

**Judging a Book by Its Cover: Reader
Responses to Paratexts in English and
German Translations of Chinese Banned
Books**

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Abstract

This thesis investigates reader responses to paratexts of English and German translations of four different Chinese banned books: *Serve the People!* and *Dream of Ding Village* by Yan Lianke, *Tombstone* by Yang Jisheng and *For a Song and a Hundred Songs* by Liao Yiwu. The main aim is to research whether and how paratexts are used to manipulate readers and furthermore how paratexts influence or create expectations of the book. Since all the books chosen for this study are banned in China, this thesis will also analyse whether censorship is used by publishers of translations as a marketing tool and how readers react to it. Finally, this thesis investigates the interplay of the different paratexts and how this influences the appeal of a book to readers.

In contrast to the majority of previous studies on paratexts, this thesis not only includes a paratextual analysis of four different paratexts which are all contained in a book's packaging: front cover, title, praise and back covers (including blurbs) but also uses two reader-response studies to provide evidence for the effects of paratexts on readers as well as the readers' reception of and opinions on paratexts.

The findings of this thesis show that paratexts are not only able to manipulate readers to a varying degree but are actively used to do so by the publishers. The thesis also confirms that paratexts are not standalone items but interact in a larger framework. Readers are often aware of this interplay and clashing paratexts impact on the readers' reception. By including readers in the research, this thesis offers a new perspective and contributes to the field by providing a basis for future reader-response based paratext research. Furthermore, it might have implications for the publishing industry by providing an insight into readers' opinions on and receptions of book covers and thereby potentially influence future publication strategy.

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Translations of titles, readers' comments, etc. from Chinese and German into English are my own and are added in [] where necessary.

When referring to the original versions of the books, a shortened form of the Chinese title in Pinyin was used, i.e. *Mubei* for *Tombstone*, *Liu si* for *a Song and a Hundred Songs*. When referring to the two different English versions of *Tombstone*, which have different subtitles, *Tombstone* was used to refer to both versions. Equally, where the version is not stated explicitly for the English versions with identical titles, I refer to all versions. The same applies to the German versions. When referring to both English and German, this is clearly stated and the English title is used, e.g. *Tombstone* refers to both English and the German versions.

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Chapter 1. Introduction

1.1 The Topic and Its Importance

In translation studies, paratexts (additional materials that surround the text) have become an increasingly important field of research. Previous research often analyses how individual paratexts were translated (or paratranslated), what their functions are and their effect on readers might be and how they can contribute to translation research. It has shown the importance of paratexts for the reception of a translation, shifting the focus from merely looking at translation processes and its output to the packaging of a translation. Despite the fact that paratexts are an essential part of every book, they are of special importance for translated literature. Paratexts can help to build a bridge between the source cultural context and the target text reader, helping the reader to understand the cultural context and implications better by providing additional information the main text does not include. In addition, paratexts are a powerful tool for publishers to shape the readers' impression and understanding of the source culture. This is especially the case for a book's outer packaging: the title, the front cover and the back cover. Here, the choice of words, colours and imagery will create certain expectations and impressions in the readers that can potentially influence the readers' approach to the main text. Furthermore, they are arguably crucial for selling a translation successfully. The front cover is usually the first part of the book a reader sees, together with the title, and if it does not capture a reader's attention, they are unlikely to take a look at the back cover. In summary, the title, front cover and back cover (which usually includes a blurb and/or praise), are the most important paratexts when targeting potential readers and may well influence how these readers approach and receive the translation. As mentioned above, paratexts can help bridge cultural differences and can be used as a tool by publishers to target readers and influence their opinions on the source culture. To investigate these factors and their influence on readers, this thesis uses English and German translations of Chinese banned books as a case study. These two language combinations are particularly interesting in a comparative study because of the different number of books being translated into these two languages. Relatively few books are translated into English, whereas more than 10% of books being published in Germany are translations (see Section 4.2). This means that readers in the two different target cultures are exposed to a different level of translations which could mean that publishers' paratextual strategies differ, e.g. stereotypes are used to a different extent or a different knowledge of Chinese culture and literature is assumed by publishers. Furthermore, the different levels of exposure to translated literature could impact on the reception of paratexts. In short, comparing paratexts of translations from

countries with few and relatively many translations will offer a deeper insight into paratextual strategies and reception. Translations of Chinese banned books were chosen because they are represented in the media as being of better quality and as more appealing to readers than books which are not banned in China. A paratextual analysis, combined with reader-response studies, might show how publishers use the fact that the books are banned in China as a marketing tool, how specific images of China are drawn on a book's packaging and how this influences the potential readership of these translations.

1.2 Previous Research

Chinese banned books in translation are very popular in English- and German-speaking countries and publishers often promote those books heavily under the “banned in China” label. Previous research, especially by Kraus (2004), Hockx (2010) and McDougall (2014), discusses the popularity of Chinese banned books in the English-speaking book market. McDougall (2014) elaborates the fact that literature censorship is both a curse and a blessing: its existence ensures that writers can publish (and sell) their literature abroad, but it also means a restriction is put on their writing when writing for a mainland Chinese audience. Publications on censorship in China in general and in translation of foreign works into Chinese include Tan (2014; 2015), Chan (2007) and Chang (2008). Despite the fact that Tan focuses on translations into Chinese, the articles are a useful source to gain a better understanding of the censorship in China. A further important contribution to the field is Lee (2015) who analyses English translations of Chinese literature and the image of China, its literature and writers which the paratexts draw in the Anglo-American world. Lee uses a number of Chinese writers' works, including Yan Lianke and Yang Jisheng, to analyse the discourses involved in framing these works as well as their positioning in the market. A special focus is on the role of censorship in the selection of books for translation and their later positioning in the market. This study is a good starting point for this thesis but the analysis of the paratexts of three works used in this thesis (*Serve the People!*, *Tombstone* and *Dream of Ding Village*) remains relatively short. Furthermore, Lee (2015) only discusses UK editions to research the impact on the Anglo-American readers or the intentions of Anglo-American publishers and in addition relies on their own analysis without consulting readers about the actual effects of paratext on them. This thesis will address these gaps in existing scholarship by combining a long and detailed analysis of paratexts with reader-response studies to evaluate the effect of paratexts on readers as well as using English translations from the UK, the US and

Australia to allow for a broader picture of the representation of Chinese literature in the Anglo-American world.

The situation in Germany is comparable to that in the UK or US, and Chinese banned books in translation seem to be more popular than literature which is not banned in China. This is illustrated by Kubin (2007) stating that a book being banned in China is the best that could happen to both the authors in the source culture and the journalists in the target culture as well as newspaper articles, e.g. Bork (2010) who claims that lists of Chinese banned books are the best source for recommendations. Due to the apparent popularity of Chinese banned books and the fact that English and German publishers often use the banned status of a book as a marketing tool, this thesis focusses exclusively on paratexts of books which are banned in China.

As per Genette's (1997b) definition, paratexts are the "threshold" to a book and are therefore highly influential on the way readers perceive and receive a book. This is possibly even more the case when the book in question is a translation. Here, the text and a whole cultural context are translated, and the way paratexts are created and presented will influence the readers' perception of the source culture. An important source for this thesis is Alvstad (2012)¹ who explicitly includes publishers' epitexts (see Section 2.1 for definition) which primarily have a marketing function and further investigates the links between literature and geography which can form part of a publisher's strategy. Despite the fact that paratexts might be crucial for the success of a translation, there are so far, to my knowledge, no studies on paratexts in Chinese-German translation and only a few in Chinese-English translation, for example by Pellatt (2013a), Kung (2013) and Neather (2014). However, none of these analyses the influence of censorship on paratexts and the importance of both paratexts and the banned status of a book for marketing translated Chinese literature in the West. Furthermore, all these studies are based purely on the authors' own analyses and do not include an element researching the impact of paratexts on potential readers. In contrast, there is very little published research on paratexts in Chinese-German translation, especially stand-alone research on the matter. There are some publications and doctoral theses which include aspects of paratext research, for example Wei (2012), who includes a short chapter on chapter titles, and poems at the

¹ In 2018, Kathryn Batchelor published her research on the matter, entitled *Translation and Paratext* (Batchelor, 2018), which is an important contribution to the field of paratexts in translation. Although this book was published before the submission of final corrections of this thesis, it was at too late a stage to be incorporated into the work.

beginning and end of the work. Despite the limited number of studies on paratexts in Chinese-German translation, research on paratext in a German-speaking context has been published. The most important contribution to the field is by Stanitzek (2004; 2005; 2007; 2010) who focuses on paratexts in different media and the application and expansion of Genette's theory to film and television. Another researcher focussing on applying the theory of paratexts in film is Klecker (2015) who focuses on frame theory in film. Finally, another contribution that needs to be mentioned here is Birke and Christ (2013) who explore the "potential and limits of the concept for describing medial change" with a specific focus on the shift taking place when an analogue text is digitised (Birke and Christ, 2013, p. 65). Considering the limited research on paratexts in Chinese to English and Chinese to German translation, this thesis will be an important contribution to the field of paratexts in translation.

In addition to paratext research, this thesis also draws on intersemiotic translation research. Intersemiotic translation, though having been applied to book illustrations for a long time, has only recently been expanded to book cover designs. Although Sonzogni's study (2011) is an important first step in the field, it examines book cover designs in a too isolated way, as it does not take other factors, such as marketing decisions, censorship, ideological trends or design standards and fashions into account. It further does not account for the increased complexity when intersemiotic translation is performed in an interlingual setting, i.e. the design of book covers for translated literature. This thesis will address these shortcomings since it is necessary to examine the relationship of integrity between book cover and text, as well as the circumstances the book will be published in, and stylistic and ideological trends that might affect the designer. Therefore, I suggest a more detailed model of examination. The first step would be to judge the degree of integrity between book and cover, as Sonzogni suggested. The next step would be to examine the political and ideological circumstances, which are of special importance for covers of translated literature, as the political and ideological system of the source and target culture might be different and therefore influence the designer and thereby the book cover. A third step would be to evaluate the marketing decisions and strategies, which are likely to have influenced the cover design. Here the interviews with the publishers, which will be part of this study, will be helpful to distinguish which of the different aspects influenced the cover designs most. Furthermore, this thesis will use manipulation theories from different fields. Manipulation often has a negative connotation because it is associated with distortion. However, the term manipulation has a much more diverse meaning. For

example, texts are manipulated during the translation process. No matter what the intention behind this form of manipulation is, the translation will reflect a certain ideology and poetics which are necessary for it to function in a given society. Manipulation in translation can positively influence and aid the development of a society and a literature (Bassnett and Lefevere, 1995). Psychological manipulation aims to influence targets to behave, act or operate in a specific manner, possibly to achieve a certain goal (Handelman, 2009). Advertising can change tastes and provide information, which means it can be seen as a form of preference manipulation (Ramsay, 1996). It has a strong persuasion function, which aims to change the responses of consumers (Fennis and Stroebe, 2010) and further aims to create needs in customers which only a certain product can satisfy (Handelman, 2009).

1.3 Aims

As outlined in the previous sections, the understanding that paratexts are an important subfield within translation studies means that there is an increasing amount of paratext research. However, one of the main shortcomings of much research on paratexts is that the effects of paratexts on readers are assumed rather than researched. Only very few studies include reader-response studies to investigate the readers' actual reactions to and perceptions of paratexts, which would be necessary to make assumptions on influence and impact. Although research on paratexts in translations of Chinese literature exists, there is, so far, no research on paratexts of translations of Chinese banned books and the use of the banned status in paratexts. Therefore, the main aim of this thesis is to put readers at the centre of the research and investigate the effects of individual paratexts, paratextual frameworks and marketing strategies of German and English translation of Chinese banned books as well as the effects of these on readers. To achieve this, I will be using a combination of paratextual analysis, surveys with translators and reader-response studies to enable me to make evidence-based assumptions. By including readers in paratextual research instead of theorising about possible effects on them, a significant gap in the research of paratexts will be closed. Furthermore, it will contribute to the so far limited amount of research on paratexts in Chinese-English and Chinese-German translation and further the understanding of how paratexts are used in this context to transmit a certain image of China and how this is received by the readers. As mentioned in Section 1.1, comparing these two language combinations promises to be a fruitful approach for a comparative study since readers in the two target cultures might be more or less used to translations due to the different amount of translations being published per

year in English- and German-speaking countries. Therefore, this thesis will also contribute to the wider study of paratext in translation. Although this research does not focus on how the individual paratexts were translated, nor does it investigate the translations of the books itself, it will contribute to research of how readers of translations are targeted, attracted and manipulated. Eventually, this might influence how the translations will be received.

1.4 Research Questions and Methods

This thesis addresses several research questions. The main questions this thesis aims to answer is:

1. To what extent, for what purpose and by what means might German and English publishers and translators use the paratexts of German and English translations of Chinese banned books to manipulate² readers?

