:** … Shen Hsiu's followers continually *ridiculed* the southern Patriarch, saying that he couldn't read a single word and had nothing in his favour.
>
> But Shen Hsiu said, "He has obtained wisdom without the aid of a teacher and understands the Supreme Vehicle deeply. *I am inferior to him*. Furthermore, my Master, the Fifth Patriarch, personally transmitted the robe and Dharma to him, and not without good reason. *I regret that I am unable to make the long journey to visit him, as I unworthily receive state patronage here*. <u>But do not let me stop you. Go to Ts'ao Hsi and call on him.</u>" (1977, pp. 251-252).
>
> **Commentary:** You all remember Shen Hsiu, the Great Master who was *obsessed with the deadly ambition to be a patriarch*…
> Actually, Shen Hsiu was *just testing* his disciples *to see whether or not they would go*. He said that the Sixth Patriarch had more virtue than he, *but what he really meant was*, "*If you believe in me you won't leave, even though he has more virtue*…" (1977, pp. 252-253).

While the translation provides an objective description of the situation and the contrary attitudes to Huineng on the part of Shenxiu's followers and Shenxiu himself (one ridiculing and the other praising), the commentary begins by reminding the readers that Shenxiu is the person who 'was obsessed with the deadly ambition to be a patriarch' (negative judgement of social sanction). Moreover, even Shenxiu's praise of Huineng, which has the function of triggering positive evaluation of Shenxiu as well (see 'double coding' in Page 2003, pp. 216-217) is interpreted as merely a canny testing, with no sincerity on the part of Shenxiu (again, negative judgement of social sanction).

This can be compared with the comment by Hsing Yun on the same part of the text.

> Before discussing the struggles between the Northern School and the Southern School it is important to emphasize that *Huineng had great respect for Shenxiu and that Shenxiu greatly promoted Huineng*. In the history of Chinese Zen [Chan] Buddhism, Shenxiu is known as the "*Dharma leader of two capitals and the teacher of three emperors*." <u>Each day thousands would visit him to request the Dharma</u>. Though Venerable Master Shenxiu was *highly valued by the Imperial Court and the people*, he *respected* Huineng even more and <u>would always tell his students to travel south to visit Huineng and learn from him</u>. He <u>even tried to convince the Imperial Court to travel south and invite Huineng</u> to come north to expound the Dharma so that they could make offerings to him. Though the teachers of these different schools were *able to accept each other* it was the disciples who could not tolerate each other (Hsing 2010, pp. 271-272).

In Hsing Yun's comment, a different image of Shenxiu is recreated where he is 'highly valued by the imperial court and the people' (positive judgement of social esteem); he 'respected' (positive judgement of social sanction) Huineng and even recommended Huineng to the imperial court; and Shenxiu and Huineng, instead of being deadly enemies, are 'able to accept each other'. In this way a harmonious friendly relationship between Shenxiu and Huineng is established, which is contrary to the life-and-death struggling scene described in Hsuan Hua's commentary.

It is clear that there is a tendency in Hsuan Hua's commentary to impose negative judgements on the character Shenxiu. These judgements are meant to influence the readers' perception of the story and present Shenxiu as an evil opponent of Huineng, a deadly enemy to be triumphed by the hero as the hero is always superior in both wisdom and courage.

This kind of negative judgement, however, is not only confined to the figure Shenxiu, but can also be found in the evaluation of other characters in the *Platform Sutra* as well. In one case we have a person named Huiming (Example 4), who listened to Huineng's teaching and then asked whether he had missed any other teachings.

> (4) **Text:** Hui Ming asked further, "Apart from the secret speech and secret meanings just spoken, is there yet another secret meaning?"
>
> **Commentary:** All of the Sixth Patriarch's pursuers were *greedy*, but Hui Ming was *the worst*. He had just seen his original face, he had just become enlightened, *but he wasn't satisfied*. *He wanted to know if he had missed anything* (1977, p. 104).

In Example 4, Huiming is judged as 'the worst' among all the 'greedy' (negative judgement of social sanction) pursuers of Huineng, though in the following text of the sutra Huiming is said to have prevented others from further pursuing Huineng and eventually becomes an enlightened monk himself.

A more striking case is found in the translator/commentator's attitude to the character Fahai, the first one of the ten disciples of Huineng. In the following example, Fahai, as the chief disciple, asked Huineng about the transmission of the Dharma in the future when Huineng told his disciples that he was going to die.

> (5) **Text:** The Senior Seated Fa Hai bowed again and asked, "After the High Master enters extinction, who will inherit the robe and Dharma?"
>
> **Commentary:** <u>Fa Hai never forgets himself</u>. <u>No doubt he wanted the robe and bowl for himself</u> (1977, p. 393).

The high status of Fahai is actually reflected through the reference to him as the 'senior seated' person who occupies the second seat that immediately follows the first seat taken by the teacher Huineng. More importantly, Fahai is the person who penned down all the sermons and conversations of Huineng that people now can read in the *Platform Sutra*. It is rather difficult to understand why Fahai, Huineng's most trusted disciple, should be seen as selfish and greedy, as 'no doubt he wanted the robe and the bowl (symbols of the patriarchate) for himself'.

From the discussions above it can be said that there is a clear tendency to give negative judgements on many characters in the commentary of Heng Yin's translation of the *Platform Sutra*: these characters are set up as villains against whom the only hero Huineng will fight and finally triumph.

The prosodic nature of the interpersonal meaning (Martin 1992; Hood 2006; Halliday and Matthiessen 2014) means that a judgement in the commentary may retrospectively influence the readers' interpretation of the preceding translated text, and pave a way for further reading and interpreting. That is, the commentary as part of the paratext may enter into a dialogical relationship with the translated text, permeating every piece of information given and colouring it with a specific attitude. In this way the judgements in the commentary serve as a mediating device between the translated text and the intended readers, who refer to the commentary as a reliable source of information to facilitate understanding.

8.6 Conclusion

By focusing on attitudinal expressions in a commentary attached to Heng Yin's English translation of the *Platform Sutra*, the study in this chapter reveals how different attitudes are written into the comments and mediate between the translated text and the intended readers with the purpose to guide them to have a 'proper' reading of the text. What is significant is that most of the attitudes, both towards Huineng and towards Shenxiu and others, are judgements. Different from affect, where the evaluation is presented as entirely personal and subjective, judgement has the function of externalizing the evaluation which seems to be an inherent quality in the evaluated characters (White 2008, p. 581). That is to say, the translator/commentator's attitudes are recast as qualities inherent in the evaluated persons: Huineng, Shenxiu and others

(Munday 2004, p. 120) rather than just subjective personal feelings. The mediating effect is further enhanced and the target readers are unconsciously directed to see Huineng as the sole hero triumphing against many villains represented by Shenxiu. But as shown in the examples, more often than not these paratextual attitudes are inserted into places where no explicit attitude can be found in the translated text.

As Kovala (1996, p. 14) and Martin and White (2005, pp. 62-63) rightly point out, the influence of paratextual evaluation also depends on the target readers' reading position: whether he/she is reading compliantly, being passive and not thinking for him/herself, tactically, aiming to deploy the text for purposes other than those have been naturalised, or resistantly, with the purpose to oppose the reading position naturalised by the text. But the fact that Heng Yin's translation, together with Hsuan Hua's commentary, is mainly for Western Buddhist practitioners, many of whom may also be Hsuan Hua's students (Baur 1998; Hsuan 2001), makes it almost impossible for the intended readers to develop a tactical, or resistant reading position. Moreover, the assumed information-providing function of a commentary may further obscure the manipulating nature of the attitudinal expressions, making it hard to discern, let alone resist against them.

The study in this chapter provides a case study where highly attitudinal expressions, mostly judgements, are found in the commentary accompanying a relatively neutral translated text. As has been pointed out, the peripheral nature of the commentary as being outside the translated text and unconstrained by the words of the original author exempts it from being accused of distortion and makes the manipulation more subtle and harder to resist. The significance of the study lies in its application of appraisal system to the analysis of paratexts, which deserves more attention from both text analysts and translation scholars.

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9 Text complexity and images of Huineng[1]

9.0 Preamble

While Chapter 4 of the thesis presented an analysis of translations of the *Platform Sutra* from the ideational perspective and the studies in Chapters 5 to 8 were within the interpersonal metafunction, this chapter, Chapter 9, is an exploration of the application of the textual metafunction to the comparison of the four translations of the *Platform Sutra*.

The study presented in this chapter will focus on text complexity, a concept which tends to be neglected in translation studies. Text complexity, according to Halliday, can be measured in two dimensions: grammatical intricacy (number of ranking clauses per sentence) and lexical density (number of content words per ranking clause). The analysis shows that, while translations by Wong and Cleary are complex in one dimension (lexical density and grammatical intricacy respectively), Heng's translation is simple, and Cheng's translation is complex, in both dimensions. Correspondingly, a different image of Huineng is recreated in each translation. The finding is interpreted by taking into consideration the context of translation, especially the intended readership and translating strategies.

9.1 Introduction

Huineng is venerated as the real founder of Chan Buddhism, which constitutes the spiritual source for Japanese Zen, Korean Sŏn and Vietnamese Thiên. Paradoxically, such an influential Chan master is said to be illiterate. The illiteracy, as one might imagine, is first and foremost reflected in the ease and simplicity of the *Platform Sutra* (Jiang, 2014; Qian, 1976; Qiu, 2004; Zong, 1291), a record of Huineng's public

[1] This chapter is based on the article "How should Huineng Speak? Text Complexity in Translations of the *Platform Sutra*", published in *New Voices in Translation Studies*, 2017 (16), 1-22, available at https://www.iatis.org/index.php/new-voices-in-translation-studies/item/1487-issue-16-2017.

sermons and private conversations. Huineng's image as an unlettered man explains the unadorned style of the *Platform Sutra*, and this may have contributed to the popularity of the Chan master and his teachings amongst both the general public and more elite scholars jaded with esoterica (Suzuki, 1972, p. 11).