The main aim of this question is to investigate the production process of paratexts and the translators' involvement in it. The paratextual analysis aims to show the possible intentions of publishers and translators, such as informing or grabbing attention. Furthermore, surveys with translators will be conducted in order to investigate their level of involvement in the creation of paratexts as well as their intentions.

2. How do readers perceive these paratexts and how do they create or change expectations of the book?

This question aims to research the responses and reactions of German- and English-speaking readers to the paratexts, which will be investigated using reader-response studies. The results from the reader-response studies might show how readers respond to different paratextual strategies, what their opinions on them are and finally how successful publishers are in manipulating readers through paratexts.

Researching the above central questions involves addressing two sub-questions:

3. Is censorship used as a marketing tool in English and German-speaking countries and if so, how is it perceived by readers?

This question addresses the use of censorship as a marketing tool for Chinese banned books in English- and German-speaking countries. Since all books in this study are banned in China, this research could show when, how and to what extent these books are marketed as "banned". Furthermore, the reader-response study might show the readers'

² See Section 3.1 for a definition of manipulation in this thesis' context.

opinions on and reactions to the use of censorship as a marketing tool. Since the study will be conducted with both German- and English-speaking readers, this thesis might also show whether there are differences in the perception of banned books in and between the respective groups. These results and the results of the paratextual analysis might allow for a conclusion whether the publishers made the right decision to market a book as banned, or not, in the respective market.

4. How and to what extent do paratextual elements influence one another and how does this, in turn, influence the overall appeal of the book?

This sub-question will investigate a very important and in paratext research often ignored aspect: how individual paratexts enter an interplay with each other and form a framework. The main aim of this question is to investigate whether readers see paratextual elements as standalone items or whether they perceive the packaging of the book as a framework. Furthermore, the questions investigate how the paratextual interplay influences the appeal of a book for the reader, both if they match and mismatch.

1.5 Theoretical-methodological Base

By analysing the paratexts from different perspectives, such as manipulation theory (in translation³ and advertisement⁴), visual studies (images and their properties⁵) and translation studies (e.g. intersemiotic translation⁶), evidence can be gathered and assumptions can be made about which factors may influence the production, publication and reception of translations and their paratexts. Other factors, such as the image of China in the West and stereotypes of China, will also be taken into account. I will assess the potential of various cultural approaches: primarily Orientalism to analyse what shapes the perception of China, which in turn might create stereotypes and thereby influences the production, publication and reception of translations and their paratexts. Furthermore, I intend to draw on manipulation theories in different areas, such as advertising, publishing and translation studies, to analyse what influences texts, paratexts and readers. Furthermore, I will use theory on images and their semantic, syntactic and semiotic properties⁷ to analyse their function as well as their reception by the readers. In addition, I will draw on recent works on paratexts, especially book cover designs, and particularly Sonzogni's (2011) review of book covers as intersemiotic translation.

³ E.g. Bassnett and Trivedi (1997), Bassnett and Lefevere (1995) and Dukate (2009).

⁴ E.g. Handelman (2009) and Ramsay (1996).

⁵ E.g. Peirce and Buchler (1940) and Berger (2014).

⁶ E.g. Sonzogni (2011) and Jakobson (1959).

⁷ E.g. Peirce and Buchler (1940), Chandler (2007), Oyama (1999) and Berger (2014).

The research methods entail a contextualisation and comparison of verbal and visual paratexts of the Chinese versions and the translations. From this initial analysis, I develop a set of questions for interviewing the translators and publishers, to see what their intentions were when translating and publishing and how these are reflected in the paratexts. Unfortunately, none of the publishers filled in the questionnaires, meaning their intentions can only be assumed. The surveys with the translators are conducted using an online questionnaire created with esurveycrator.co.uk, including both open-ended and closed questions. To ascertain the effects of paratexts on both English- and German-speaking readers, I conduct two reader-response studies using online questionnaires, also created with esurveycrator.co.uk. The first study is a preliminary study and included 11 English and 11 German readers and only focusses on the German and English translations of Yan Lianke's *Wei renmin fuwu* (*Dem Volke dienen* and *Serve the People!* respectively). The main aim of the preliminary study is to investigate the interplay of the individual paratexts found on the book covers. A three-stage approach is used to ascertain how the individual paratexts influence each other and how they interact. The second, main reader-response study with English- and German-speaking readers is designed to show if and to what extent the reception of paratexts and expectations created by them differ between speakers of different languages (i.e. English and German) and if the paratexts have different effects on these readers. Furthermore, it aims to provide additional evidence for the suggestions based on the results of the preliminary study. In order to obtain valid results, the reader-response study is carried out in two groups. There are 25 readers in each group, covering a variety of age, gender, educational and social backgrounds as well as interests. The readers are recruited through friends and family as well as using social media and word of mouth. The reader-response study includes both open-ended and closed questions, and a combination of qualitative and quantitative analyses is used to evaluate and analyse the readers' responses. The quantitative data will not be analysed using sophisticated statistics, such as chi-square, because the diversity of questions as well as the differences between book covers and titles of the English and German translations make the use of sophisticated statistics difficult. Instead, the data will be visualised in graphs and tables, and then the results will be analysed and discussed.

1.6 Expected Outcomes

The expected outcomes of this thesis are to provide an in-depth analysis of the paratexts of English and German translations of Chinese banned books and the readers' responses to them. This thesis will give a detailed account of how readers are targeted and

manipulated, as well as of how they perceive the selected books through paratexts. In addition, this thesis might shed light on how paratexts work together in a framework and how this framework influences readers and their decision-making as to whether to take a closer look at a book or not. Furthermore, it may provide a basis for future paratextual research which includes reader-response studies in addition to a theoretical analysis of paratexts.

1.7 Thesis Structure

The thesis is structured in nine chapters plus bibliography. The first five chapters provide introduction and background, the following two are the results chapters. This is followed by a discussion and a conclusion chapter.

Chapter two is the first of the background chapters. It gives a general introduction to previous paratextual research before reviewing existing literature on the three paratexts included in this study: front covers, titles, and back covers and blurbs. This provides the basis for the paratextual analysis. Furthermore, this chapter reviews research on paratexts as intersemiotic translation as well as paratexts in the field of translation studies, to situate this thesis in the field.

Chapter three, the second background chapter, outlines different theories on manipulation, marketing and images. Manipulation theories are reviewed in different fields: translation studies, advertisement, and readers and paratexts. These theories will form the basis for both the paratextual analysis and the analysis of the reader-response studies. This is followed by a section on consumer psychology and decision-making, which provides a basis for analysing the readers' decision-making later on. The chapter will then progress to the marketing and advertising of translated literature, elaborating the importance of the cover and how readers are targeted through paratexts. The chapter ends with a section on images, outlining different categories of images (sign, icon, index and symbol) as well as expanding these to book covers. Furthermore, the section reviews literature on semantic and syntactic properties of images, which will also be expanded to book covers.

Chapter four, the third background chapter, focusses on the cultural "Other", which includes orientalism as well as exoticism and otherness. This will provide the background for stereotyping in paratexts. This chapter also reviews literature on Chinese literature and censorship. The focus is to provide background information on the popularity of both

Chinese literature in general and Chinese banned books in the West. This is followed by sections on censorship and self-censorship in China. This chapter aims to provide a sound background to and situating of this thesis.

Chapter five is the methodology chapter, outlining how the authors and works were selected for this thesis, the aims and methods of the paratextual analysis as well as the preliminary and the main reader-response study. Finally, it explains the aims and structure of the surveys with translators.

Chapter six is the first results chapter, showing the results of the paratextual analysis of the titles, front cover, and back covers and blurbs. In this chapter, assumptions about the publishers' intentions and the possible effects on readers will be made. These are then tested in the reader-response studies.

Chapter seven, the second results chapter, provides the findings of the reader-response studies and the survey with the translators.

Chapter eight is the discussion chapter, bringing together the results from the paratextual analysis, the reader-response studies and translators' surveys. In this chapter, the assumptions made when analysing the paratext will be compared to the actual effects, aiming to show whether and how readers are manipulated. Furthermore, this chapter will address the question of whether and how paratextual elements interact and enter an interplay. This will lead to the discussion of how this influences readers and the appeal of a book to them.

Chapter nine summarises all the findings of this thesis in relation to the research questions and gives recommendations for future research.

Chapter 2. Background #1: Paratexts

This chapter provides a background on paratext theory in general, as well as paratext in translation and as intersemiotic translation in section 2.1. It further explores the main functions, types and elements of the three different paratexts included in this thesis: front cover, title and back cover (including blurb). The front cover is usually the first point of contact of readers with a book and constitutes the first threshold a reader has to cross. The different elements, their possible effects and functions will be elaborated in section 2.2. The title is not only part of the front cover design, but also a paratext in its own right. It fulfils several functions, such as indicating the content of a book, and choosing the right title can be difficult, as explained in section 2.3. The last section of this chapter, section 2.4, is about back covers and blurbs. It provides a basis for the analysis later and further formulates criteria to categorise both back covers and blurbs.

2.1 Paratexts

The term *paratext* was coined by Gérard Genette and it shifted the focus from the text to its peripheries. The first time Genette explored these peripheries was in 1979 in *Introduction à l'architexte*, however, he revised the terminology he defined in this work later on (Klecker, 2015). Genette first used the term paratext in the sense in which it is used today in his 1982 work *Palimpsestes* defining paratexts as elements that “provide the text with a (variable) setting and sometimes a commentary, official or not” (Genette, 1997a, p. 3). Genette further explored the concept in his 1987 essay *Seuils* (Genette, 1987). The most important work on paratexts, and so far the only comprehensive work on the topic, is Genette’s *Paratexts: Thresholds of interpretation* (Genette, 1997b) which offers a theoretical framework for defining and analysing paratexts. According to Genette (1997b), paratexts are additional materials supplied by authors, translators, publishers, editors, designers, etc. that surround the core text. They can be generally divided into two groups: peritexts and epitexts. Peritexts include all elements that are located in or on the book, whereas epitexts include elements that are located at a greater distance of the physical object “book”. Examples of peritexts are the cover design, the title, the name of the author, or the blurb. The definition of epitexts is much broader and they might include elements such as letters from or to the author, advertisements, book reviews or diary entries. Paratexts create interest, grab a reader’s attention or help market a work. They also influence how readers read a book. Stanitzek criticises Genette’s definition of paratext as something external to the text since elements like the typeface, paragraphing or the use of footnotes meant that there will rarely be a text which is free of paratexts (In:

Kreimeier *et al.*, 2004, p. 6). In addition, he argues that the use of “Beiwerk” [additional text] in the subtitle of the German translation of Genette’s work *Paratext* describes precisely the parergon dimension of paratextual elements since the “Beiwerk” forms part of the “Werk” [text] (Stanitzek, 2010). The paratextual elements surrounding a text are often described as the frame or threshold of a book, which make the book recognisable as such for the reader (Genette, 1997b). As a threshold, they offer the readers a decision: either to step inside and read the book or to turn away and put the book aside. However, even as a frame around the core text, paratexts are not a hard and fast boundary but rather an undefined zone between the text and the off-text (Genette, 1997b). Klecker describes paratexts as “a zone of transition and transaction, a place of influence reception” which always entail “a certain level of readability and, thus, textuality”, as implied by their name (2015, pp. 402, 403). Genette emphasises that although it is not always clear whether a paratextual element can be regarded as belonging to a text or not, it surrounds the text and extends it “in order to *present* it, in the usual sense of this verb but also in the strongest sense: to *make present*, to ensure the text’s presence in the world, its reception and consumption in the form [...] of a book” (Italics in original. Genette, 1997b, p. 1). This focus on the fact that a text is always presented in a specific form, which “is affected by historically and socially determined modes of production and reception” is what Birke and Christ suggest as being the concept’s main achievement (2013, p. 66). Defining a book’s thresholds has the same notion as what Stockwell (2002) calls edgework, namely identifying the boundaries of the book’s deictic⁸ field. A deictic field is composed of expressions which all point to the same deictic centre. The shifts between different deictic fields, such as “between the real world field and the literary text field” (Stockwell, 2002, p. 49) can be easily identified. The paratextual elements often determine that “the contents encode a different deictic storyworld of fiction” (Stockwell, 2002, p. 49). This edgework is not limited to the visual paratexts on the book’s front and back cover, but extends to the paratexts that directly accompany the text, such as the chapter headings, blank lines or starts between sections. These, together with other stylistic features, mark the edge of a new deictic field (Stockwell, 2002).