The renown of the *Platform Sutra* in East Asia also attracted attention from many translators who strove to make the book accessible to Western readers. A reading of different English translations of the *Platform Sutra*, however, makes one wonder whether they are words spoken by the same person, as the manner of speaking differs significantly from one translation to another. While some difference between the source text and the translations is inevitable, as the two languages involved, classical Chinese and modern English, are typologically distinct from each other, it is of interest to see how the English translations differ from each other, and what are the consequences and possible reasons for the variation.

Pursuing this interest, the present study has two purposes: to see how the translations of the *Platform Sutra* differ in their complexity (grammatical intricacy and lexical density), which may lead to different styles; and to investigate the reasons why a certain translation is complex or simple, that is, the contextual constraints on the process of translation.

It is proposed that in literary texts, language complexity usually serves as a reflection of the author's stylistic intentions. This is especially the case when language functions as the primary means of characterisation, where words attributed to a person constitute the sole guide not only to her/his ideas, but also to her/his persona. Readers get to know a character through her/his speech, and how to re-present the image of the person established through a specific language style therefore becomes a challenge to the translator (Miguélez Carballeira, 2003). Moreover, provided that the style of the translated text should be more or less restricted by the source text, it is worthwhile to ask why "the translation has been shaped in such a way that it comes to mean what it does" (Malmkjær, 2003, p. 39).

9.2 Text complexity as measured in SFL

The complexity of a text has been studied by scholars from various perspectives (e.g., Merlini Barbaresi, 2003) and the conclusion is usually that complexity is a complex

phenomenon and can be measured on various levels. The methodological framework of this study, however, mainly follows Halliday and his systemic functional linguistics (SFL), for it is considered that Halliday's two measurements of complexity, 'grammatical intricacy' and 'lexical density', are complementary to each other (Halliday 1994, 2009) in that the grammar and the lexis are taken into consideration at the same time. Complexity in grammar is termed grammatical intricacy and complexity in lexis is termed lexical density. Both will be introduced in the following sections.

9.2.1 Grammatical intricacy

Grammatical intricacy is the ratio of the number of clauses to the number of sentences in a text (Eggins, 1994, p. 61). It is closely related to another concept on the clausal level, clause complexity, which is the choice of "whether to develop one clause only (a clause simplex) or to expand it by introducing one or more additional clauses thus forming a clause complex" (Matthiessen, 1995, p. 127). The clauses in one sentence are related to one another through choices in two systems: TAXIS and LOGICO-SEMANTIC RELATION. TAXIS describes the type of interdependency between clauses: parataxis (where clauses have equal status) and hypotaxis (where clauses have unequal status). Paratactic relations are represented by numbers and hypotactic clauses by Greek letters with α reserved for the dominant clause. LOGICO-SEMANTIC RELATION between clauses is firstly classified into projection (where the secondary clause is projected by the primary clause) and expansion (where the secondary clause expands the dominant one). Projection can be further categorized into locution ("') and idea ('), and expansion is sub-divided into elaboration (=), extension (+) and enhancement (x) (further details of this categorisation can be found in literature, such as (Halliday & Matthiessen, 2014, pp. 438-549). For example, in the following sentence, there are 3 ranking clauses which are linked through both paratactic extension and hypotactic enhancement, and the grammatical intricacy of the sentence is 3.

1		Good friends, deluded people may achieve physical immobility
+2	x β	and yet the moment they open their mouths
	α	they are talking about others' right and wrong, strengths and weaknesses, good and bad.

It has also been pointed out that in measuring grammatical intricacy, attention should be paid to the type of taxis: in sentences containing the same number of clauses, hypotactic relations tend to increase the grammatical complexity of the text more than paratactic relations (Castello, 2008, pp. 97-98; Halliday, 2009, p. 76; Izquierdo & Borillo, 2000, p. 67).

9.2.2 Lexical density

Lexical density, though alternatively measured as the proportion of content words to the total running words in the text (e.g. Biber, 1988; Ure, 1971), is calculated by Halliday as the number of content words per ranking clause. This method, as pointed out by Carsello (2008, p. 53), makes the result comparable to that of grammatical intricacy since both are based on the structure of the clause complex (sentence). Content words usually include nouns, verbs, adjectives and most adverbs, and non-content (functional) words include prepositions, conjunctions, auxiliary verbs and pronouns. In the same sentence as illustrated above, there are 17 lexical words (shown in bold) and 3 ranking clauses (divided by ||), and the lexical density is therefore around 5.7.

> **Good friends**, **deluded people** may **achieve physical immobility** || and yet the **moment** they **open** their **mouths** || they are **talking** about others' **right** and **wrong**, **strengths** and **weaknesses**, **good** and **bad**.

Another factor that affects lexical density is the relative frequency of the lexical words in the language. That is, uncommon words tend to increase the lexical density of a text (Halliday, 1989). Relative frequency of a word can be determined by referring to large corpus such as British National Corpus (BNC, containing 100 million words) and Corpus of Contemporary American English (COCA, containing more than 520 million words), both of which have proved useful in translation studies (Hassani, 2011; Olohan, 2004). For example, the Buddhist concept '般若' (bō rě) in the source text can be rendered either as 'prajna', or as 'wisdom'. The word 'prajna' occurs 0 and 8 times, and the word 'wisdom' occurs 1,520 and 13,659 times in BNC and COCA respectively. Compared with 'wisdom', 'prajna' will lead to higher lexical density of the text.

Halliday's measurement of language complexity by means of grammatical intricacy and lexical density is initially intended to establish a distinction between spoken and

written texts. In most cases, spoken texts become complex through intricate grammar, whereas written texts become complex by increasing lexical density. However, as admitted by Halliday himself, these are not strict rules but only "general tendencies" (2003, p. 84). There are cases where spoken texts are grammatically simple and written texts are lexically sparse (Matthiessen, 2002, p. 298).

The methodological framework of grammatical intricacy and lexical density has been applied to analysis of different types of texts, such as scientific texts (Halliday, 2003; Montin, 2002), tourist information texts (Castello, 2002), and texts used in reading comprehension tests (Castello, 2008). Izquierdo and Borillo (2000) also drew on Halliday's idea and applied the concept of 'grammatical complexity' to translation studies. In the present study, grammatical intricacy and lexical density are adopted as two complementary measurements of the complexity of the translated texts.

As can be seen through the discussion above, both grammatical intricacy and lexical density are quantitative in nature, and can be more effectively and accurately measured by adopting some analytical tools. This is to be discussed in the following section on the data and methodology of study.

9.3 Data and methodology

9.3.1 Data

Being illiterate himself, the Chan master Huineng did not write a single word though he spent most of his life teaching and preaching. His public sermons and conversations with disciples were collected and written down in a text entitled *Platform Sutra* (壇經, tán jīng). The word 'platform' comes from the fact that Huineng was sitting on a high-raised platform while delivering public teachings. The word 'sutra' comes from Sanskrit 'सूत्र' (sūtra) which means 'string, thread'. "सूत्र" was used by early Buddhists to refer to texts recording the words spoken by the Buddha, as the texts were considered like threads that string the ideas together.

Four translations of the *Platform Sutra* constitute the data of this study. They are: the translation produced by the Chinese translator Wong Mou-lam in 1930, which is the first English translation of the *Platform Sutra* in history; the translation produced by Heng Yin, the first ordained Western Buddhist to translate the book, in 1977 (second

edition); the translation by Thomas Cleary, an American professional translator, in 1998; and the translation by Cheng Kuan, a Taiwanese Buddhist master presiding over a temple in the U.S., in 2011.The criterion of selection is heterogeneity in the translators' identity, intended readership, translating strategy and publishing time.

The focus of analysis will be Huineng's spoken words in Chapter Two, Four, Five and Seven in each translation. Chapter Two, Four and Five are Huineng's public sermons which cover the most important concepts of Chan Buddhism, and Chapter Seven contains Huineng's conversations with many students.

9.3.2 Methodology

The grammatical intricacy of each text is obtained by using SysFan, a computational tool for conducting systemic functional analysis (Wu, 2000). There are a total number of 1,653 sentences (3,307 clauses) from the four translations, which are analysed in the CLAUSE COMPLEX system of SysFan (see Figure 9.1).

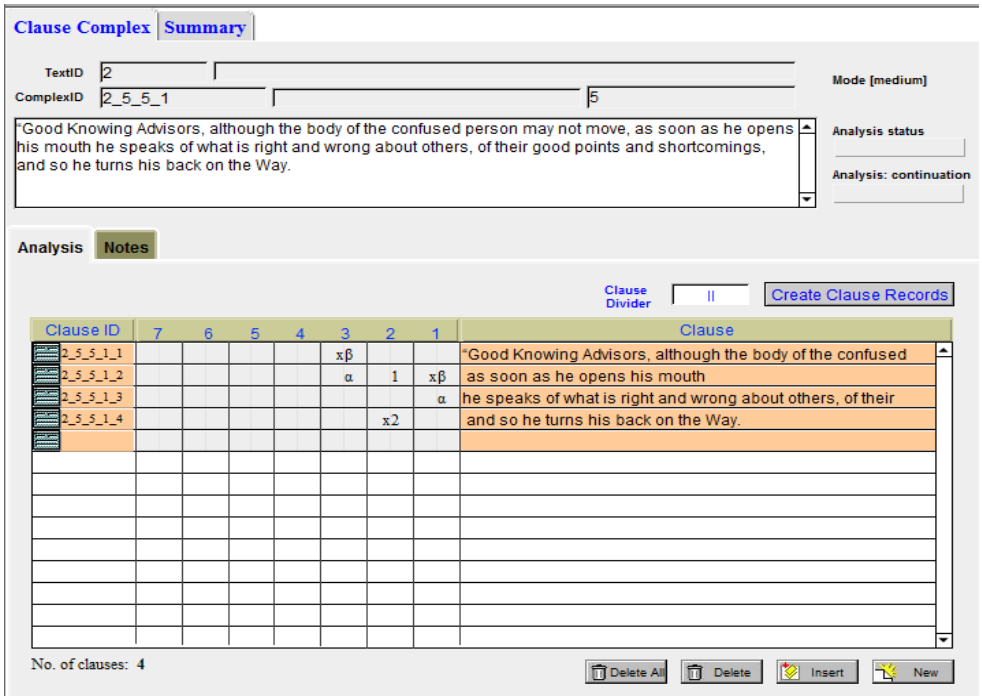

Figure 9.1 CLAUSE COMPLEX system in SysFan

Before the analysis, a text is divided into sentences and clauses. SysFan then takes the sentence (recognised as the clause complex) as a unit of analysis where the constituting clauses are analysed according to TAXIS (parataxis and hypotaxis) and LOGIO-SEMANTIC RELATION (projection and expansion). Once the whole text has been

analysed, numbers of words, clauses and sentences can be summarised automatically in the system. The obtained figures are further calculated according to the following formula:

Grammatical intricacy= number of ranking clauses[1]/number of sentences

As the analysis process is conducted manually in SysFan, accuracy can be ensured through careful checking of the clause division and analysis.