Genette excludes paratexts of translations, for which he has been criticised by various scholars (see Section 2.1.2). This illustrates one of the main shortcomings of his theory,

⁸ Stockwell defines deixis as “the central concept in the context-dependency of speech” (2002, p. 43). The deictic centre allows one to understand how words are used in context, Stockwell (2002) further states.

in which, apart from not considering translations, he paid little attention to the publisher's peritexts and completely dismissed the publisher's epitexts:

I will not dwell on the publisher's epitexts: its basically marketing and "promotional" function does not always involve the responsibility of the author in a very meaningful way; most often he is satisfied just to close his eyes officially to the value-inflating hyperbole inseparable from the needs of trade. (Genette, 1997b, p. 347)

In addition to these omissions, the paratextual elements that Genette included in his brief chapter on publisher's paratexts do not include the title, for example, which ideally should be created by the author but in reality is usually decided on by the publisher. This shows that Genette does not consider that the authorship of a paratext might not always be in the hands of the author, but might be transferred during the publication process, no matter whether it is a translation or an original publication. Therefore, Genette's approach to paratexts could be characterised as rather idealistic, where the author is mainly responsible for the paratexts and further marketing aspects, which are the determining force for the creation of a book's paratexts in an ever more competitive market, are irrelevant. This makes his theory somewhat one-dimensional, as a study of paratexts without considering the influence of the market on these can be considered as biased, if not naive. One could even argue that Genette's attitude towards the publisher's paratexts is that of an ivory tower academic, who does not intend to engage with the wider, non-academic community. Del Lungo critically revisited Genette's theory of paratexts in *Seuils, vingt ans après* (2009), in which he claims that there has been little critical discussion of Genette's work, and certainly none comparable to that prompted by *Figures III* ten years earlier (2009, p. 98). However, numerous researchers critically discussed Genette's concept. For example, Birke and Christ (2013) criticise the lack of systemisation of the functions of paratexts by Genette. They divide this function into three different aspects: the interpretive function, the commercial function and the navigational function. The first function, the interpretive, is the one suggesting to the reader a specific way of reading, interpreting and understanding a text and is certainly the one which is most important to Genette. The other two functions, the commercial and navigational, are more or less bypassed by Genette. He presents the commercial function (to advertise and sell the book) as unimportant since it is purely economic, Birke and Christ argue. In addition, the navigational function seems equally irrelevant to Genette, Birke and Christ point out, despite its importance to guide the reader and their reception both when approaching a text and reading (Birke and Christ, 2013). They summarise that paratext "guides the reader's purchase, navigation, and interpretation of the text in its specific

mediation. Individual elements serve one or more of these functions, which, moreover, closely interact and impact on one another” (Birke and Christ, 2013, p. 68). Furthermore, Stanitzek and Klein (2005, p. 35) criticise Genette for avoiding media or communication theory and his lack of willingness to categorise text as anything other than a book. Although this thesis focuses on books, it is important to consider forms of media other than a book, since a novel can be digitized to become an eBook, recorded as an audiobook or turned into a film. All these other forms of works come with their own sets of paratexts and to analyse these, Genette’s work alone with its limitation to books would be an insufficient concept for analysis. However, despite the criticism, Genette’s concept of paratext opened up discussions about texts and their surroundings and thereby paved the way for paratextual studies (Klecker, 2015).

Since the publication of Genette’s *Paratexts*, the only comprehensive and updated work on paratexts published is Batchelor’s *Translation and Paratext*⁹. There were, however, numerous publications on individual types of paratexts, including paratexts in translation. Due to the lack of an updated, comprehensive account of paratexts and their functions, this thesis will combine recent research with Genette’s foundations. Where data are available, this theoretical work will be combined with the results of the reader-response study to compare the intended functions and effects of paratextual elements with the actual effects they have on readers. Although Genette’s work is the most seminal in the study of paratexts, he pays no attention to the special importance paratexts have for translated literature, as mentioned above. Paratexts function as mediators between different cultures, which is why there is an increasing number of researchers working on paratexts in translation. Recent paratext scholarship has focused on specific aspects, such as translation (Kovala (1996), Yuste Frías (2012) and Pellatt (2013b)), cover designs and illustrations (Beckett (2009) and Powers (2001)) and intersemiotic translation has been extended to book covers (Sonzogni (2011)). In his research, Kovala (1996) identified four distinct types of paratexts which can be widely applied to paratexts in other contexts. The first of these types (also chronologically the first) is the ‘modest paratext’, which only includes the title, the author and possibly the price on the back of the book. The second type is the ‘commercial paratext’, whose main function is to advertise books by the same publisher and therefore includes advertisements on the back cover or the last pages of the book. In some books, these advertisements can also be found as insertions between the

⁹ Batchelor (2018) was published before the final submission of corrections of this thesis, however, the publication was too late for the book to be incorporated into this thesis.

pages. The third of the paratextual types Kovala distinguishes is the ‘informative paratext’. Its central purpose is to describe and contextualise the work and therefore often includes long prefaces, blurbs and note sections. The fourth type is the ‘illustrative type’ which makes use of eye-catching illustrations on both the front and back cover, and sometimes also within the text (Kovala, 1996). These different types of paratexts can be found in any publication, regardless of whether it is a translation or not. The paratextual analysis in this thesis will include the different types of paratext. From modest paratext as found on some of the non-fiction covers, the informative paratext found on most back covers in form of a blurb and the illustrative paratexts which are the illustrations found on most front covers.

2.1.1 Paratexts as Intersemiotic Translation

Most literature and scholarship on translation refers to what is usually called ‘translation proper’, namely the translation between different languages. However, translation does not only include the translation of a text from one language into another. Jakobson (1959) defined three different ways to interpret, or translate, a verbal sign: intralingual translation (rewording in the same language), interlingual translation (translation between languages) and intersemiotic translation. Intersemiotic translation, or ‘transmutation’, is thus the interpretation of a verbal sign “by means of signs of nonverbal sign systems” (Jakobson, 1959, p. 233). He refers to different systems of signs, which, in intersemiotic translation, means the signs of one system transposed as signs of another, e.g. a text is translated into illustration, music, dancing. Examples of intersemiotic translations are book illustrations, depicting a character or scene described in the text. Jakobson’s definition shows that intersemiotic translation is not a translation in the standard sense, but rather a “transmutation of a verbal sign into another medium of expression” (Shuttleworth and Cowie, 1997, p. 86). Pereira (2008) explains the transposition of signs further by emphasising that this process can be regarded as the “essence of illustration, as illustration uses the literary text for reference, but it can also be valued independently as art” (2008, p. 106). Nevertheless, one important question remains, namely that of how and to what extent a picture, illustration or book cover can translate words.

Book Covers as Intersemiotic Translation

Following Jakobson’s definition, many visual paratexts can be regarded as an intersemiotic translation of the text. The most obvious of these intersemiotic translations is undoubtedly a book illustration, as it usually represents a character, a scene or a setting

of the story. There are other paratextual elements that qualify as intersemiotic translation. For example, in a study on the re-covering of Umberto Eco's *The Name of the Rose*, Sonzogni (2011) expanded the term of intersemiotic translation to book cover designs, where a graphic designer converts the book's verbal text into visual signs, i.e. the book cover. More than fifty years after Jakobson's, there are only a few studies focussing on book covers as intersemiotic translation. Sonzogni describes this field of research as "mostly uncharted territory" (2011, p. 5). At the same time, he acknowledges that considering book covers as the intersemiotic translation of a text has its limits since the cover cannot express the entire semantic scope of a text and is therefore always subject to a selection process. Consequently, illustrators or designers, as translators, have to make choices as to what should be represented in the illustration or cover design. Sonzogni further argues that a book cover should, first of all, represent the genre of the book, then its content and finally its setting. This definition seems rather idealistic, as it does not consider other factors: book cover design may also represent the standards of a publishing house or try to capture a certain fashion of the time of publication (Guthrie, 2011). Furthermore, the book may be part of a series and therefore display the series design¹⁰. In contrast to interlingual and intralingual translations, which can be checked for accuracy by being translated back into the source language (back-translation¹¹), intersemiotic translations are not accurate, because the loss of information during the translation process is very high. Therefore, back-translation in an intersemiotic context does not work, as the result will not be a recognizable copy of the original text, which was used as a source text for the intersemiotic translation. The reason is that an intersemiotic translation only establishes a partial equivalence between a book and its cover, as Sonzogni (2011) claims. These poor back-translation results are, according to Mossop (2018), unavoidable due to the fundamental differences between pictorial and linguistic translation. Pictures are concrete while being highly indefinite whereas words have an abstract yet definite meaning (Mossop, 2018). Therefore, he assumes an intermediate position neither saying that book covers cannot be intersemiotic translations of a book nor that they definitely are. This means Mossop suggests to go back to the roots of intersemiotic translation and "use such a word as Jakobson's 'transmutation' for inter-media work involving images rather than 'intersemiotic translation'" (Mossop, 2018).

¹⁰ See chapter 7.2 for the special characteristics of book series cover designs.

¹¹ Back-translation is a process where a text, which has been translated into a given language, is retranslated into the source language. It is for example used in bible translation to show the different structures and concepts of the source and target language, or in contrastive linguistics to compare specific linguistic features of two or more languages (Shuttleworth and Cowie, 1997).

Partiality is not a unique feature of intersemiotic translations but applies to all translations. Tymoczko emphasizes that partiality (in both senses of the word) is not necessarily a mere defect of a translation, but rather a factor that makes it partisan (2000, p. 24). In other words, in any type of translation, partiality is present to some degree, but it is certainly present to a high degree in intersemiotic translations and especially book covers. When analysing the cover it is therefore necessary to determine where and to what degree a partial equivalence is existent (Sonzogni, 2011). Mendelsund (2014) raises the question of whether cover designers actually need to know what the book is about before they start the design process. The importance of the book's content for the cover design is emphasized by Hendel (1998), who names the author's words as the heart of book cover design, as being the necessary tool to solve design problems. The designer needs to know what the book is about and how it is written but does not necessarily need to understand the whole content of the work, Hendel says. Nevertheless, the designer needs to have a general idea of the book's content, its main characters and settings as well as the target readers, as they influence the design choices (Hendel, 1998). It has to be taken into consideration, as Yampbell (2005) points out, that cover illustrators will not always read the entire manuscript before they start designing the book cover, which is not necessarily a result of a lack of interest, but often due to time constraints. It is therefore common that cover illustrators only receive the book's blurb or skim its contents. The assumptions they make based on this limited information might therefore be wrong and result in a book cover that does not only misrepresent the content but could be highly misleading for potential readers. The decision to design a cover which misrepresents the book might as well be intentional, in order to be sensational and sexy, merely designed to grab a reader's attention (Pellatt, 2013b). In addition, a cover may be considered superficial, it may also be ineffective, or just incorrect (Yampbell, 2005). This incorrectness mentioned by Yampbell is however difficult to judge, as book cover designs are, as translations of a text, subject to the interpretation or the potentially ideologically biased point-of-view of the publisher or designer. What seems correct to the designer might seem misleading or incorrect to someone else. The case of actual incorrectness could therefore, if at all, only be established when a cover shows an illustration that is not related to the content, the setting or the context whatsoever.

Intersemiotic Translation in an Interlingual Context

The intersemiotic translation described above first of all relates to monolingual situations, i.e. intralingual translations. However, when situated in an interlingual translation context, such as in Chinese to English or Chinese to German translation, there are some further

factors that have to be taken into consideration, adding to its complexity. Neather (2014) describes six different relations, of which one is of relevance here: the TT paratext-to-paratext relations. This needs to be mentioned when “multiple visual paratexts of different types are employed in a single TT” (Neather, 2014, p. 508). These visual paratexts may include elements such as illustrations, symbols, typesetting. When analysing intersemiotic translations in an interlingual context, important questions are whether the illustrations are more source culture- or target culture-oriented or whether they show the source-culture in a target-culture-oriented view. Patten (2002) emphasizes that although they translate the same text (although in a different language) the illustrations may be completely different because they are target culture-oriented or they may be exactly the same when they remain source culture-oriented. In most cases, however, the illustrations or designs will be oriented at the target readers and their cultural context, especially if the differences between source and target culture are immense. In addition, an illustration might change the point of view, when, for example, a certain meaning is highlighted or suppressed. Patten raises the question of “control, authority, and *mimesis* – who, author or illustrator, is going to show what, actual or imagined event, when?” (Italics in original. Patten, 2002, p. 93). Whether the original illustrations are automatically included in the translations depends on who holds the foreign rights to the illustrations. If it is the publisher, it is likely that those rights are sold together with the rights for the text. In case the illustrator is the rights holder, the foreign rights will need to be acquired from the illustrator individually or replaced with other illustrations in the translation.

Integrity between Text and Book Cover

Even though Sonzogni admits in his conclusion that book covers “reveal not only the cultural assumptions of their designers but also those of their authors, of the publishers, of the booksellers and of the readers” (Sonzogni, 2011, p. 153), he ignores these aspects in his study and focusses only on intersemiotic translation. The study therefore represents only a limited scope of factors that influence book cover design. Nevertheless, the study gives valuable insight on how the content of a book influences the designers and therefore the cover itself. Building on this study and taking into account that, as established in the previous sections, all cover designs can be regarded as partial intersemiotic translations, this thesis further intends to analyse what these reveal about the publisher’s biased point-of-view, their marketing strategies and the use of these as a means to target readers. It further has to be taken into account that many book covers, especially those of classic literature series, might intentionally not include any illustrations or pictures on the book cover. This default design can be considered as a deliberate standing back and although

the intersemiotic translation might not be visible in the cover design, it nevertheless represents the book's content and reflects the publisher's decision about what should be said about the book and its content. Such a design can also be deliberately used to present a work as a 'classic', for example, or to make it the outstanding one in comparison to the majority of book covers, which are colourful and feature illustrations.