In analysing the lexical density of each text, this study adopts the part of speech (POS) analytical framework of Wmatrix (Rayson, 2003), a corpus analysis and comparison tool. Wmatrix is able to tag words of a text according to the UCREL CLAWST tagset, which consists of 137 tags for various parts of speech. After the text has been cleaned up and imported, Wmatrix will start tagging, and the frequency, concordance and list of each part of speech can be obtained automatically (see Figure 9.2).

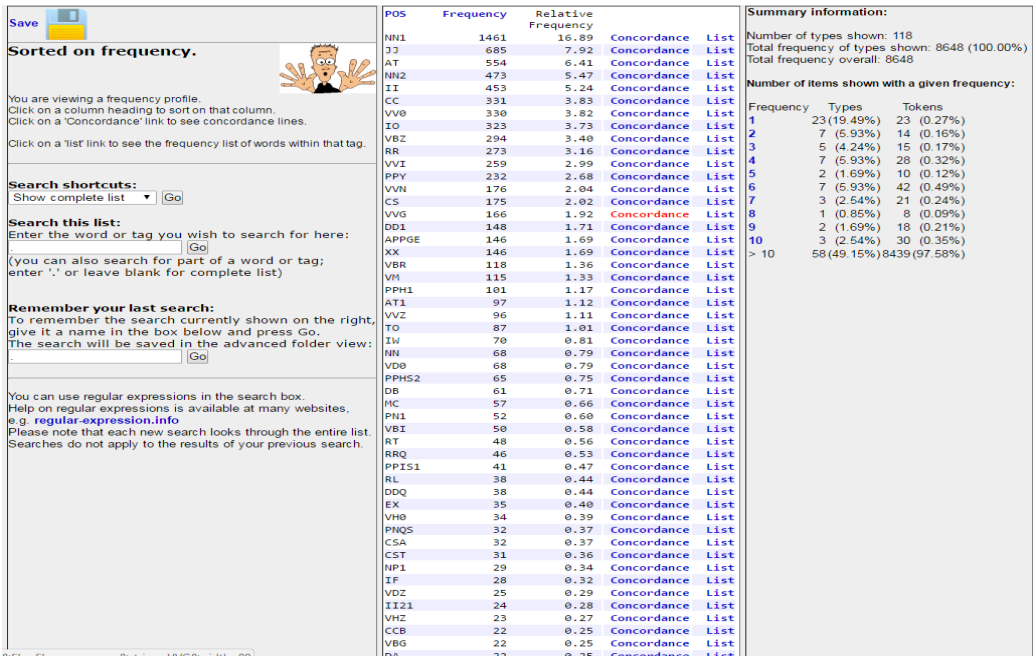

Figure 9.2 Analysis result generated in Wmatrix

In the present study, words tagged as nouns, verbs, adjectives and adverbs are considered content words and included in the result. The lexical density of each text is calculated according to the following formula:

[1]A ranking clause is a clause that is not 'embedded', i.e., not down-ranked and functioning as a constituent of another clause. For example, in the sentence '*He is the person who wrote the book*', there is only one ranking clause, and the clause [[*who wrote the book*]] is 'embedded' and functions as part of the nominal group '*the person*'.

Lexical density= number of content words/number of ranking clauses.

The list of words recognised as content words are manually checked to ensure accuracy, and no attempt has been made to deliberately alter the result. As is stated by Halliday, "it does not matter exactly where we draw the line [between content words and non-content words] provided we do it consistently" (1989, p. 63). Keeping human interference to the least is considered a way to obtain consistency in the analysis results across the texts.

9.4 Analysis and discussion: how does Huineng speak?

9.4.1 Analysis of grammatical intricacy

The grammatical intricacy (GI) of Chapter Two, Four, Five and Seven of the *Platform Sutra* in each translation, which is obtained by calculating the number of ranking clauses per sentence, is presented in Table 9.1.

Table 9.1 Grammatical intricacy in each translation

	Wong	**Heng**	**Cleary**	**Cheng**
chapter 2	2.1	1.9	2.1	2.3
chapter 4	1.8	1.8	1.9	2.1
chapter 5	1.9	1.9	2.4	2.3
chapter 7	1.8	1.7	2.3	2.0
average GI	1.9	1.8	2.2	2.2

As can be seen in Table 9.1, the average number of clauses per sentence in translations by Wong and Heng is 1.9 and 1.8 respectively, while that in the translations by Cleary and Cheng is 2.2 (an increase of nearly 20%). This indicates that greater grammatical intricacy is exhibited in the translations by Cleary and Cheng in comparison with the translations by Wong and Heng (the difference between these two groups is significant at $p < .001$ according to an independent samples t-test). Moreover, the difference between these two groups is very consistent, as shown in the grammatical intricacy of different chapters. It can then be said that compared with Wong and Heng, Cleary and Cheng tend to use more clauses in one sentence.

Like many other classical texts (such as ancient texts in Latin and Greek), ancient Chinese texts do not have punctuation, and few conjunctions indicating relations

between clauses in one sentence are used. This makes it possible for the translator to make different sentential segmentations and to present the original sentence as either a clause simplex (containing one clause only) or a clause complex (containing more than one clause), which is illustrated in the following Figure 9.3.

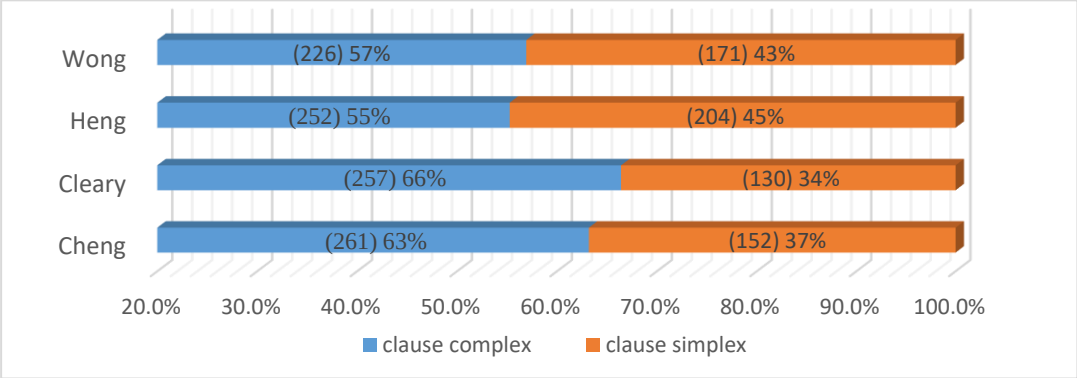

Figure 9.3 Clause complexes vs. simplexes in each translation

As can be seen in Figure 9.3, sentences containing one clause only (clause simplex) take up nearly 45% and 43% in translations by Heng and Wong, while the proportions reduce to about 37% and 34% in translations by Cheng and Cleary. That is, the same sentence in the source text may be re-presented in the form of a one-clause sentence by Wong and Heng, but as a sentence containing more than one clause (and therefore more complex grammatically) by Cleary and Cheng. This is illustrated through the following example.

Example 1

ST			有 燈 即 光。無 燈 即 闇 have lamp be light no lamp be dark (T2008_.48.0352c22)[1]
Wong			With the lamp, there is light.
			Without it, it would be dark (1930, p. 23).
Heng			With the lamp, there is light.
			Without the lamp, there is darkness (1977, p. 204).
Cleary	1	x β	If there is a lamp,
		α	there is light;
	+2		Without the lamp, there is darkness (1998, p. 31).
Cheng	1	x β	If there is a lamp,
		α	there would be light;
	+2	x β	If there is no lamp at all,
		α	it would be only pitch-dark (2011, p. 61).

[1]The small circle ° is used in the source text only to indicate pause in the process of reading and does not indicate clause/sentence division. Source text sentences in all the examples are referred to by identifying their line numbers in the on-line database of Taishō Shinshū Daizōkyō http://21dzk.l.u-tokyo.ac.jp/SAT/ddb-bdk-sat2.php?lang=en.

In this example, both Wong and Heng interpret each four-character segment in the source text as a sentence, and render them as two independent simple sentences in the target language. Cleary goes one step further by combining three clauses in one sentence, and the degree of grammatical complexity becomes even higher in Cheng's translation, where four clauses are interwoven into one sentence through parataxis and hypotaxis.

A close examination demonstrates that the two patterns of clause complexing, one using simple sentences and the other favouring complex sentences, are recurrent in these translations. This can be shown through Example 2 in the following.