In contrast to Sonzogni, Pereira (2008) claims that the choices illustrators (and also cover designers) make are not innocent, as they can be influenced by different factors, such as censorship or the illustrator's political views, be they conscious or unconscious. These aspects affect the final design or illustration, in order to make them fit in with a specific stylistic or ideological trend, or place the book in a "specific or ideological current" (2008, p. 108). This is of special importance for this study, as cover designs are never 'innocent', or impartial, but designed to convey a certain view on China and its literature, and further also on its politics and human rights. In an earlier article, Pereira (2007) argues that four of the constraints that influence translations can also be applied to illustration, thus also to intersemiotic translation. These four constraints were first named by Lefevere (1992) and are the patronage represented by publishers and publishing houses as well as poetics, ideology and the universe of discourse which are related to the work and decision making of translators to adapt the translation to the ideals and fashions of the time.

2.1.2 Paratexts in Translation Studies

For many years, paratexts received little attention in translation studies research, even though paratexts may be crucial for the success of a translation. Whether a translation sells or not is decided by the quality of the translation, but maybe even more by the paratexts that surround it. The success of a translation could be described as a two-stage process. If the paratexts attract readers and grab their attention, they are likely to buy the book. However, the quality of the translation decides whether the reader will actually finish reading the book. Therefore, the paratexts may arguably have more influence on (initial) sales figures, profit and book rankings, whereas the quality of the translation has more influence on the reputation of the author (and ideally the translator) as well as the longstanding success of the book. Therefore, Paratexts initiate the start-up push of sales, but reader reactions and reviews will determine its long-term success. Apart from the undeniable importance of paratexts for marketing translated literature, they are also of importance for other areas within the field, such as history of translation, literary

translation, audio-visual translation and further for the analysis of ideological closure¹² in translation (Gil-Bardaji *et al.*, 2012a). Paratexts are also a valuable tool to contextualise translated texts and explore “implicit traces of ideological and socio-cultural motivation of translation agents” (Kung, 2013, p. 53). Not only in translation studies but also in other fields paratexts have long been regarded as trivial or marginal, although they offer an interesting view of questions of textuality and the readers’ reception (Kovala, 1996). Only in the past 20 years, have translation studies scholars become more and more aware of the importance of paratexts in translation.

In recent years, the number of published studies on paratexts in translation and translation research has increased. Kovala (1996) explores the tendencies towards ideological closure of paratexts and the role of paratexts as mediators between text and reader, emphasising that the need for mediation is much more urgent for translated literature. Despite admitting its importance, Genette omits translations from his discussion because of its vast scope (Genette, 1997b, p. 405). Tahir-Gürcaglar (2002) argues that regarding translations merely as a paratext of the source text, does bring “several disadvantages because it imposes a source-oriented and restrictive perspective on translation research” (Tahir-Gürcaglar, 2002, p. 59) and further states that researching paratexts of translations can provide information which cannot be gathered merely from the translation. Further noteworthy publications on paratexts in translation include Harvey (2003), who focusses on the bindings of gay fictional texts translated from American English into French in the late 1970s and Watts (2000) arguing that paratexts function as cultural translation. In addition, Alvstad (2012) analyses presentation strategies of translated literature in Sweden and includes epitexts created by the publishers in her research, which were excluded by Genette for their advertising and marketing function. She makes an important observation, namely that the strategies of many publishers of translated literature suggest a close relationship between geography and literature. Alvstad defines (cultural) geography broadly and includes history and social conditions in this definition. She claims that there is “a tendency to conceive of foreign literatures as a direct source of information on cultural geography, social conditions and history” (Alvstad, 2012) showing the close link and relationship between geography and literature. By emphasising this relationship, publishers seem to “cater for particular assumed needs of

¹² Ideological closure in cultural or media studies describes the use of strategies during the production process, “which lead the reader or viewer inexorably to one interpretation rather than the other” In: ‘Ideological closure’, (2006) in Bruce, S. and Yearley, S. (eds.) *The SAGE Dictionary of Sociology*. London: SAGE Publications, p.144 [Online]. Available at: <http://NCL.ebib.com/patron/FullRecord.aspx?p=334587>.

expectations in the target culture” (Alvstad, 2012, p. 87). Even though publishers might focus their strategy on the geography of the source text, this does not necessarily mean that the author is expected to act as a representative of their culture nor that reading their books will enhance the reader’s knowledge of its setting or origin, Alvstad points out. She states, however, that these books can increase the reader’s interest in these regions, their history, etc. There are several important edited books in the field of paratexts in translation studies. First, Dauven-van Knippenberg *et al.* (2004) which includes conference papers tackling a wide variety of paratexts from ancient to modern sources and across different media. Despite the wide range of paratexts investigated in this volume, none of the contributions is of importance for this thesis, which is partly because the low quality of writing in some chapters diminish their overall quality and relevance. Secondly, Gil-Bardaji *et al.* (2012b) investigate different paratextual elements which have direct implications for translations. The contributions research both paratexts on book covers (e.g. title) as well as in the book (e.g. prefaces) with the former being of relevance for this thesis. Finally, Pellatt (2013b) which includes papers on a variety of paratextual and peritextual elements of translation of German, Chinese and Czech source texts. Here, Müllerová (2013) is the most relevant contribution, investigating literary mystification as one way to avoid censorship.

Paratexts as Mediation

It is the special role of paratexts as mediator between the source culture of the book and the culture of the target readers which potentially influences how the readers read the book and how they receive the work. Of less importance is, according to Kovala (1996), their position around the text, as that is usually in accordance with the conventions of the target culture. However, the position of paratexts could be psychologically and ideologically significant no matter whether they are in accordance with conventions. For example, moving a foreword to the back and thereby turn it into an afterword will lead to a very different influence on the reader because they will read it after reading the main text instead of reading it before the main text. This different influence and impact on the reader will happen no matter what the conventions in the target country are. The differences between the presentation of paratexts of the source and target text can be significant, as Alvstad (2012) points out and she further elaborates that in the case of translated literature, the publisher acts as the mediating agent. Watts (2000) refers to paratexts as an instrument of cultural translation, as each work and each paratext addresses a “culturally-specific moment and a culturally-specific readership” (Watts, 2000, p. 31). Paratexts thereby project a singular version at the specific time and place of

their publication. However, Watts (2000) emphasizes that translations, which are received by a cultural Other¹³, have a secondary function, namely that of cultural translation.

Genette's Exclusion of Translation

Genette himself excluded paratexts in or as translation but admitted at the same time that paratextual relevance is undeniable (1997b, p. 405). Amongst scholars in translation studies, this exclusion is one of the most criticised facets of Genette's work see e.g. Kovala (1996); Watts (2000); Tahir-Gürcaglar (2002).

Summers (2013), who focusses on the authorship of paratexts, emphasises that the change in the author's authority over paratexts is usually greater in the source culture than in the target culture. The reason is that the author lacks a substantial presence in the target culture and is therefore dependent on others to be "(re)constructed through linguistic transfer to a new discursive context" (Summers, 2013, p. 12). This means that the author has to hand over the authority over their work's paratext to other agents, such as the translator, the editor or the publisher. This opposes Genette, according to whom paratexts are "characterized by an authorial intention and assumption of responsibility" (1997b, p. 3).

Paratexts in Chinese-English and Chinese-German Translation

So far, there is only a small number of researchers focussing on paratexts in Chinese-English translation, for example Pellatt (2013a) who analyses and compares the packaging and other paratexts of the original and the translation Zhao Ziyang's memoir, Neather (2014) who focusses on the use of visual paratexts in literary translation, especially translations of classical Chinese literature and Kung (2013) who investigates how paratexts are used in the translation series *Modern Chinese Literature from Taiwan* published by Columbia University Press. Furthermore, *The Routledge Handbook of Chinese Translation* includes a chapter on the translation of Chinese paratext and Chinese paratext in translation (Pellatt, 2017). As mentioned previously, there is no research on paratexts in Chinese-German translation; it is only mentioned in a small number of PhD theses on other topics.

¹³ The cultural Other will be discussed in Chapter 4.

2.2 Front Covers – Judging a Book by its Cover

Although more and more studies on paratextual elements are published, they often treat only one single paratextual element and only rarely a variety of paratexts. For example, many studies on book covers focus only on one aspect, such as the design aspect or illustrations, e.g. Sonzogni (2011) and O’Sullivan (2005), and many of these studies have a strong focus on children’s books, e.g. Beckett (2009) or Powers (2003). Very few studies deal with a wider range of paratextual elements. The reason might be that the cover of a book is, without doubt, one of the most important paratextual elements in publishing, because it “is a selling device, close to advertising in its form and purpose” (Powers, 2001, p. 6) and should together with the blurb “lure readers into purchasing the book” (Yampbell, 2005, p. 348). In addition, the book cover is a paratext that comprises several paratextual elements, offering many starting points for paratextual analyses. Interestingly, industry publications, such as *The Author* and *The Bookseller* rarely cover book covers in their articles other than mentions of design awards and shortlists. While *The Author* focusses more on practical advice for writers, *The Bookseller* mainly reports on general industry trends, charts and industry news. There does not seem to be a specific professional publication focussing on book cover design, which is comparable to the two above two publications. From own experience of working in book publishing, book cover designs are often heavily based on experience of the sales team and compared to other titles to place the book into a specific market space. Book cover designers often commission large parts of the actual design, be it the cover illustration, photography or typography which they then combine into a cover design. Book cover design draws on different design areas and it is therefore likely that book cover designers consult publications in the different areas, such as general design, illustration or typography rather than having “their own” publication in order to expand their knowledge, stay up to date with trends etc.

2.2.1 Colours and their Effects on Readers

Colour perception is primarily a physiological process created by the separation and recombination of the two properties of light, namely energy and wavelength. This means that neural programs create colours and project them to the outer world one sees (Gouras, 2009). When choosing colours for cover fonts, illustrations and imagery, publishers try to attract attention, evoke associations and emotions that eventually result in a purchase and colours are therefore an integral part of book cover designs and marketing strategies. Colours are an important factor when customers decide what they like or dislike.

In general, all colours have a tendency to be perceived as either warm or cold. This influences the effect they have on a person. In addition to this, many colours can be linked to specific feelings, such as ‘blue’ being associated with ‘balance, stability’. Sometimes, a colour can be linked to opposite emotions, depending on a second colour it is combined with. ‘Red’ in combination with light colours is linked to ‘joy, pleasure’ but in combination with black it is associated with ‘anger’ (Kobbert, 2012). Aslam (2006) created a table which indicates the meanings and associations of colours in selected cultures. The most important colours for this thesis are red, yellow, black and white, which, according to Aslam’s table have the following meanings:

	Anglo-Saxon	Germanic	Chinese
Red	Masculine Fear Anger Love Lust	Fear Anger Jealousy	Love Happiness Lucky
Yellow	Happy Jealousy	Envy Jealousy	Pure Good Taste Royal Authority
Black	Expensive Fear Grief	Fear Anger Grief	Expensive Powerful
White	Purity Happiness	-	Death Mourning

Adapted from Aslam (2006, p. 19)

Even though the table is based on relatively dated research, it gives valuable insight into the different meanings a colour can have in different cultures. Interestingly, the association of red with love is missing despite the fact that “Rot wie die Liebe” [red like love] is a commonly known phrase in Germany. Whereas the differences in meaning between the Anglo-Saxon and Germanic group are minor, the differences between these two cultures and the Chinese culture are at times significant. For example, yellow is associated with jealousy in the two western cultures but with purity and royalty in China. An equally stark difference can be found when looking at the meanings of white, which is considered happy and pure in the Anglo-Saxon group but has the meaning of death and mourning in China. There are similarities, however, such as the association of red with love, which can be observed in Chinese as well as the Anglo-Saxon group.