Example 2

ST			shàn zhī shì 善知識 ◦ yū 於 zhū jìngshàng 諸境上 xīn 心 bù 不 rǎn 染 ◦ yuē 曰 wú 無 niàn 念 Voc. to all circumstances mind not attach call no thought (T2008_.48.0353a19-20)
Wong			Learned Audience, to keep our mind free from defilement under all circumstance is called 'idea-lessness' (1930, p. 25).
Heng			Good Knowing Advisors, the non-defilement of the mind in all states is called 'no-thought' (1977, p. 210).
Cleary	x β		Good friends, when the mind is not influenced by objects,
	α		this is called freedom from thought (1998, p. 33).
Cheng	x β	α	Good Mentors, when one can stay uncontaminated in the mind
		x β	while confronting all the sundry *Phenomena*,
	α		such is called *Nondeliberation* (2011, p. 65).

In Example 2, Cleary and Cheng again use more clauses than Wong and Heng in translating the same piece of source text. Two clauses are used in Cleary's translation and three are used in Cheng's translation, whereas a simple sentence containing one clause only is used in Wong's and Heng's translations.

A further investigation into the way clauses are combined in a sentence, i.e., whether the clauses are in an equal relationship (paratactic) or unequal relationship (hypotactic), reveals a preference for hypotactic over paratactic relations in Cheng's translation (Table 9.2).

Table 9.2 Hypotactic vs. paratactic relation in each translation

	Wong	**Heng**	**Cleary**	**Cheng**
hypotactic	191 (53%)	176 (48%)	217 (49%)	286 (60%)
paratactic	171 (47%)	193 (52%)	230 (51%)	190 (40%)
total	362	369	447	476

Table 9.2 shows that in contrast to the translations by Heng, Cleary and Wong where hypotactic and paratactic relations are nearly equally distributed, Cheng's translation is dominated by hypotactic relations. As clauses in a paratactic relation are of the same type, but those in a hypotactic relation are necessarily of different types, higher degree of hypotaxis means having more types of clauses and consequently higher degree of grammatical intricacy of a text. Therefore, it can be said that Cheng's translation is grammatically the most intricate among the four translations, though grammatical intricacy does not necessarily mean difficulty in reading.

The complexity of Cheng's translation and the comparative simplicity of Heng's translation can be better illustrated through the following Example 3.

Example 3

<table>
<tr><td rowspan="2">ST</td><td colspan="3" rowspan="2"></td><td>若言 常坐 不 動 是。只如 舍利弗 宴坐 林中。却被
if say sitting no move be only like Shariputra sit in forest but be
維摩詰 訶
Vimalakirti scold (T2008_.48.0353a04-5)</td></tr>
<tr><td></td></tr>
<tr><td>Heng</td><td colspan="3"></td><td>To say that sitting unmoving is correct is to be like Shariputra who sat quietly in the forest but was scolded by Vimalakirti (1977, p. 206).</td></tr>
<tr><td rowspan="6">Cheng</td><td rowspan="2">x β</td><td rowspan="2"></td><td>α</td><td>If you still asseverate</td></tr>
<tr><td>“β</td><td>that to sit motionlessly is the Truthful Way,</td></tr>
<tr><td rowspan="4">α</td><td>1</td><td></td><td>then consider this:</td></tr>
<tr><td rowspan="2">‘2</td><td>x β</td><td>when Sariputra sat composedly in the woods,</td></tr>
<tr><td>α</td><td>he was reprehended by Vimalakirti (2011, p. 63).</td></tr>
</table>

In this example, there is only one ranking clause in Heng' translation, but five ranking clauses related to one other through hypotaxis and parataxis in Cheng's translation.

9.4.2 Analysis of lexical density

The lexical density (LD) of chapter Two, Four, Five and Seven in each translation is presented in Table 3 by calculating the number of content words per clause.

Two points can be observed in Table 9.3. Firstly, translations by Wong and Cheng are lexically denser than translations by Cleary and Heng. Secondly, the difference between these two groups is consistent across chapters. While the number of content words per clause averages 4.1 and 3.9 in Wong's and Cheng's translations, the number decreases to 3.5 and 3.4 in Cleary's and Heng's translations respectively (the

difference between the two groups, Wong and Cheng vs. Heng and Cleary, is significant at $p < .01$ according to the independent samples t-test).

Table 9.3 Lexical density in each translation

	Wong	**Heng**	**Cleary**	**Cheng**
chapter 2	4.1	3.6	3.4	3.8
chapter 4	4.1	3.5	3.8	4.0
chapter 5	4.0	3.5	3.8	4.6
chapter 7	4.1	3.0	2.9	3.3
average LD	4.1	3.4	3.5	3.9

A close reading of the translated texts reveals that the high lexical density in Wong's translation is due to its relatively fewer ranking clauses (756). In comparison, Heng's translation, though also grammatically simple, has nearly the same number of ranking clauses (827) as the translation of Cleary (833). However, it is interesting to note that Cheng's translation, despite having the largest number of ranking clauses and highest degree of grammatical intricacy, still demonstrates high lexical density. This can be illustrated through Example 4, where content words are in bold and ranking clauses divided by ||.

Example 4

ST	mí 迷 rén 人 bù 不 huì 會。biàn 便 zhí 執 chéng 成 diān 顛 confused person not know so attached become insane (T2008_.48.0353a06-7)
Wong	**Ignorant persons** who **understand** not **become insane** || for **having** too **much confidence** on **such instruction** (1930, p. 24).
Heng	**Confused men**, <<not **understanding**>>[1], **easily become attached** || and **go insane** (1977, p. 207).
Cleary	**Confused people** do not **understand**, || **so** they **grab** onto this || and **become delusional** (1998, p. 32).
Cheng	Since **general aberrant people** are not **endowed** with **Correct comprehension**|| to **perceive** the **fault** of **such erroneous methodology**, || they are **prone** to be **attached** to **such error** to the **extent** of **perversity** (2011, p. 63).

In this example, there are 2 ranking clauses in Wong's translation and the number of lexical items is 10. So the lexical density is 5. While translations by Heng, Cleary and Cheng all have 3 ranking clauses, they differ in that the numbers of content words are

[1] The symbol '<<>>' indicates that a clause is inserted between two parts of another clause.

similar in translations by Heng (8) and Cleary (7), but the figure reaches 17 in Cheng's translation. Therefore, the lexical density of Heng's and Cleary's translations is 2.7 and 2.3 respectively, but that of Cheng's translation is the highest at 5.7.

One possible explanation for this is that the translations by Wong and Cheng have longer sentences and clauses than those by Heng and Cleary (Table 9.4).

Table 9.4 Average sentence/clause length in each translation

	Wong	**Heng**	**Cleary**	**Cheng**
no. of words	7998	6797	6417	8721
no. of sentences	397	456	387	413
no. of ranking clauses	756	827	833	891
average sentence length	20.1	14.9	16.6	21.2
average clause length	10.6	8.2	7.7	9.8

Longer sentences and clauses, as can be seen in Example 4, are likely to lead to higher lexical density. As using longer sentences is contrary to the popular notion that short sentences help to improve readability (Bisiada 2016), it can be said that the translations by Wong and Cheng exhibit a desire to write in a formal register on the part of the translators.

The lexical density of a text, according to Halliday (1989, pp. 64-65), is not only manifested through the mean number of content words per ranking clause, but can also be measured from another perspective: the relative frequency of the selected content words in the language system. That is, the more uncommon lexical items in a text, the lexically denser it becomes. As the source text is a Buddhist text, an appropriate way to investigate the frequency of lexical words in each translation is to examine its proportion of 'proper nouns', which include names of people, places and more importantly, abstract concepts that are not recognised as 'common' in English, such as Sanskrit-originated Buddhist terms. Frequency and proportion of each type of content words used in the translations are provided in Table 9.5, with the focus on 'proper nouns', which are recognised in Wmatrix mainly through capitalisation of the first letter.

Table 9.5 Different types of content words in each translation

	Wong		Heng		Cleary		Cheng	
common nouns	1448	(47%)	1256	(45%)	1342	(49%)	1298	(39%)
proper nouns	322	(10%)	198	(7%)	123	(4%)	356	(11%)
adjectives	572	(19%)	617	(22%)	479	(18%)	716	(21%)
adverbs	230	(7%)	196	(7%)	227	(8%)	415	(12%)
verbs	514	(17%)	532	(19%)	572	(21%)	548	(17%)
total	3086		2799		2743		3333	

It can be seen that translations by Cheng and Wong have far more proper nouns than those by Heng and Cleary, which is the result of the translators' lexical choices. For the same content words in the source text, Cheng and Wong tend to use uncommon words, whereas Heng and Cleary are more likely to use common words in English. This is more evident in the translation of Buddhist terms. For instance, in the following example, the term '空' (kōng), which occurs many times in the source text, is translated as 'Sunyata' and 'Vacuity' by Wong and Cheng, but simply as 'emptiness' by Heng and Cleary. It is apparent that compared with 'emptiness', both 'Sunyata' and 'Vacuity' are less frequent in the target language.

Example 5

ST	kǒu 口 dàn 但 shuō 說 kōng 空 mouth only talk emptiness (T2008_.48.0350a18)
Wong	We might talk on *Sunyata* (voidness)…(1930, p. 11)
Heng	…if you only speak of *emptiness*…(1977, p. 116)
Cleary	If they only talk about *emptiness*…(1998, p. 16)
Cheng	…if a person simply talks about *Vacuity*…(2011, p. 30)

The tendency to use exoteric expressions on the part of Cleary is demonstrated in his recurrent use of everyday words to render the religious terms in the source text. A case in point is the term '法' (fǎ), which is rendered as 'Dharma' by Wong, Cheng and Heng, but as 'teaching' throughout the whole text by Cleary (actually, the word 'Dharma' is not found in Cleary's text). In contrast, Cheng's preference for esoteric terms are so strong that he has even coined many expressions that do not exist in the target language (Low, 2010, pp. 42-58), such as 'Dhyanaic Stasis' for '禅定' (chán dìng) (compare with 'sitting meditation' used by Cleary), 'Great Good Guru' for '大善知识' (dà shàn zhī shì) (compare with 'teacher' used by Cleary), and so on.