Both single colours and colour combinations can evoke emotions and feelings such as energy, calmness and excitement and are called colour emotions (Ou *et al.*, 2004a). Ou *et al.*’s research showed that there is no significant gender difference in colour emotion

responses for single colours. However, they found a poor correlation between Chinese and British participants' data. In the experiment, participants were shown definitions of 10 colour emotions. Following this, they were then asked to compare a colour-emotion word pair, such as warm-cool and to pick one of the pairs in association with the colour they were shown. Chinese observers preferred clean, fresh and modern colours. This preference could not be observed in the British group. When they looked at colour associations with the emotions tense and relaxed, British participants associated active colours with tense, whereas Chinese participants associated hard, heavy, masculine or dirty colours with the same emotion (Ou *et al.*, 2004a). In the second part of their study, Ou *et al.* (2004b) expanded the association of emotions with single colours to two-colour combinations. They found out that there were only minor differences between males and females for all colour emotions associated with two-colour combinations. The exceptions were the colour emotions masculine-feminine and like-dislike. For the latter emotion-pair, women tended to associate 'like' with 'light', 'relaxed' and 'feminine' colour pairs. For men, this correlation did not occur. The study used British and Chinese subjects and the results of the study showed that there are no significant differences in terms of colour emotions between the two groups (Ou *et al.*, 2004b). In part three of the same study, (Ou *et al.*, 2004c) researched colour preference, i.e. whether a colour or colour combination is preferred. There are several factors which can influence colour preference, including gender, age or geographical region. Their results show that colour combinations can be judged as harmonious but still disliked and equally, disharmonious but liked. In their study, the first case occurred more often than the second. According to Ou *et al.*, the reasons for this may be that "colour preference is one of the factors that influence observers' judgement on colour preference, whereas the judgements on colour preference are dominated by subjective criteria such as personal taste and the effect of cultural difference" (Ou *et al.*, 2004c). This study suggests that for colour emotions for single colours, the cultural background of the participants might be more significant than gender, whereas for colour emotions for colour combinations, gender might be a more significant factor than cultural background or nationality. When looking at colour preference, factors other than gender might be equally as significant.

Besides being a physiological process, colour perception is also influenced by other factors, as Eco (1996) emphasises. He further suggests that culture conditions the perception of colour and that by using a colour term this term is connected to a cultural concept. This means that there is a "semiotic relationship between the linguistic

expression and the meaning and content culturally correlated with it” which determines the transformation of a sensory stimulus into a precept (Eco, 1996, p. 152). Therefore, the effects of colours on people are not universal and colours can evoke the opposite emotion or reaction in a person than in the majority of people. Besides cultural and regional differences, Aslam (2006) suggests that “local customs and demographic factors such as age, sex and ethnicity may also be considered in explaining the communication values of colour” (Aslam, 2006, p. 20). In the past, the assumption that colours have the same meaning and effect on people around the world often led to cultural *faux pas* in marketing (Aslam, 2006). It is therefore necessary to reconsider the colour choice for book covers whenever a book is translated and published for a different market in order to achieve the desired effect. Associations evoked by stimuli such as colours, images and words are structured in the mind and form association networks. Furthermore, they are influenced by social settings, occasions and places.

When analysing the colours chosen for a cover design, one has to take both the effect and the symbolism of colours into account. Whereas the effect of colours relates to the psychological effects and the emotions, the symbolism of colours describes (a sometimes authoritarian) classification. Classification can be authoritarian when, for example, symbolic meaning is determined by a government or ruler. This was the case in ancient China, where yellow could only be worn by the emperor as well as in England during the reign of Elizabeth I., who restricted the wearing of purple clothes to members of the royal family (Queen Elizabeth I. and Dyson, 1618). This is why until today, yellow is associated with the emperor in China and purple to royalty in England. Another example is that since the communist revolutions in Russia and China, red is usually associated with communism or Maoism. These are only three of many examples where colours gained a specific meaning due to political circumstances.

The importance that the colour of the book cover has in terms of identification, localisation and guidance for the reader, besides the eye-catching and marketing functions, becomes obvious when analysing the covers of literature in Chinese-English or Chinese-German translation. Here, publishers often choose red or yellow as the base or dominating colour for the book covers, because these two colours are those most people associate with China, for several reasons. First, red is the colour usually associated with communism or Maoism. Second, yellow has historically been associated with China in Western countries, for example because Westerners often perceive the skin of Chinese

people to be of yellow colour and the so-called ‘yellow peril’, the fear of Chinese immigrants. This term became increasingly well-known in the United States after the first novel depicting a Chinese invasion appeared in 1880 and soon spread around the world. For example, in Germany, Kaiser Wilhelm II. commissioned a painting of the *Gelbe Gefahr* [yellow peril] in the 1890s (Dower, 1993). The third reason for choosing red and yellow is that both colours constitute the Chinese flag. Designers and publishers choose these bright signal colours to evoke instant associations and capture the readers’ attention.

2.2.2 Typography

Although the book jacket is an integral part of the book, Powers (2001) claims that its design was still considered to be a stand-alone item, which has little or no relation to the typography of the book itself. This observation seems to have changed in recent years. In 2008 Van Leeuwen emphasised that there is a move to multimodality in visual communication which he describes as necessary since today’s communication has changed: the image is becoming less important and other forms of visual communication, such as typography and colour are becoming increasingly important (2008). The typography found on the covers is an important paratext which can be expressive, it can scream or whisper, it may have a regional accent. It can also be strong or fragile, beautiful or vulgar, or all at the same time, as Williams and Hildebrandt (2013, p. 9) point out. In addition, typography can also be very low-key and convey the message in a subtle manner. The typography always depends on the context, and therefore there are no existing general rules when to use which type. It aims to support the content of the text, no matter whether it is a novel, a user’s guide or an advertisement. To decide on the appropriate typography, the designer has to analyse the circumstances, under which the text will be read. Another aspect that has to be considered when choosing the type is legibility. A text can be considered as legible, when the reader does not realise that s/he is reading. As soon as the reader has to focus on deciphering instead of understanding the content of what he or she reads, the text can be considered insufficiently legible (Williams and Hildebrandt, 2013). Lewis (1956) emphasises that in titles, where the basis of the design is lettering and typesetting, the designer is more or less free to choose the font, especially, as the type on the covers does not need to belong to the same family of typefaces used for the main text. Although a book cover or jacket may be purely typographic, the type matter may be printed on a light background picture, graphic design, a photograph, etc. However, it is of great importance that the type and background colours contrast strongly to avoid the title typography from becoming illegible (Lewis, 1956). Style, tone, form, etc. all

contribute to the meaning-making of typography. According to Van Leeuwen (2005), modern typographic communication is multimodal, since it creates meaning not just with the form of the letters but also with texture, three-dimensionality or colour. The incorporation of iconic elements has led to a blurring of the boundaries between image and typography and therefore re-established a connection which “has been lost in the course of the development of the alphabet” (2005, p. 141).

Foreign Typography as a Means to Exoticise

Chinese characters are another paratextual feature often used for the cover design of translations of Chinese books. Although most Western readers cannot read them or distinguish whether the characters are Chinese or Japanese, they instantly anticipate that the book must be from or about China or East Asia. Adding Chinese characters does not necessarily mean that these are the characters of the Chinese title. They could also be randomly chosen for their looks or calligraphy could be used as a background illustration. By adding Chinese characters to the cover design, the publishers create expectations about the book in the readers and use a form of exoticizing in order to grab their attention. In addition, the book is placed into a distinct cultural context and by emphasising its foreignness contributes to the creation of the book’s identity. The use of exoticizing elements on book covers is used by Western publishers, for example by including Chinese characters, but is equally employed by Chinese publishers, who include alphabetic type in the cover design. For example, Taiwanese poet Hsia Yü often uses alphabetic type (e.g. English translation of the book title) on the front covers of her Chinese books¹⁴. The language of choice in these cases is usually English, which not all Chinese readers might be able to instantly or completely understand. In both cases, this creates an exoticizing effect.

2.2.3 Functions of Book Covers

The functions of book covers include suggesting setting and content to the readers and capturing their interest. But these are only some of the functions they have. Salter defined his own standards, which can also be regarded as functions, for book jacket designs:

A good jacket must be more than a record or a report. It must transmit a mood. It must appeal to the imagination. It must be in perfect accord with the literary quality of the book. It must be even more if it is to function as an important sales factor, if it is to “stop” the eye of the person passing by [...]. (Salter, cited in Hansen, 2005, p. 46)

¹⁴ See for example *Pink noise* 粉紅色噪音 (Hsia, 2007) or *Salsa* 夏宇詩集 (Hsia, 1999).

This definition might be relevant for most book cover designers and summarizes well the main tasks of a book cover: transmitting emotions or moods, displaying the work's quality, pushing the sale of a book and catching the reader's eye.

Sonzogni (2011) describes the functions of a book cover in more detail, with its first function being that of providing visual information for the readers that enable them to choose either to read or to discard the book, or at least to decide whether they want to take a closer look or not. This process usually happens within seconds. The second function is to inform the reader by displaying the author and the title and further by summarizing the text in images and words. The third function Sonzogni mentions is that of reminding the reader of "what he [sic] already knows about the text" (2011, p. 16). This last function, which is not specified in more detail by Sonzogni, could, for example, refer to the reader's previous knowledge about author, content or topic, setting, and cultural or historical background.

2.2.4 "Telling" the Book Cover

Kratz (1994), focusses less on the actual design of a book cover, but instead on the way readers perceive it. Kratz analyses the different ways of what she calls "telling a book cover". She defines telling as an articulation of what appears to be on the cover of a book and emphasizes that even though telling is closely related to reading, it stresses more a formulation in writing or speech than reading. It also "involves recognizing and distinguishing objects, evoking broader cultural understandings through condensed visual signs" (Kratz, 1994, p. 180). This cultural understanding, mediated through the paratexts, is a very important factor when analysing the paratexts of translations because these usually involve a 'cultural Other'. Kratz further divides the telling of book covers into three different ways: telling as allegorical narrative, telling as categorizing and telling as identity and lure. Telling as allegorical narrative only involves the front cover, which is used to "tell a particular kind of story, highlighting issues urgently relevant in the wider political context of our times" (Kratz, 1994, p. 181). The topics of these tellings are relations of race, gender, politics and power. In addition, some cultural conventions figure in them, such as conventions of space or gesture. They are the basis for the interpretation of a book cover. The second way of telling that Kratz names, is telling as categorizing. She states that, in contrast to the well-known and old saying, a book can actually be told by its cover. This form of telling occurs before the reader starts to read the book and helps the reader decide whether to buy and read a book or not. Therefore, both the front and

back cover are important, because they help to distinguish the book by genre and market. The third way of telling is, according to Kratz, the telling as identity and lure, which does not only occur before reading the book. Kratz (1994) claims that the lure continues after the reader buys the book, browses it and reads it. Lure continues during reading but usually stops before “trap” operates and the readers are captured by the book or story. On the one hand, this form of telling conveys the identity of a book; on the other hand, it also attracts the readers’ interest and lures them into buying the book. For this telling, the front cover is more important than the back cover because it helps to make the book “individually recognizable” (Kratz, 1994, p. 186).

To summarize, the book covers fulfil several roles and the reader has various ways of telling them. These tellings are dependent on the cover design. For example, a solid coloured book cover might neither reveal the context nor genre or content. It might, therefore, arouse the readers’ curiosity in it and thereby lure them into buying it. However, this effect is not at all certain or guaranteed. A solid coloured book could also have the opposite effect, i.e. not catching the readers’ eye and due to the lack of instantly visible information about the content or setting, cause them to pass by. Such a design is often used for well-known book series. Readers buy these books intentionally, but in cases where titles compete with other more colourful designs, a solid-coloured design may not be suitable.

2.2.5 Influence of Retailers and the Market on Book Cover Design

Besides publisher, author, illustrator and designer, there are other agents influencing final decisions on book cover designs, such as retailers, as they are the ones finally presenting the book to potential readers. Therefore, it seems common that after the internal decision process, the decisions will be remade externally, as Baxter (2005) points out. By taking retailers’ feedback seriously and thereby passively involving them in the decision-making process, publishers want to prevent designing a book cover that is not approved and may not be displayed or, in the worst case, not stocked by retailers. The reason for publishers to put so much trust into retailers is their experience, as they sell the books to the customers. Baxter cites Julian Humphries, art director at HarperCollins saying that “this goes beyond simple aesthetics judgements” (Humphries, cited in: Baxter, 2005). But retailers are not the only external influence on a book’s cover design. Publishers always monitor the publications of other publishers, in order to keep up with changes in fashion. Baxter further cites Donna Payne, art director at Faber & Faber, saying that there is more

freedom for creativity in the hardcover market. The reason is that readers buying hardcover versions instead of paperbacks usually do so because they admire the author or because they want to own the book, maybe simply because of its design. Therefore “the cover is less about just looking commercial, but looking beautiful and tactile” (Payne, cited in: Baxter, 2005). Therefore, retailers in response tend to display the hardcover books in stores more carefully and with better lighting, Payne adds. Despite the several accounts of retailers making the final decision about book covers, it is to be questioned whether this is true for all book publications and for all book markets. Involving the retailers after the design process is finished might lead to a complete redesign and therefore higher costs and a delay in book production. It therefore has to be assumed that only large publishing houses or publishing groups involve the retailers in the cover design process and then possibly only for books that are expected to sell very well. Employing this method for a paperback edition of a translation of a new Chinese author is therefore highly unlikely.

2.2.6 Book Covers as a Means to Manipulate Readers

As outlined briefly in Chapter 1, manipulation does not necessarily have a negative connotation. This concept is discussed in more detail in Chapter 3.

The design process of a book cover is not as innocent as one might think, for several reasons. First, the cover designer is primarily a reader of the book (Mendelsund, 2014) and therefore interprets the book in his or her own way, which will impact on the cover design. It is therefore possible that a cover design might perfectly reflect the designer’s interpretation of and associations with a book’s content, but at the same time, might not reflect the majority of the readers’ associations or interpretations. Second, the cover designer’s views or ideology will most likely influence the cover design, be it unconsciously, where the designer is not aware of this influence, or consciously, where the cover designer might try to convey a certain view, opinion or ideology through the cover design. Third, the cover design can be actively used to target readers and lure them into buying the books. Capturing the reader’s attention through an eye-catching design is the first step towards a possible purchase (Sonzogni, 2011). For the sole purpose of catching the reader’s eye, the cover does not necessarily need to represent the book’s content, as the choice of colour, elements and illustrations is of much higher importance when the reader sees the book for the first time. Representations of content, setting and atmosphere become more important when the reader’s attention has been captured and he

or she takes a closer look at the cover in order to get a first glimpse of what the book is about or which genre it belongs to (Sonzogni, 2011). And fourth, the publisher could try to manipulate the readers' views or opinions through the cover design. This method is most likely to be found in covers for books with political, critical or historical content as well as translations from unfamiliar foreign cultures where the publisher might be more likely to use stereotypical images or elements that will reinforce the readers' existing stereotypes rather than changing them.

I suggest various ways in which manipulation of readers through book covers could be achieved. The first is to include the photo of the author on the cover design, a method which will arguably create a more personal relationship between reader and author. It is often used for (auto-) biographies in order to give the usually "unseen" author a face. This creates a more personal relationship between reader and author (or subject) which could be regarded as a form of psychological manipulation. Another method could be to include praise and reviews, preferably by a famous author or a journalist of a well-known and recognised journal or newspaper, on the front cover, in order to convince the reader of the book's or author's quality. If the reviewer or author of the praise is someone the reader knows and trusts, he or she is more likely to take a closer look at the book, even if they might not be very interested at first. A third way is the inclusion or omission of certain aspects or elements when designing the cover in order to create a very specific image of the book's content. By emphasising certain aspects of the book's content, setting or atmosphere, the reader's attention can be captured. This emphasis on specific aspects can also suggest a slight shift in the book's content, genre, and atmosphere. A very drastic decision would be the creation of a book cover which has no real connection to the book cover and is furthermore misleading by suggesting aspects, content or setting which are not part of the book. This decision to design misleading book covers is dangerous and could result in completely opposite reactions from readers than intended. They might still buy the book, but once they find out that they have been misled and that the book is not at all what they expected, they could put it aside and never finish reading it. This might, in turn, reflect negatively on the publishing house or the author, and readers might be more aware when buying one of their publications, having in mind that their last purchase was a disappointment. Therefore, the marketing and design strategy for a book and its cover have to be wisely chosen and the risk needs to be calculated carefully.

2.3 Titles

According to Genette (1997b), the title of a work has three main functions, namely to identify the work, to designate its content or topic and to make the book stand out. The title is the point where the text “begins to indicate itself [...] by statement, suggestion, or connotation” (Brookes, 2009, p. 18), which influences, together with other paratextual elements, how the reader approaches and reads the book.

The task of every title is paradoxical; it eludes rational generalization as much as self-contained specificity. [...] Actually, the paradox of the work of art is recapitulated and condensed in the title. The title is the microcosm of the work, the scene of the aporia of literature itself. (Adorno *et al.*, 1991, p. 4)

This statement by Adorno illustrates the balance a title needs to strike: indicating the content, setting and genre without revealing too much and thereby “disenchant” the book itself. Genette (1997b) further emphasizes that only the first function, namely identification, is compulsory and always present, whereas the other two functions are optional and additional. No matter how well a book designates its content, Marín-Dòmine (2003) argues that book titles could be regarded as proper names. Marín-Dòmine suggests that the decoding of the book’s title takes place “after the reading has come to an end, and that in many cases author’s choice and reader’s reception would not achieve the same semantic appreciation” (2003, p. 133). This means that proper names and book titles share similar semantic characteristics, such as an intention of meaning.

The three functions named by Genette are not dependent on one another, as a title may be identifying the work and attracting readers without designating the book’s topic. For readers, the first two functions might be the most obvious and important ones, as they might expect the title to indicate the theme of the work. Therefore, a bad title will influence or even change their perception of the book and its meaning (Landers, 2001). Defining a bad title is difficult, however, as the reception of a title can vary depending on the reader. Commercially, a bad title is a title that does not attract but rather repels readers, resulting in the book not selling well. Furthermore, titles that promise readers something the book cannot live up to, are confusing or without connection, could be considered bad titles. Nevertheless, in some cases these titles are chosen intentionally; they are obscure in order to add mystery to the book. In addition, not all titles which are repelling, nasty or obscure, or seemingly of thematic irrelevance are necessarily bad titles, as this might be a desired effect for books of certain genres, e.g. horror, which can be more intriguing than a non-repelling title. The function that all book titles should ideally fulfil is, however,

to be memorable. A title that readers cannot remember is a title that fails to make the book identifiable and stand out.

Besides the functions of titles, there are characteristics that titles should ideally possess. The first characteristic which Landers names is catchiness, as this attracts the reader's eye. Second, thematic relevance, as this gives the reader a first idea of the book's content. The third characteristic is curiosity because it captures the reader's attention. Some titles feature a literary allusion, "that resonates for a large portion of the potential readership" (Landers, 2001, p. 143), but this is not a characteristic that all titles ideally need to or should possess, as it is highly dependent on the book's genre.

Finding the Right Title for a Translation

Adorno (1991) claims that it is easier to find a title for someone else's work than for one's own, due to the fact that the unfamiliar reader does not know the author's intentions as well as the author does. Therefore, everything s/he reads crystallises into a figure, "like a picture, a puzzle, and the title is his response to the question the riddle poses" (1991, pp. 4-5). In today's publishing landscape, the author might not be involved in the final decision for the title anyway, because it is sometimes the publisher's or the marketing department's decision that supposedly helps to sell the work. However, it is impossible to generalise how involved the author is in the decision on the title, as literary agent Rachelle Gardner (2010) points out. She further claims that a first-time author typically does not "have a contractual right to make final title and cover decisions and doesn't have final approval of whatever the publisher decides" (Gardner, 2010) as it is usually the marketing department or the editorial team who chooses the title. Nevertheless, some publishers take the author's opinions into account while others decide on titles without even consulting the author, Gardner further states. Whether this is the case for both original works and translations remains unanswered at this point. The translators might play a more important role in finding the right title than the author of the original work, a question, which will be investigated in section 8.7.

The involvement of editors and marketing teams in the choosing of a title is certainly not unusual for translated literature, a fact that Landers (2001) does not consider: he emphasises that when a title is not straightforward and therefore not easy to translate, settling the title too early in the translation would be a mistake. Therefore the translator should wait either for the translation to be completed to make a decision or until inspiration strikes (Landers, 2001). Even if a translator suggests a title, the publisher may

not necessarily go along with the suggestion. Landers further states that the choice of title is critical, because inaccuracies within the main text may be easily overlooked, but an error in the title “will be there every time the book is referred to, and each mention will reinforce the mistaken impression it conveys” (Landers, 2001, p. 142). Therefore, using Genette’s definition of a title’s function as identifying the work, an erroneous title could cause an ‘identity crisis’ for the book, impacting eventually on sales figures. However, as pointed out before, it is not always easy to judge whether a title is erroneous, as it might have been chosen for exactly the purpose to irritate, arouse curiosity or even to repel.

Landers (2001) claims that when literature is translated into another language and cultural context, the title is of even more importance than for the original. Especially in English-speaking countries, where readers are less exposed and therefore less accustomed to reading foreign works, the title is crucial to help sell a translated book (Landers, 2001). However, it would be difficult to measure the importance of translated titles in comparison to original English titles. In any case, the title is one of the most important paratexts of a book, no matter in which language it was originally published. Sanchez (1999) points out that it may seem that translating a title, rather than adapting, would be the easiest option when a book is translated into another language. However, translators are often faced with challenges, such as polysemous titles, which cannot be easily translated into the target language. In this case, the translator usually has to make a choice which of the meanings should be translated into the target language and which should be dropped. As a consequence, translated titles often lose their polysemy and become monosemous in the target language (Sánchez, 1999). Apart from the problem of polysemous titles, translating a title into another language is difficult and it is often necessary to change it completely. The reason for a change often arises from the cultural, linguistic, historical, or even geographical differences between the source language and culture, and the target language and culture. No matter whether the title is translated, or changed and adapted, its main purpose is to provide easier access to the work and a bridge to the Otherness (Landers, 2001). Therefore, the title clearly functions as a one of the thresholds to the book, which marks the boundary of a new deictic field (see section 2.1 for paratexts as boundaries of deictic fields).

2.4 Back Covers and Blurbs

Back covers are possibly the second most important paratext for a book and especially its marketing strategy, after the front cover. The back cover occasionally features some of

the design or pictorial elements of the front cover and usually is designed using the same colours. It may contain different elements, such as a reminder of the author and the title of the book or it may use the title to reinforce the book's product-placement, press quotations or praise for author and/or book and the blurb (see definition below). Despite the fact that the blurb, which informs the reader of the content and setting of the story, should be the most important element on the back cover, some books do not even feature a blurb on the back cover. There are several possible reasons for the exclusion of a blurb. Firstly, the blurb might be located in another place within the book, such as the inside flap(s) of a hardcover book; secondly, the author is famous and the readers are expected to buy the book because of the author rather than its content and thirdly, as part of a marketing strategy where the publisher might think a blurb is unnecessary or the exclusion of a blurb would increase the readers' curiosity. However, the absence of a blurb might also result in readers rejecting the book, because there is insufficient information on content and setting.

2.4.1 Blurbs

Blurbs are important marketing elements and, if present, are usually placed on the back cover of a paperback book or on the inside flaps of the dust jacket of a hardcover book. They inform the reader about the book's content, which is, due to limited space, an abbreviated summary of the plot (Squires, 2007), its setting, main characters or even the story's background. Blurbs further offer the possibility to introduce the author (Kovala, 1996) and offer space for laudatory excerpts and praise.

Whereas the definition of the blurb as well as its possible contents is rather undisputed, its functions are subject to discussion and a blurb's effect on the reader is judged in various ways. Waring (1995) argues that the function of the blurb on the back cover is "one of economic interpellation. Its goal is to persuade the reader to buy the book, to convince the reader that the text 'speaks' to her or him" (Waring, 1995, p. 460). This, of course, requires the reader to take notice of the blurb, which may or may not be the case. Taking notice of paratexts such as the blurb does not automatically mean appreciation as argued by Procter and Benwell (2015). Their study has shown that reading a book does not necessarily mean that the readers approve or are satisfied with marketing elements, such as the blurb. Furthermore, their research on transnational book clubs and their reception of literature has shown that the readers are much more "savvy and self-aware customers than the academic accounts have tended to give them credit for" (Procter and

Benwell, 2015, p. 150) and in addition, they are often aware and able to identify those paratextual elements which are aimed solely at marketing. Their study shows that readers are not necessarily victims of marketing, unaware of being targeted by the publisher, but often well-informed customers. Therefore, in order to assess the functions and effects of a blurb, I have followed the textual analysis with a reader-response study.

2.4.2 Categorisation of Back Cover and Blurbs

Publishers make use of different styles and include different kinds of information in a blurb. I propose to divide back covers into four different categories: informative, promotional, biographical and mixed. Even though many blurbs do include different elements, this categorisation can be used to determine the most dominant features and the general impression that the readers have of the blurb. The categories can be defined as followed:

1. Informative back cover: provides information about the book, its content, setting, main characters in the blurb. Also provides background information.
2. Promotional back cover: Uses catchy keywords, pictures or elements to attract attention and advertise the book. Primarily focuses on advertising the book's or writer's quality or importance and why the book is a must-read. Can further include praise, e.g. from newspapers, magazines, ideally well-known writers or praise provided by the publisher.
3. Biographical back cover: focuses on the writer's background, biography and standing.
4. Mixed back cover: Back covers with a mixed style, i.e. cannot be clearly attributed to one category. Back covers of this category are the most balanced and offer the reader a broader picture. They include a blurb, biographical information on the author as well as marketing or advertising elements.

These categories will be applied to the back covers and blurbs during the paratextual analysis in section 6.3.

Chapter 3. Background #2: Manipulation, Marketing, and Images

This chapter provides a literature review of one of the main aspects of this thesis: manipulation, marketing and images. Section 3.1 deals with manipulation in four different fields: in translation, advertising and publishing, and that of readers and paratexts. This is followed by a section on consumer psychology and decision making, providing a basis for the analysis of the reader-response studies later on. In Section 3.3, the issue of marketing and advertising translations is tackled, focussing on the importance of front covers and how readers are targeted. The last section in this chapter, Section 3.4, is about image theory, with a special focus on signs, icons, indexes and symbols as well as the semantic and syntactic properties of images. Both aspects are then applied to book covers.