From the above discussion, it can be seen that there are significant differences in text complexity as defined here between the translations, which are now summarised in Table 9.6.

Table 9.6 Text complexity in each translation

	Wong	**Heng**	**Cleary**	**Cheng**
grammatical intricacy	low	low	high	high
lexical density	high	low	low	high

While translations by Wong and Cleary are complex in one dimension (grammatical intricacy or lexical density) only, it is worthwhile to note that Heng's translation is relatively simple, and Cheng's translation is relatively complex, in both dimensions.

Consequently, it can be said that a different language style of Huineng is exhibited in each translation through different degrees of grammatical intricacy and lexical density. When communicating with others, Huineng uses relatively complex sentences, but common words in Cleary's translation; and he uses simple sentences, but uncommon words in the translation by Wong. Both Huineng's sentences and words are simple in Heng's translation and both are complex in Cheng's translation.

As language style can be seen, in qualitative terms, as a reflection of the personality of the speaker, it follows that different images of Huineng are recreated in the translations. Simplicity in lexical choices creates a less formal situation where Huineng seems to be more accessible, and simplicity in grammar can be seen as an effort on the part of Huineng to present his idea in a way that is easier for his audience to follow. The image of Huineng who uses complex sentences full of un-heard-of words is conversely authoritative, only meant to be revered, but not approached by the hearer/reader.

9.5 Interpretation: why does Huineng speak in this way?

It should be admitted that variations among the English translations are inevitable due to the unique linguistic features of the source text. For instance, there is no punctuation, though a certain sign (in the shape of a small circle) is used to signal pauses for the sake of reciting. Therefore in many cases it is up to the translator to decide where a sentence starts and ends. Moreover, the language of the source text is highly concise.

Few functional words are used and the relationship between clauses in a sentence is usually left implicit. This may result in several possible interpretations of the same sentence.

But the fact that a consistent pattern is observed in each translation indicates that the translators' choices may not have been made randomly. To answer the question why a certain style is exhibited in one translation but not the other(s), it is necessary to take the context of translation into consideration.

Though both Wong Mou-lam and Thomas Cleary, as lay Buddhists, translated the text mainly for the general public, there is a difference in their translating purposes and strategies. Wong's translation, being the first English version of the *Platform Sutra* in history, was to introduce Chan Buddhism, which was almost unknown in the 1930s, to the West. The *Platform Sutra* was translated as a literary as well as religious text, with the translator's effort to render the text with a literary flavour manifested in many aspects (Bielefeldt & Lancaster, 1975, p. 205). Moreover, there is a fluctuation between acceptability and adequacy in terms of translating strategy. On the one hand, the translator takes freedom to make changes in his translation, such as rendering the original direct speech into indirect speech to avoid monotony, and adjusting the sequence of clauses within a sentence to make the idea more logical and comprehensible for the target readers. On the other hand, however, the translator relied on both Sanskrit and English words to render the Buddhist terms in the source text. The purpose of this, as speculated by Humphreys (1973, p. 6), was to familiarize the target readers with those terms.

Unlike Wong, Cleary is a professional translator. He translated the *Platform Sutra* as a historical-cultural text that was valued for its embodiment of East Asian wisdom. As the intended readership were people who might not know much about Chan Buddhism, Cleary seems to have adhered to the principle of acceptability throughout the translating process. The words used are simple, everyday English words. The sentences are short, with clauses related to each other through both parataxis and hypotaxis. The relative high grammatical intricacy, together with simplicity in lexis, contributes to creating an inner spoken context and establishing an informal atmosphere where Huineng talks to his audience.

It is of interest to note that translations by Heng Yin and Cheng Kuan, though both produced for religious purposes, contrast with each other in terms of text complexity as defined and discussed here. This again can be interpreted by considering the translating goals, strategies and the translators' background. Heng's translation of the *Platform Sutra* is accompanied by Master Hsuan Hua's paragraph-by-paragraph commentary. According to Heng, Master Hsuan Hua used to give lectures on the *Platform Sutra* in the form of reading one paragraph of the sutra and then giving his comments. Heng listened to the recording of these lectures and translated both the original text and Hsuan Hua's commentary at one time (Baur, 1998). In this way the orality of the source text: short sentences with simple grammatical structures were preserved in the translation. Moreover, the purpose of Heng's translation, as well as Hsuan Hua's lectures, was to propagate Buddhist ideas and attract converts. Therefore most of the words used are simple.

Cheng Kuan's translation of the *Platform Sutra*, by contrast, was mainly motivated by his dissatisfaction with the 'informality' and 'vulgarity' of the existing translations (Low, 2010, pp. 86-87). He considered it important to show one's respect to Huineng, the highly revered Sixth Patriarch, and to present him as divine and authoritative. Therefore, both the grammar and the words used in Cheng's translation are highly complex, which aims to maintain a distance between the speaker Huineng and his audience. Another factor contributing to the difference between translations by Heng and Cheng may be the background of the two translators. Cheng studied English at college, and is now a Buddhist master and abbot of two temples, one in Taiwan and the other in the U.S. In contrast, Heng studied Chinese and Buddhism with Hsuan Hua, the first Chinese Buddhist master coming to the U.S. with the aim of spreading Buddhism. Cheng might have aimed at developing a kind of elite Buddhism, but Heng's translation was clearly more targeted at the ordinary people.

Therefore, under different contextual constraints, the translators made different choices on the level of both grammar and lexis, which result in different language styles and images of the same Chan master Huineng.

9.6 Conclusion

Adopting the theoretical framework of systemic functional linguistics, this study compares the text complexity of four English translations of the *Platform Sutra* in terms of grammatical intricacy and lexical density. It has been found that while translations by Wong and Cleary are complex in one dimension (lexical density and grammatical intricacy, respectively) only, the translation by Heng is simple in both dimensions, and the translation by Cheng is complex in both dimensions. The differences can be seen as a reflection of each translator's assumption of how the Chan master Huineng should speak in a new language, in accordance with their translating purposes and strategies. Translating the text for English readers who might have little idea of Chan Buddhism in the early 20th century, Wong presents Huineng as speaking in an elegant way, using sentences with simple grammar but uncommon words. Aiming at acceptability for the general public, Cleary's translation creates an informal conversational atmosphere in the text by rendering Huineng's words as typically spoken, in terms of both grammar and lexis. In the translation by Heng, which was produced with awareness of the oral origin of the text and aimed to spread Buddhism among ordinary people, Huineng speaks in a simple way, using simple, short sentences containing mostly simple words. By contrast, in the translation by Cheng, who aims to maintain the 'formality' of the text and the authoritative and respectable image of the Sixth Patriarch, Huineng is presented as speaking in a scholarly way, using complicated sentences full of arcane words.

The finding in this study is consistent with the analysis results in previous studies (cf. Chapters 4, 5, and 6 of the thesis), where investigation into choices of personal pronouns, mood types and modality, and verbs of saying demonstrates that the Chan master Huineng is represented as polite and friendly in Wong's translation, simple and direct in Heng's translation, accessible in Cleary's translation and authoritative in Cheng's translation. Therefore it can be said that for a specific translation, choice-making, which characterises the process of translating (Levý, 2012, p. 72), is more likely to be consistent in various aspects and closely related to contextual constraints. This is true in the creation of meaning, and also true in the creation of style.

A final point that needs to be made here concerns another possible way to explore text complexity in future studies: the influence of conversation mode, topic and addressee

(and many other factors) on the variation of language complexity of the same character. As a composite text that consists of monologues and dialogues focusing on different topics, the *Platform Sutra*, and many other similar texts as well, can also be investigated on a chapter-by-chapter basis to see whether the same Chan master speaks differently under different circumstances within the same translation. This, however, can only be left for future studies due to the space limitation of the current study.

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10 Conclusion

10.1 Introduction

This thesis applies SFL to translation studies with a focus on the image of the Chan master Huineng recreated in four English translations of the *Platform Sutra*. In the analytical chapters, Chapters 3 to 9, images of Huineng in the translations are analysed from the perspectives of TRANSITIVITY, terms of address and THEME, verbs of saying, personal pronouns, MOOD & MODALITY, multimodality, appraisal, and text complexity. On the basis of these analyses, this concluding chapter will first present an overview of the image of Huineng recreated in each translation, and a discussion of the context of translation in terms of Field, Tenor and Mode. Then the significance of this study for translation studies, SFL, and further research will be discussed. Finally, a conclusion will be drawn for the whole thesis.

10.2 An overview: image of Huineng in each translation

In the previous chapters, lexicogrammatical choices were studied with respect to images of Huineng recreated in four English translations of the *Platform Sutra*, within the theoretical framework of SFL. The results summarized in Table 10.1 shows the correlation between the linguistic choices and the image of Huineng in each translation.

Images of Huineng recreated in the translations are probed through the linguistic choices in the ideational, interpersonal and textual systems of English. A preliminary tri-functional analysis is conducted on the story of Huineng in the first chapter of the *Platform Sutra* with the purpose to identify the perspectives that are most relevant to the recreation of Huineng's image, and the results show that the ideational, and especially the interpersonal aspects are more revealing than the textual. The analysis of the personal pronouns, MOOD & MODALITY, image of Huineng on book cover and in verbal text, and paratextual evaluation are all within the interpersonal metafunction. The classification of the verbs of saying used in each translation is clearly an

experiential analysis; and comparison of grammatical intricacy and lexical density is roughly within the domain of textual analysis.

Table 10.1 Lexicogrammatical choices and images of Huineng

		Wong	Heng	Cleary	Cheng
story of Huineng	experiential	passive equal status cohesive	active inferior status cohesive	active equal status cohesive	active inferior status cohesive
	interpersonal				
	textual				
verbs of saying		reply, ask, address, exclaim…	say, ask, reply…	say, ask…	say, ask, demand, evince…
personal pronouns		we & you	you	you & I	you & I & one
MOOD & MODALITY	statements	categorical & qualified	categorical	categorical	categorical & qualified
	commands	indirect	direct	direct	indirect
multimodality (cover & text)		friendly & intimate	---	authoritative & detached	---
paratextual evaluation		---	Huineng as a hero	---	---
text complexity	grammatical intricacy	low	low	high	high
	lexical density	high	low	low	high

Specific choices within these categories, and the images of Huineng thereby recreated in each translation will be summarised in the following sections. It should be noted that to obtain a neatly delineated picture of the image of Huineng in each translation is not the purpose (or even expectation) of this study, as an image tends to be complex and multi-faceted. On the contrary, it would be normal to find overlaps. After all, what are being discussed here are translations of the same source text.

10.2.1 Image of Huineng in Wong's translation

In translating the story of Huineng, Wong differs from the other three translators in his adoption of passive structures to suppress the agency of Huineng as an active Actor. Instead, Huineng more often assumes the participant roles of Sayer, Receiver and Carrier. On the other hand, Huineng generally enjoys an equal status with other characters in the story, although politeness is often shown in the conversations.

In terms of verbs of saying, Wong's translation shows greater variety than do the other three translations. Moreover, the majority of the verbs of saying, such as 'reply', 'exclaim', and 'commend', are to reflect the translator's effort to present Huineng as friendly and intimate to his students.

In terms of personal pronoun selection, Wong's translation stands out for its preference for the inclusive 'we', which is actually the most frequently used personal pronoun. Inclusive 'we' has the function of shortening the distance between the speaker and hearer by expressing a willingness to be part of the same group, and thus contributes to establishing solidarity. Meanwhile, second-person pronoun 'you' is also used, especially in cases where suggestions concerning future activities are given to the audience. The function, as pointed out in Chapter 5 of the thesis, is to partly offset the over-friendly tone of the inclusive 'we', which has the potential of dissolving the teacher-student distinction and reducing the perlocutionary force of the words spoken.

When translating the original statements, Wong uses both categorical assertions, where no dialogical alternative is recognised, and qualified expressions, especially modal auxiliaries, to rest the proposition on the speaker's subjectivity and avoid imposing the ideas on the audience/readers. In rendering commands, suggestive clauses (*let us*/*let's*) and modulated indicative clauses (such as *will/can you*), both indirect realisations, are used more often than the direct, bold imperatives. All these result in presenting Huineng as friendly and non-imposing.

The case study of Huineng's image on the book cover and in the translated text also reveals that an image of Huineng that is friendly and intimate to the viewer/audience is presented, not only through linguistic choices but also through the visual picture in Wong's translation republished by Shambhala Publications in 2005.

Finally, as for text complexity, Wong's translation is low in grammatical intricacy but high in lexical density, which is typical of written text in English. This has the implication that the orality of the source text is more or less lost in the translator's pursuit of literariness.

Therefore, it can be said that the image of Huineng presented in Wong's translation is generally that of a Chan master who has gone through many difficulties in life, friendly and intimate to his audience/students, yet speaking in a genteel and polite manner.

10.2.2 Image of Huineng in Heng's translation

In translating Huineng's story, Heng adheres so much to the source text that almost all terms of address, which are to distinguish people of different social statuses, are retained in the translation. The result is that Huineng's inferior status due to his humble origin can be seen everywhere in the text, although sometimes with the possibility of causing difficulties in understanding for an English reader not familiar with the culture of ancient China.

Heng's selection of verbs of saying reflects the literalness of the translation, in that the most frequently used reporting verb is the general verb 'say', which corresponds to '曰' (yuē, *say*) and '云' (yún, *say*) in the source text. In this way, little specification of the manner of speaking is provided for the target readers.

The adherence of Heng's translation to the source text in terms of address also has an influence on her choice of personal pronouns. Her translation retains most of the terms of address, especially the use of one's own name as self-reference. Heng's translation, therefore, contains the fewest personal pronouns in total and the fewest first-person pronouns among all the translations. As a result, Huineng's words sound rather formal.

In translating Huineng's statements and commands, little effort has been made on the part of the translator to moderate the propositions or soften the tone. That is to say, categorical statements and direct commands are prevalent in Heng's translation. This makes Huineng appear to be authoritative and powerful.

The case study of paratextual evaluation demonstrates that the translator/commentator tries to depict Huineng as a grass-roots hero: he grows up in a poor family, is illiterate and constantly threatened by persecution, but finally succeeds due to his courage and natural brightness. By contrast, many other characters, especially Shenxiu, are negatively judged and presented as villains against whom the hero Huineng fights and wins.

Analysis results of text complexity shows that Heng's translation is simple in both grammar and lexis. This simplicity is considered both a result of the source text's influence and an effort to make the ideas easy to understand on the part of the speaker Huineng.

Therefore, the image of Huineng presented in Heng's translation is of a Chan master whose humble origin, courage and perseverance is highlighted. At the same time, the Chan master is also straightforward, speaking in a simple and direct way.

10.2.3 Image of Huineng in Cleary's translation

When translating the story of Huineng, Cleary generally preserves the active participant roles of Huineng in the source text, but takes liberty to render all the complicated terms of address simply into 'I' and 'you'. As a result, the inequality between Huineng and others in terms of social status is obscured.

The use of saying verbs in Cleary's translation reflects a tendency to simplify the source text: not only are general verbs such as '曰' (yuē, *say*) and '云' (yún, *say*) translated into the unmarked 'say', some specific saying verbs such as '告' (gào, *tell*) and '谓' (wèi, *tell*) are also deprived of their connotations and rendered simply as 'say'. In this way, the exact manner of speaking is unspecified and open to the target readers' speculation.

As for personal pronouns, both 'you' and 'I' are used by Cleary, which, although it can be interpreted as denoting friendliness as discussed in Chapter 5 of the thesis, is inherently ambiguous. For referring to someone as 'you', while admitting his/her existence, also has the consequence of recognising him/her as an 'Other', especially someone who is to be distinguished from the speaker as 'I'.

This kind of ambiguity can actually be resolved when more information is obtained through analysis of MOOD and MODALITY, and multimodal analysis. In translating the original statements and commands, Cleary is similar to Heng in choosing the unmarked, direct way of realisation. Little effort is made to make them less threatening and more polite. The visual image of Huineng on the book cover of Cleary's translation also depicts Huineng as being far away from the viewer, with no intention to be part of her/his world.

In terms of text complexity, high grammatical intricacy and low lexical density indicate that Cleary's translation adopts typical spoken English, which tends to be complex in grammar, but simple in lexical words.

Therefore, the image of Huineng recreated in Cleary's translation is flexible and can be interpreted in different ways. He is not absolutely detached and aloof, but at the same time shows a tendency to avoid being too intimate with his audience/students, although the communications are generally held in an informal atmosphere.

10.2.4 Image of Huineng in Cheng's translation

Cheng's translation of Huineng's story is similar to that of Heng in that both try to preserve the humility as well as the active role of Huineng. A slight difference is that Heng's translation is relatively more literal, and relies more on retaining the terms of address, whereas Cheng also resorts to rendering imperative into modulated indicative clauses.

Verbs of saying used in Cheng's translation, although not as diverse as those in Wong's translation, are clearly more informative than those in Heng's and Cleary's translations. Frequent use of verbs such as 'demand' and 'evince', however, indicates that the translator intends to present Huineng as speaking in a commanding and authoritative manner.

In terms of personal pronouns, Cheng's translation has the lowest frequency of the interactant type ('I', 'you' and 'we') among the four translations. The reason lies in that, apart from using first person 'I' and second person 'you', Cheng also uses the generic reference 'one' in many cases. The nature of the personal pronoun 'one' as being 'non-interactant', i.e. having nothing to do with either the speaker or the hearer present at the conversation, makes the Chan master Huineng sound objective as well as uninvolved.

Another distinctive feature of Cheng's translation is that it has the largest amount of modal expressions among the four translations. The result is that nearly one third of the statements are qualified, and seven out of ten commands are realised indirectly. This kind of linguistic choice, one might argue, reflects more of the formality of the communication than friendliness on the part of the speaker.

In terms of text complexity, Cheng's translation is high in both grammatical intricacy and lexical density, quite in contrast to that of Heng. Complex grammatical structure and uncommon (and even self-coined) words contribute to the esotericism of the text:

one cannot but feel that the words are spoken specifically to insiders, not to anyone who happens to hear the sermon/open the book.

Therefore, the image of Huineng presented in Cheng's translation is of a Chan master who speaks in a formal and scholarly (even mysterious) way, at the same time enjoying the authority of being a knowledge transmitter and reverence from the audience/students.

10.3 Why the different images: contextual considerations

As shown in the discussions above, there apparently is complementarity between the linguistic choices made in different systems within each translation. For instance, the use of impersonal 'one' is in consistency with the use of qualified statements, indirect commands, 'demanding' saying verbs, and a highly complex, written-like form of expression in Cheng's translation. This kind of complementarity helps to ensure that a consistent and dynamic image of Huineng is presented, and at the same time reveals that the linguistic choices of a translator, though made subconsciously in many cases, do exhibit a specific pattern or regularity.

The pattern of choices in a text results from the interaction between text and context. In SFL, context can be described in terms of three parameters, Field (what is being talked or written about), Tenor (the relationship between the speaker/writer and hearer/reader), and Mode (the role of the text in context or the kind of text that is being made) (Butt et al., 2006, p. 5). These three parameters resonate with the three metafunctions of language: Field resonates with the ideational, Tenor with the interpersonal, and Mode with the textual metafunction. This section will discuss the context of the source text and the four translations in terms of Field, Tenor and Mode, with the aim to explain why certain linguistic choices are made and images of Huineng recreated.