3.1 Manipulation

In a very general sense, manipulation is often associated with distortion and has therefore a negative connotation. However, the term manipulation has a much more diverse meaning. In the following chapters, manipulation will be examined from different perspectives and in different contexts: Translational manipulation, psychological manipulation, manipulation in advertising and publishing, and manipulation of readers and paratexts. Before examining manipulation in the different contexts mentioned, it is necessary to give a basic definition of the term, which can be found in a basic dictionary. The Oxford English Dictionary ('Oxford English Dictionary,') gives the following definition of 'manipulation', which is relevant to both translation and paratext:

[...]

3. a. *gen.* The action or an act of manipulating something; handling; dexterity. Also (occas.): the making of hand motions. [...]

4. The action or an act of managing or directing a person, etc., esp. in a skilful manner; the exercise of subtle, underhand, or devious influence or control over a person, organization, etc.; interference, tampering. ('Oxford English Dictionary,')

This shows that manipulation does have different forms and also different nuances. In the context of this thesis, manipulation of paratexts is understood as the handling or creation of paratexts to achieve a specific goal (e.g. draw a specific image of China) and a subtle, but not necessarily devious, influence on readers through the paratexts of a book.

3.1.1 Manipulation in Translation

According to Dukate (2009, p. 85), manipulation proper may be regarded as distortion. When manipulation is distortive, it makes modifications that “misrepresent the reality and are unacceptable to the target culture” (Dukate, 2009, p. 113). The concept of manipulation in translation studies, however, is much more complex, as it often also means manipulation as improvement, change and rewriting. In the context of translational manipulation, handling here refers to the adaption of a text for the target audience (Dukate, 2009, p.84). This means that the translator takes the cultural, ideological, literary and linguistic differences of the source and target culture into account. According to Dukate (2009), improving aspects or elements of the source text, and handling the source text in order to reword it in another language and transfer it into another culture can both be classified as manipulation. Nevertheless, handling a text is neither positive nor negative, as it usually does not involve major changes (Dukate, 2009). Hermans also defines translational manipulation as a form of handling the text and a process that will “bring the Target Text into line with a particular model and hence a particular correctness notion, and in so doing secure social acceptance, even acclaim” (cited in Shuttleworth and Cowie, 1997, p. 101). This means that when a text is manipulated through the translation process, it may ultimately have the effect of manipulating, or influencing, the reader (Dukate, 2009). Katan (2004) adds the notion of ‘deviousness’ to the meaning of translational manipulation. In this context, deviousness refers to any errors and ambiguities that a literal translation can contain. Therefore, any faithful translation can be as ‘devious’ as any conscious manipulation of the text and both are part of the translation process (Katan, 2004, p. 190).

The term ‘manipulation’ is often used in translation studies; nonetheless, most publications on translational manipulation lack a clear definition of the term itself. All translations manipulate the source text to some degree for a certain purpose (Hermans, 2014, p. 11). The translation process is often also called a rewriting of the original text. Literature is manipulated during the translation (or rewriting) process, to reflect a certain ideology and poetics in order to function in a given society, no matter what the intention behind it is (Bassnett and Lefevere, 1995). Rewriting here does not only refer to simply writing in a new language but includes all necessary changes during the translation process. Therefore, rewriting can be considered manipulation which can positively influence and help develop a society and a literature. Bassnett and Lefevere further point out that the history of translation has the power to shape one culture upon another (1995,

p. ix). Bassnett and Trivedi (1997) state that translation is neither isolated nor innocent or even transparent. It is rather a cultural transfer, a highly manipulative activity (in the sense defined in (Bassnett and Lefevere, 1995)) involving the crossing of linguistic and cultural boundaries. The relationships between text, authors and systems involved in translation are only rarely equal (Bassnett and Trivedi, 1997). One of the few trying to define manipulation of translations, its different nuances and types is Dukate (2009), whose definition will be used as one of the core sources for this section.

No matter whether manipulation is a conscious or unconscious act, it has to be considered that translators are also readers of the source text, who are themselves manipulated by the text, its source culture and context. The only difference between the translator, and the source and target text readers is that the translator is sharing his/her reading experience with the readers of the target text (Oittinen, 2000). Therefore, the purpose of the translator is not only to translate the text, but they also read the text with the purpose of later sharing it with the target readership. In any case, the influence on the translator can result in a manipulation of the target text and thereby in a manipulation of the target readers.

Conscious and Unconscious Manipulation in Translation

Dukate (2009, p. 87) claims that the translation of a text or paratexts is never without manipulation, either consciously (for ideological or linguo-cultural reasons), or unconsciously as part of the translation process (e.g. due to omission, generalisation or localisation). This categorisation seems rather narrow, however, since manipulation for ideological or linguo-cultural reasons may well be unconscious, and manipulation as part of the translation process can equally be conscious. The manipulation of literature, and also of translations of paratexts, is not always purposeful (i.e. when different motives prompt a translator's work). It may be a result of pressures that different linguistic, cultural or literary codes exert on one another (Hatim, 2001, p. 72), no matter whether it is conscious or unconscious manipulation. Conscious manipulation is ideological when it is both intentional and "carried out in the name of a certain ideology", such as personal, institutional or collective ideology (Dukate, 2009, p. 87). A second type of conscious manipulation is performed as an attempt to overcome linguistic and/or cultural differences. Both forms of conscious manipulation may result in discrepancies between source and target texts. Unconscious manipulation of a translation is often part of the translation process. It normally results from "the workings of the human psyche" (Dukate, 2009, p. 87). It is usually a result of the translator's attempt to find a suitable target version

for a source culture phenomenon, which can be found in the source text. It may manifest itself in several ways, such as normalisation, explicitation or digressions.

Text-internal and Text-external Manipulation

Dukate (2009) further distinguishes between text-internal and text-external manipulation. Text-internal manipulation describes all manipulation that a text contains. Text-external manipulation, on the other hand, denotes manipulation proceeding outside the text, e.g. the selection of texts to be translations and/or various power struggles such as the struggle between source and target culture. Dukate relates the concept of text-external manipulation to Even-Zohar's polysystem theory by stating that manipulation is a product of power struggles within the system between cultures or texts. It is the struggle for dominance that leads to (un-)conscious manipulation. Another reason for text-external manipulation can be financial or ideological considerations. Dukate states that both text-internal manipulation and text-external can be either conscious or unconscious and involves three different types: manipulation as improvement, manipulation as handling and manipulation as distortion (Dukate, 2009). Paratexts will be subject to both internal and external manipulation. Internal, because the paratranslators (e.g. cover designer, editor, translator) make certain choices when translating (or creating) the paratexts. External, because the paratexts will equally be subject to power struggles as texts are (e.g. the struggle between source and target culture), they are affected by the selection of texts to be translated, etc.

Although most of the publications on translational manipulation do not explicitly focus on the translation and manipulation of paratexts, their theories can easily be applied to those, because the translation of the main text and the translation (or adaption) of paratexts share many similarities. Dukate (2009) includes conscious handling of metatexts in translational manipulation¹⁵. She includes writings about a text, such as press publications, advertisements, counter-advertisements and also comments and opinions printed on the back cover. As these elements can also be regarded as a form of paratexts, epitexts, the notion of conscious text-external manipulation can be applied to paratextual elements. The analyses of the paratexts of the books included in this study will show, to what extent paratexts are subject to manipulation.

¹⁵ A metatext is a text that has been produced using another text as a starting point or model. It thus includes text-types such as translations, paraphrases, parodies, etc. (Shuttleworth and Cowie, 1997)

3.1.2 Psychological Manipulation

According to Handelman (2009), psychological manipulation aims to influence the target to behave, act or operate in a certain manner, possibly in order to achieve a specific goal. In addition, these actions are normally not consistent with the target's intentions, motivations or best interests (Handelman, 2009). Under normal circumstances, the target would probably resist behaving in this manner, but is manoeuvred to do so by the manipulator. This is only possible because the two parties hold contrasting positions or opinions. This means that any motivating action from which the target would benefit, cannot be considered manipulation (Handelman, 2009). However, this claim could be contested, since even if the target was successfully manipulated, there could nevertheless be a positive outcome for them. For example, the manipulator influences the target's decision-making process. The target therefore makes a choice they think is made by their own will since they are not aware they have been manipulated. In the end, the target might be very happy with the choice they made, despite it was not entirely their own. According to Handelman, with the manipulative strategies and the influencing of the target comes the "illusory free choice" (2009, p. 6), which is created by influencing the target's decision-making process, giving the impression that the target can choose their action independently and freely, and further by hiding the influence of the manipulator (Handelman, 2009). Hayek (1960) claims:

Whether he is free or not does not depend on the range of choice but on whether he can expect to shape his course of action in accordance with his present intentions, or whether somebody else has power so to manipulate the conditions as to make him act according to that person's will rather than his own (Hayek, 1960, p. 13).

In today's world where people are influenced by various types of media and advertisements, making a decision without any influence from others is rare. Companies try to influence decision-making processes in almost all aspects of life, which will be discussed in section 3.1.3.

By using motivation as a manipulative strategy, the manipulator aims to minimise possible objections by the target and prevent them considering other possibilities. The target remains unaware of the successful manipulation since it is impossible to know that one is a victim of manipulation (Handelman, 2009). They might, however, be aware or know that they are the target of manipulation. Handelman further says that there is a safeguard that helps the target to act according to their priorities and preferences: the critical capacity. This important mechanism is targeted by manipulation, using two

different strategies: first, to cloud, blur and limit it, and secondly, to improve the target's performance. The first is the more obvious strategy, where the manipulator uses "morally questionable means [...] to diminish any possible objection to his moves by the target" (Handelman, 2009, p. 9). The second and more surprising strategy aims to develop, improve and even enrich the critical capacity. The target is often left to believe the manipulator aims to help them to improve or elaborate their critical capacity, while the real intention is the opposite (Handelman, 2009).

3.1.3 Manipulation in Advertising and Publishing

Advertising can be seen as a form of preference manipulation and can both change tastes and provide information (Ramsay, 1996). Therefore, in advertising, manipulation is used to suggest to the consumers that a certain product's physical qualities satisfy their unfulfilled yearnings. In order to do so successfully, the manipulative advertising aims to disturb "the rational evaluation of a product by creating the illusion that the product can satisfy desires that it probably cannot" (Handelman, 2009, p. 55). Fennis and Stroebe (2010) describe this manipulation as the persuasion function of advertising, which, in contrast to the informative function, is intended to change the responses of the consumers. In order to achieve this, advertisers can use two different strategies: alpha strategies and omega strategies. Alpha strategies use reasoning, credible sources and added incentives to make an offer more attractive, whereas omega strategies mainly address a person's resistance and their tendency to move away from the offer (Knowles and Linn, 2004). In essence, alpha strategies influence the approach motivation of a consumer and the omega strategies the avoidance motivation (Fennis and Stroebe, 2010).

Manipulation in Advertising

One of the main forms of manipulation in contemporary society is advertising, which intends to influence the decisions the targets make, without overtly limiting their options of choice. The impact is, however, difficult to measure because it aims at an area where measuring the interference in the independence and free choice of the target is almost impossible. This makes it difficult to formulate objective criteria, which would enable researching the difference between illegitimate and legitimate, as well as immoral and moral manipulation (Handelman, 2009). Since the consumers are situated in a cultural and societal setting, the decision-making processes, actions and lifestyles of individuals are dependent on many factors which arise from the complicated frameworks they operate in. Social interactions and institutions lead to an unpredictable and invisible influence, which lies beyond comprehension (Handelman, 2009). Marketing and advertising use the

linking of products to different individual and social values as a main strategy. It links the economic market to culture and cultural values (Ramsay, 1996). Ramsay (1996) further argues that advertising uses a limited set of categories to construct representations of the social world. These categories often stem from either market research or psychological profiles. This may not only influence how the consumers construct themselves and others but they may even reproduce these dominant images of the social world they see in advertisements.

It is not only the knowledge of what motivates people, but also large financial budgets and sophisticated research methods that make advertisers so influential. This is what Handelman (2009) calls professional manipulation. This professional manipulation makes it almost impossible for the target to resist. Even more so, the target often appears to cooperate rather than being passive, as Handelman points out. The cooperation of the target with the manipulator has to be distinguished from Handelman's claim that the victim has to be unaware of the manipulation, otherwise, it could not be considered as such. However, in advertising the case might be slightly different from the psychological manipulation Handelman refers to. In advertising, the manipulator often creates a need in the target and the target might be well aware that the need only arises the moment they see the advertisement and cooperates with the manipulator in the sense of not trying to resist the manipulation. Handelman (2009) states that this form of cooperation may actually be called the exploitation of the target's human weaknesses by the manipulator.