10.3.1 Source text

The *Platform Sutra* belongs to the genre of 'yǔlù' (record of sayings), which are "unique literary documents of patriarch-masters' sermons and dialogical interactions with students, heard and recorded by other students" (Welter, 2008, p. 48). Initially,

the *Platform Sutra* was a symbol of orthodoxy (Suzuki, 1972). Later, as the status of Chan Buddhism was firmly established, the *Platform Sutra* began to be circulated widely in the Chinese society, read by Buddhists, literati and ordinary people. Although the text is also significant in the development of Chinese literature and philosophy, it never loses its religious flavour in the source culture.

Therefore, in terms of Field, the author of the *Platform Sutra* recorded/compiled the words of Huineng in a form that could be read and studied by later generations. In terms of Tenor, although there might be no hierarchical difference between the author and the original readers, there was emphasis on the status of Huineng as the Sixth Patriarch, who delivered the teachings only on the genuine invitation of government officials and answered questions at the request of students. In terms of Mode, the *Platform Sutra* is clearly a religious text, containing the spoken words of the revered Sixth Patriarch and the most profound ideas of Chan Buddhism.

10.3.2 Wong Mou-lam (1930)

Wong's translation of the *Platform Sutra* was conducted at a time when China was facing foreign invasion and Chinese Buddhism experiencing its reformation under leaders such as Taixu (Chan, 1953; Welch, 1968). While most Chinese scholars were ardently busy translating and importing Western ideas into China, a few people such as Wong could still recognise the value of the traditional Chinese literature and tried to present its beauty to the world. Their translations might not be perfect, but their effort and foresight certainly deserves respect.

In terms of Field, Wong translated the text to introduce Chan Buddhism, and ultimately traditional Chinese culture, to the West. The translation can be seen as a resistance against the trend of Westernization (Li, 2008) and Christian literature translation in that period (Guo, 2010). The subtitle of the translation, *Message from the East*, conveys a belief that Chinese people, although relatively lacking in material comfort, were spiritually superior to their Western counterparts.

In terms of Tenor, as the intended readers were ordinary Western people who were expected to develop some interest in Chan Buddhism after reading the translation, the relationship between the translator and readers was relatively equal, with much consideration given to the readers' expectations and the Western egalitarian value. The

translator, in his preface, even apologized to the target readers for his 'incompetence' in both English writing and Buddhist knowledge (Wong, 1930).

In terms of Mode, Wong's translation was at the same time religious and cultural. The translation was still regarded as an embodiment of the 'Good Law' (Dih, 1930), but it was at the same time a carrier of traditional Chinese culture and wisdom that was alien to the Western mind.

10.3.3 Heng Yin (1977)

Heng Yin was one of the first five Americans ordained by Master Hsuan Hua in 1969, and her translation is the first English translation produced by an ordained Western Buddhist. The translation was published by the Buddhist Text Translation Society of the Dharma Realm Buddhist Association established by Hsuan Hua.

Heng's translation differs from others in that it contains a running commentary by Hsuan Hua. According to Heng, she listened to the recording of Hsuan Hua's lectures on the *Platform Sutra*, and then translated the text into English (Baur, 1998). As the lectures were in the form of reading-explaining, it can be said that Heng was translating both the words of Huineng and Hsuan Hua at the same time, with the former embedded in the latter.

In terms of Field, Heng translated the text as a guidance for Western (mainly North American) Buddhist practitioners, as it is hoped that "[w]esterners will now read, recite and study it, and all become Buddhas, Bodhisattvas, and/or Patriarchs" (Hsuan, 2001, p. xv).

In terms of Tenor, although the relationship between Heng and her intended readers was relatively equal, the fact that the translation was based on Hsuan Hua's formal lectures gave the translator a kind of authority. She served as the mouthpiece of her own master by translating his spoken words into a language that the target readers could understand.

In terms of Mode, the translation was undoubtedly a religious text. It was translated by an ordained Buddhist under the supervision of her master, published by a Buddhist organization and circulated among Buddhist practitioners.

10.3.4 Thomas Cleary (1998)

Thomas Cleary is a professional translator and one of the major authors of Shambhala Publications. He is renowned for his proficiency in East Asian language, religion and philosophy, and has translated more than eighty works from eight languages (Burton-Rose, n.d.). Entitled simply *The Sutra of Hui-Neng*, Cleary's translation was aimed at a general public who may be interested in East Asian culture and wisdom.

Therefore, in terms of Field, Cleary translated the text to introduce the ideas of Huineng, which are seen as representative of East Asian wisdom.

In terms of Tenor, the translator served as a cultural informant to those who share similar cultural background. The relationship between the translator and his intended readers was thus relatively equal.

In terms of Mode, Cleary translated the text as a cultural and historical text, with religion no longer the main concern. In the two-page introduction to Cleary's translation, there is no discussion of the religious ideas expounded in the sutra. The translated book belonged to the Shambhala Dragon Edition, whose purpose was to "make the sacred knowledge of Asia accessible to lovers of wisdom everywhere" (inside blurb of the book).

10.3.5 Cheng Kuan (2011)

Cheng is from Taiwan and a Buddhist master and abbot of two temples, one in Taiwan (Maha-Vairocana Temple, 1991) and the other in the U.S. (Americana Buddhist Temple, 1993). As stated by Cheng, his translation was mainly for his own disciples in the U.S., and Western Buddhist practitioners and experts (Low, 2010, pp. 41, 87). The translation was published by the publishing agency under Cheng's own charge, and distributed for free.

In terms of Field, Cheng translated the text to spread Buddhism, as he said that it was his greatest wish "to translate the Right Buddha Dharma and make it available for all people in the world, so as to benefit infinite Multibeings globally" (Cheng, 2011, p. 11).

In terms of Tenor, Cheng, as a Buddhist master himself, enjoyed higher status than his intended readers. There is a photo of him prior to the translated text, and the book also contains a detailed introduction to Cheng, which includes his personal experience, former and current positions, and works of English translations and Chinese writings.

In terms of Mode, Cheng's translation is clearly religious in nature, as the *Platform Sutra* was considered to be "virtually the 'First Sutra' for the learning and practice of Mahayana Chan" (Cheng, 2011, p. 12). The translation's focus on knowledge transmission is also reflected through its nearly one hundred pages of glossaries and index following the translated text.

10.3.6 Summary

In light of the above discussions of the context of situation of each text, it will be easier to see why certain linguistic choices are made and image of Huineng recreated in each translation. Wong's translation was to introduce Chan Buddhism and traditional Chinese culture to ordinary Western readers in the early 20th century. Huineng was regarded as a representative of Chinese literature and culture in the translator's seeking of recognition from the target readers. Therefore, inclusive 'we', qualified statements and indirect commands were used to present Huineng as friendly and polite. Meanwhile, the use of many different saying verbs may be a result of the translator's effort to 'beautify' the source text, which was rendered as a written (rather than spoken) literary text in the target language.

Heng's translation was strictly religious in nature, and had the specific purpose to guide Buddhist practitioners in the West. Consequently, accuracy was much emphasized, and literalness became an inevitable by-product. Linguistic features of the translation, such as use of one's own name as self-reference, prevalence of categorical statements, direct commands and simplicity in both grammar and lexical choices, are all more or less the result of this translating strategy.

Cleary's translation is similar to that of Heng in many respects, such as in the dominance of categorical statements and direct commands. However, as the focus was on conveying ideas (or wisdom), much effort was made in terms of fluency and readability, although there was little intention to shorten the distance between Huineng

and his audience. Thus, Huineng is presented as a respected Chan master speaking in typical everyday English.

Cheng's translation, although also religious in nature, displays some features that are absent in the translation of Heng. The use of impersonal 'one', inappropriately large amount of qualified statements and indirect commands, and over-complicated grammar and words, make the translation highly formal and esoteric, and contribute to presenting Huineng as superior and inaccessible to his audience. One might wonder why the simple and colloquial source text should be translated in such a way that the translation appears to reject an easy reading. Most likely it is just as Nida points out, that in religious translation, some people "reject intelligible content since the aura of mystery, so typical of religious experience, seems to be lost" (Nida, 1994, p. 200).

10.4 Implications of the study

The present study, mainly an application of SFL to the comparison of different translations of the same source text, is considered to shed light on both translation studies and on the linguistic theory itself. At the same time, it should be admitted that there are still points deserving further exploration apart from those presented in this study.

10.4.1 Implications for translation studies

As has been pointed out in the introduction to the thesis, there are many scholars who have explored and demonstrated the applicability of SFL to translation studies (such as Baker, 1992; Bell, 1991; Catford, 1965; Halliday, 2001, 2009; Hatim & Mason, 2014; House, 1997; Steiner, 1998). Ideas of these scholars, although they might not have been overtly identified in the present thesis, clearly have served as an inspiration for the present study. Instead of being a reiteration of the ideas already discussed, this section will focus on what the present author considers insightful for translation scholars who have been confined to literary or philological traditions and are not familiar with SFL.

Firstly, the SFL definition of text, with its emphasis on meaning, provides translation scholars with a new way to look at the translating process and translation product.

According to Halliday and Hasan, “a text is essentially a semantic unit” (1989, p. 10), i.e. a text is made of meanings rather than words. On the other hand, meaning and words are closely related to each other. Meaning is realised through lexicogrammatical choices, which thus constitute a solid ground for talking about meaning in a text. This is why text analysis in SFL is considered not an interpretative but an explanatory activity. The difference between the two approaches lies in that, “[w]hile the interpretation of a text would aim to uncover and state WHAT a text means, the systemic analysis of a text aims to uncover and state HOW a text means” (Eggins, 1994, p. 309). Moreover, a text is both a product and a process. It is a product in that it can be recorded (through writing, or audio recording if originally spoken) and analysed; and it is a process in that the composition of a text is a continuous process of semantic choices, a social exchange between the speaker/writer and audience. Similarly, in translation studies, whenever one is examining a translated text as product, one should bear in mind that it is the (final) result of an interactive meaning exchanging process between the translator and her/his intended readers. To make meaning is to make choices, which is recognised by both SFL and translation scholars. How and why certain choices are made can only be understood by taking the concept of context into consideration, and this is the second point where SFL ideas well suit the need of translation studies.

The inseparability and interaction between text and context is emphasized by both translation scholars (such as Lefevere, 2003; Toury, 2012) and systemic functional linguists. However, while translation scholars are used to borrowing ideas from cultural and sociological studies and confine themselves to the so-called all-embracing socio-cultural context of translation, SFL provides us with a neatly organised framework of context that not only embodies all the influencing factors outside the text but also corresponds to the meaning construction and linguistic choices inside the text.

Inheriting the ideas of Malinowski, who first postulated the concept of outer and inner contexts of narration (Hasan, 1985), SFL scholars further distinguish between the material situational setting and the relevant context (Hasan, 2009). They also identify the three parameters of context, Field, Tenor and Mode, which resonate with the three types of meaning in the text: ideational, interpersonal and textual. These ideas are a welcome complementarity to the broad definition of context in traditional translation

studies, and have been shown to be useful in translation studies (House, 1997, 2006; Steiner, 1998).

Finally, the trifunctional division of meaning in language, and the systemic, or paratactic nature of language use, emphasized in SFL are helpful for both translation practice and evaluation. When meaning is going to be discussed, one should first be clear about what kind of meaning is the focus: ideational, interpersonal, or textual meaning; or all the three at the same time. Similarly, when making choice in the process of translation, one should always be aware of all the other possible choices, and be able to answer the question why this choice instead of another one should be made. Translation, no matter how much literary or cultural implication it may have, is basically a linguistic activity, and analysis of language and meaning should therefore never be abandoned in proper translation studies. On this point the advice from Halliday is considered appropriate for those who still harbour doubts: "[n]o doubt it is easy to point to examples of excessive concern with linguistic forms; but *it is perverse to throw away the most powerful tool just because you have found someone else misusing it*" (Halliday, 1992/2003, p. 373, emphasis added).

10.4.2 Implications for systemic functional linguistics

Although, compared with other linguistic theories, SFL is indeed an 'appliable' theory (Halliday, 1985; Matthiessen, 2012), there are still some problems that the present author encountered in her analysis of the data. This is natural, as one cannot expect to have a tailored toolkit for any particular study. In this section, the author will discuss the implication the present study may have for SFL-oriented researches, and the status of translated texts in the development of SFL theory.

Firstly, translation studies, with its distinctive nature of relating two language systems, benefit from the progress of studies in language typology and will also shed light on perspectives that deserve more attention. Take the NOMINAL PERSON system in the interpersonal metafunction as an instance. A scholar of language typology may end his work by pointing out that there is a correspondence between the two languages on the general level of NOMINAL PERSON system as a whole. But this is not enough for the translator and translation scholar, as they have to deal with the actual choices at a more delicate level, most likely the choice of specific items. It is very likely that while two

languages may have the same categories of interactant and non-interactant within the NOMINAL PERSON system, and speaker, speaker-plus and addressee within the interactant category, they can still differ in the conditions under which the categories, or terms within a category, are used. Similarly, when the personal pronoun is missing from the original text, and the translator has to make a choice, should he choose ‘we’ of the ‘speaker-plus’ type, or ‘you’ of the ‘addressee’ type, or ‘one’ of the non-interactant category (cf. Chapter 5 of the thesis)?

Moreover, some of the linguistics features of the source text may be carried over to the target text, as it often happens in the translating practice. This will definitely pose challenges that are not usually met by scholars of typological description. In the following example, the use of one’s own name (Huineng) to refer to himself is carried over from the source text that was written in classical Chinese to the translation in English by Heng (Wong’s translation is presented here as a comparison).

Example 1

ST

huì néng shēng zài biān fāng yǔ yīn bù zhèng º méng shī chuán
惠能 生在 邊 方 語音 不 正º蒙 師 傳
Huineng born at margin place pronunciation not right receive teacher transmit

fǎ jīn yǐ dé wù
法 今 已 得 悟
Dharma now already obtain enlightenment (T2008_.48.0349b10-11)

Wong As I happen to be born in the frontier, even my speaking is incorrect in pronunciation; (but in spite of this), I have had the honor to inherit the Dharma from you (1930, p. 7).

Heng *Hui Neng* was born in the frontier regions and *his* pronunciation is incorrect, yet *he* has received the Dharma transmission from the Master (1977, p. 97).

Now the problem occurs. Should the name ‘Huineng’ in Hneg’s translation be analysed as a proper noun (therefore not a pronoun) or an ‘interactant’/‘non-interactant’ personal pronoun? To make the situation more complicated, how to deal with the anaphoric ‘he’ and ‘his’ which are obligatory in English (but not there in the source text) to refer back to the name Huineng? The problem is that both the speaker and the hearer in the conversation of the source text know that the name does not refer to an absent third party, as a name usually does, but to the speaker Huineng himself. Such a use in the source text is a reflection of the low status of the speaker compared with the hearer and also a kind of modesty on the part of the speaker. But the same use in many cases does not apply to a proper name in English.

Secondly, it is worth considering the status of translated texts in a linguistic theory that relies on the study of 'natural' language. Are translated texts instances of 'natural' language? To a certain degree yes, but there are still some cases that deserve attention. Many people reject the idea that a translation should read as natural as the texts originally written in the target language. For instance, the German philosopher and translator Walter Benjamin (1997) advocates word-for-word translation and considers this the best way to do translation. The strategy of word-for-word translation may give rise to many unusual, unintelligible or at least unnatural expressions in (especially religious) translated texts that strive to be close to the original. Thus, should this kind of translated texts be ignored as they are not natural enough? Most likely this will not affect dominant languages such as English; but what about languages that significantly rely on translation for their development? Similarly, perhaps corpora containing only translated texts can be built and studied, as scholars in the field of translation studies have done[1], to be compared with texts originally written in the source and/or target languages. Only through application will the descriptive power of a theory be demonstrated and further improvement achieved. It is believed that, as a functional theory, SFL will surely have an important role to play in many fields, including translation studies.

10.4.3 Implications for studies in the future

Although the dataset of the present study is not great in size (no more than 80,000 words in total), it provides many interesting findings and new insights. Meanwhile, there are also some ideas that remain to be pursued in future studies due to the limit of time and space.

It can be said that, apart from English, Chinese is one of the main languages being studied by SFL scholars, particularly as a result of Halliday's own experience (Peng, 2015). However, most studies concern modern Mandarin, not classical Chinese, with few exceptions, such as Halliday's early study of the *Secret History of the Mongols* (2006), and studies by Huang (2006, 2014) and his team. As a result of reformation and globalisation, modern Mandarin displays many features that are similar to Western

[1] Such as the translational English Corpus (TEC) by Mona Baker, see http://www.monabaker.com/tsresources/TranslationalEnglishCorpus.htm.

languages, especially English, and has moved away from the classical Chinese: there are more personal pronouns used, monosyllabic words are being replaced, sentences are becoming longer, and so on. As modern Mandarin has a very short history (since early 20th century), most treasured Chinese literary and philosophical texts were written in classical Chinese. In the field of translation studies, both the government and individual scholars are increasingly aware of the necessity and importance of presenting these cultural treasures to the world. This calls for a systemic functional study of the classical Chinese used in so many prized written texts. Such a study can draw on that of modern Mandarin, and it will be meaningful to compare the result with studies on modern Mandarin and English.

Another point deserving further consideration is how to take into account the orality of the source text. It is well known that most ancient classical texts, and many texts of modern languages which rely more on the spoken form, were originally transmitted orally. They were written down only to be read or studied. The oral features of the texts can clearly be discerned when one starts reading them: parallelism, rhyming, rhythm; and one can even imagine the intonation and facial expressions of those who first said these words. To what extent does the translator pay attention to and try to preserve these oral features in another written language? More fundamentally, to what extent is it possible to create a similar effect due to the difference between the source and target languages? These questions deserve consideration and study in the future.

10.5 Concluding remarks

The study applies SFL to the analysis of different translations of the *Platform Sutra*, with a focus on the image of Huineng recreated in each translation. Linguistic choices from the ideational, interpersonal and textual systems are investigated, particularly in terms of saying verbs, personal pronouns, MOOD and MODALITY, appraisal, multimodality and text complexity. Results show that different images of Huineng are recreated in the translations. Both the linguistic choices and image construction are further interpreted by referring to the context in terms of Field, Tenor and Mode. It is believed that in this way a systemic and functional framework is observed and the study becomes more convincing.

By this, however, the author does not mean to maintain that a linguistic approach, or specifically the SFL approach, is the only way to study the image of Huineng, or the image of any other character, in different translations. On the contrary, it is believed that various approaches should be pursued and tested in empirical studies in order to help us get better understanding of the activity of translation, especially religious translation, one of the earliest linguistic activities in human history.

Moreover, by highlighting the differences among the English translations, this study does not intend to arouse mistrust in the translations or to cast doubt on the achievement of the translators. "A single text can never show all aspects of a source text" (de Vries, 2003, p. 176); this is why we need retranslations of canonical texts. Consequently, it is not surprising to find that the image of Huineng varies from one translation to another. The 'under-determination' (ibid) of the source text and the specific context of translation together contribute to a different image of Huineng in each translated text. Although only four out of the many English translations have been studied, it is likely that more differences will still be exhibited when more translations are analysed. It is difficult to imagine that there would be a fixed and ultimate image of Huineng.

Nevertheless, as Vermeule (2010) points out, although Huineng is nothing but a character built in words, one can still feel him and talk about him as if he were a real person, standing in front of her/him. Furthermore, it is undeniable that, for anyone who reads the *Platform Sutra*, especially the translators, and for the one who has been familiar with the text and its translations for a long time, there is an image of Huineng constructed in the process of reading. This is the power of the text. This is the power of language.

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