Manipulation in Publishing

Another form of this professional manipulation can be found in publishing. This form of manipulation starts with the packaging of the book. Every single paratext will manipulate the reader, their attitudes towards the book and the way they read it. Besides the cover and title, the back cover is an ideal advertising space for the publishers where they can promote book and author. In addition, the publishers try to influence the readers' decision making by organising author tours, broadcasting interviews, printing colourful brochures, etc. for books the publishers believe will attract a large readership and sell well (Coser *et al.*, 1982). Which of these marketing strategies are chosen is mainly determined by the budget allocated to promote a book or author. By the preselection of what gets published and heavily promoted, which determines the promotion budget, the publishers greatly influence the readers' choices, simply by the fact that the readers will be more aware of certain books than others.

3.1.4 Manipulation of Readers and Paratexts

Paratexts are an important means of manipulation. They are intended to influence the readership and often also try to manipulate both the translation and the reader. Paratexts can combine the above-mentioned different forms of manipulation: psychological, advertising and translational. By attracting the readers' attention and creating expectations, they create interest which may result in the readers thinking this book satisfies a specific need: a need, which was created by a compelling paratextual framework. Translational manipulation also applies to paratexts in translated literature. Verbal paratexts are often translated and these translations are all subject to a certain degree of manipulation.

The manipulation of readers is different from the manipulation of translations or paratexts because it involves exerting influence on (target or source text) readers, their thoughts, emotions and feelings. This influence does not necessarily have to be negative; it is also possible to change readers' minds in a positive sense, such as helping them to overcome prejudices, for example. Readers are often manipulated, or influenced, through or by translations and their paratexts. The manipulation of readers through paratext can be both conscious and unconscious. All deliberate attempts by the publisher to influence the readers' decision-making process can be considered conscious manipulation. There is, however, the possibility of unconscious manipulation, which has its roots in the influence and manipulation that the creators of the paratexts are subject to. One example would be the cover designer who is manipulated by the publisher's plot summary and brief, which they then interpret and convert into a cover design. This manipulated cover design will influence how readers perceive and read the book. Another example would be the publisher's marketing team who may not have read the whole book but trusts a reader's report or summary on which they base the book's blurb. The blurb might not reflect the content accurately and thereby manipulate the readers' first impression and possibly their interpretation of the book later on. In all these cases the creators of the paratexts manipulate which will, in turn, manipulate the readers' decision making, their perception and reception of the book without them being aware of it. This could then lead to an unintentional manipulation of the readers. This manipulation of readers and paratexts plays an important role in the marketing strategies for (translated) books and will not only impact on the strategy itself, but also on its effect on readers.

3.2 Consumer Psychology and Decision Making

In order to analyse the reader-response studies later on, it is necessary to look at consumer psychology and decision-making processes. To better understand consumer behaviour, different psychological models of the buying process have been created which indicate the different stages a consumer passes through. This process starts well before the actual purchase of the product and equally ends well beyond it. Foxall and Goldsmith (1994) describe four stages of the customer's buying process:

1. The development and perception of a want or need
2. Pre-purchase planning and decision-making
3. The purchase act
4. Post-purchase behaviour which may lead to a repeat purchase

(Foxall and Goldsmith, 1994, p. 25)

At the first stage, where the customer becomes aware of the need, complete innovation and the creation of previously non-existent needs (in the consumer's mind) are rare. It is more likely that companies, or publishers, try to activate a latent demand and stimulate already existing wants, as Foxall and Goldsmith (1994) point out. They further state that even a so-called impulse buy "requires some kind of stimulus and some pattern of relevant past behavior to make the stimulus meaningful" (Foxall and Goldsmith, 1994, p. 26). For the sales of literature, this means that a customer who has never bought a book before is unlikely to make an impulse purchase, but an avid reader might decide to buy a book without previous planning because of a stimulus, such as the author, title or cover.

Once the consumer is aware of the need, they will try to satisfy it. In order to do so, the customer will evaluate the products and brands available to aid decision making. In the context of this thesis, different agents can be considered as a brand: the publisher, the author, the translator or even the cover designer. A reader who regularly buys the books of the same author can be considered equally as brand loyal as someone who sticks to the same brand of, for example, mobile phones. At this stage, both advertising and interpersonal influences are important (Foxall and Goldsmith, 1994). As pointed out during the London Book Fair 2015, word of mouth is important and might be more effective than advertising: some books become bestsellers by word of mouth alone (Bush *et al.*, 2016). Although the reader might consider a certain brand before the purchase, the actual decision is only made in the moment of the purchase. This means that there is a possibility that the consumer is influenced by in-store advertising or salespeople before

making the purchase, as Foxall and Goldsmith (1994) point out. They continue saying that for the customer the buying process and their interest in it ends with the purchase, but that the companies' interests extend beyond this point. In order to survive, they need to create brand loyalty in consumers. Not only because these consumers will buy products of the brand again, but also because they will spread positive information about it to other (potential) consumers. Spreading positive information about a product or brand obviously relies on the consumer's satisfaction (Foxall and Goldsmith, 1994). De Mooij (2011) argues, however, that not all consumers pass through all the different stages and that the evaluation process (of the product or product alternatives) is not universal but influenced by personal experience and socialisation. Marketing strategies are more likely to attract consumers who have already identified the need the advertisement promises to satisfy, which is due to the consumers' selective perception. This means that the effect of any advertisement is restricted, even if it is predominantly positioned and includes an array of sensory stimuli (Foxall and Goldsmith, 1994).

Gender, Age and Consumer Behaviour

Research suggests that females and males process information and advertising differently (Meyers-Levy and Maheswaran, 1991; Fischer and Arnold, 1994; Putrevu, 2004; Kempf *et al.*, 2006). According to Meyers-Levy and Maheswaran (1991), females tend to process message content through substantial and detailed elaboration which can sometimes lead to a heightened sensitivity towards the claims made in the message. The processing of message content by males, in contrast, is often more based on the overall message schemas and themes. However, this gender difference disappears when "message characteristics [...] and/or response tasks [...] motivate both genders to engage in detail-sensitive processing" (Meyers-Levy and Maheswaran, 1991, p. 68). They base their research on two types of recognition strategies: the detailed strategy and the schema-based strategy. The detailed involves searching the memory for items which match the message. If a matching item can be retrieved from memory, the message is classed as 'old' which in turn means that failure to retrieve a matching item from memory will class the message as 'new'. The schema-based strategy may be a particularly appealing processing strategy when the message "reflects a common, integrated theme or schema" (Meyers-Levy and Maheswaran, 1991, p. 64). According to their findings, both males and females would use a schema-strategy to process a task with low demands and limited information in the message content. However, when a low-demand task was paired with enhanced accessibility to message material, women were more likely to employ a detailed strategy while males might still use a schema-based strategy. They conclude that males and

females are likely to process information in advertising by using different strategies unless the content of the message supports the use of a particular strategy. In addition to the different styles of processing information, males and females also show very different reactions to identical print advertisements, as Putrevu (2004) points out. According to Putrevu, there are two types of elaboration that facilitate comprehension. The first is item-specific processing which focuses on the attributes of a message. The second type of processing is relational processing which focuses on similarities or shared themes or categories among pieces of information. Generally, as Putrevu (2004) points out, men are item-specific processors and women relational processors. Females showed superior affect to both the brand and the advertisement as well as purchase intent when the advertisement was verbal, harmonious, complex and category-oriented. Males, in contrast, showed superior affect to brand and advertisement, and purchase intent, when the advertisement was comparative, simple and attribute-oriented (Putrevu, 2004). This means that advertisers should target women with complex, category-oriented messages and men with simple, attribute-oriented messages, Putrevu suggests. This is supported by Kempf *et al.* (2006), who researched how gender influences the processing of advertising and product trial information. They suggest that in addition to engaging in more detailed processing, women are also more discriminating than men when it comes to making brand judgments through the evaluation of information content of advertising and trial information. These different processing strategies of information, advertising and trial information can be applied to this study since, in a way, paratexts are indirect advertising for a book and target potential consumers. They will be useful in explaining possible differences in appeal of book covers, blurbs and titles between men and women based on the differences in processing the information and elements they contain.

3.3 Marketing and Advertising Translated Literature

In today's publishing industry, marketing strategies are increasingly important. This has led to decisions on what to publish being based on the concerns over whether or not the material will sell rather than on the quality of the content (Baverstock, 2015, p. 3).

To create a successful marketing strategy for translated literature, paratexts are becoming increasingly important as the market is becoming increasingly competitive. Marketing strategies are essential to make a book stand out from the thousands of other books, attract readers' attention and increase sales. This raises a number of questions. First, what is marketing in a literary context? Second, why, how and to what extent are paratexts used for marketing translated literature? Third, which elements of the paratext are most important for the marketing strategy? To answer the first of these questions, I will follow Squires (2007) who defines marketing in a literary context as:

[...] *A form of representation and interpretation*, situated in the spaces between the author and the reader – but which authors and readers also take part in – and surrounding the production, dissemination and reception of texts. (Italics in original. Squires, 2007, p. 3)

Rautenberg and Wetzel (2001) define marketing in the publishing industry further and claim that publishers produce books for a not very specified market that is expected to create a need. Many publishers first produce a small number of books for the first edition to test its success in the market. If the book sells well, further editions will then be published. However, as Rautenberg and Wetzel (2001) point out, due to the increased competition in the book market, publishers take the customer's, or reader's, wishes more into account and try to orientate their program towards current trends. What makes this form of literature marketing particularly difficult is the slowness of acquisition of market data, usually collected through market research. The problem is that this data is normally published with much delay. This makes it impossible to react to changes in the market in time, when the marketing strategy is mostly based on this data. However, conducting their own marketing research is very expensive for publishing houses, especially small and medium-sized ones, putting them into a dilemma of having the choice of either using data that are not up to date, or spending large sums on collecting their own data. In the marketing of literature, the success of an author and a book is hard to tell in advance. The publishers are therefore highly dependent on the experience and intuition of their editors. Once a writer becomes a bestselling author, the marketing budget for his or her books increases, allowing the publishing house to invest larger sums in a marketing strategy (Rautenberg and Wetzel, 2001). Based on my own experience of working in publishing, both at a middle-sized independent publisher and in a publishing company which is part of a large publishing group, and speaking to employees of other publishers, many publishers have some form of tier system, which will determine the budget and the effort invested in marketing and publicising a book. This was also confirmed in my conversation with the Group Publicity and Marketing Director for a major publisher. For example, a bestselling author will most likely be in the highest tier, allowing for an extensive marketing and publicity campaign. The same will also be the case for a new author, if the book is expected to be a bestseller (possibly acquired after a multi-way auction with other publishers) and will be one of the lead titles of the year. Translations from Chinese are unlikely to be categorised in a high tier. More likely, they will be a tier 3 or even tier 4 book, which means that proof or advanced copies will be sent to the press but there will be no active following up and pressing for reviews. In terms of marketing, a tier 4 book

will not have a budget, which means apart from social media posts, which are free, other marketing activities are unlikely.

The advertising strategies for books can be roughly divided into two categories. First, trade marketing which mainly aims to reach both booksellers and librarians. Secondly, consumer marketing, which includes both the general public and the general interest readers (Lee, 1979).

According to Baverstock, effective marketing

Depends on a deep understanding of the chosen market and product, within the context of contemporary society and the available resources, and effective management of marketing tends to emerge through detailed research and planning rather than formulaic application of rules. (Baverstock, 2015, p. 4)

Baverstock (2015) further defines four requirements of effective book marketing. First, the publisher needs to find out what the customers need in order to plan market orientation. This means that the focus should be on market orientation rather than product orientation. Secondly, effective marketing requires a long perspective and logical processes, since even a huge marketing budget will not result in big sales the next day. Thirdly, the whole organisation needs to be involved and committed, because a marketing department working in isolation will not be able to achieve the set goals. Lastly, innovation and flexibility are essential for effective marketing due to the constant change of the market and customers. According to Isaacson (2011), Markkula outlined three different marketing principles: empathy, focus and impute. Empathy to better understand the consumers' needs, focus to be good at the things that are done and impute because people form opinions based on the signals a company or product conveys. Markkula emphasised that "People *DO* judge a book by its cover" (Isaacson, 2011, p. 78) and that the best product will only be perceived as such if they are presented professionally and creatively, which will "*impute* the desired qualities" (Isaacson, 2011, p. 78).

3.3.1 The Cover as Paratext and Part of Marketing Strategies

A book's cover design is one of the most important elements of its marketing strategies. If the design does not appeal to the targeted readers, the book may not sell. Covers give a potential purchaser a first impression about the book's content, and the genre or whether the book is a light read or a more serious literary work (please see Section 2.2). These functions can be much more important than conveying the meaning of the text and

therefore make the cover mainly a marketing device and furthermore a freestanding art object (Mossop, 2018).

Marketing strategies for literature vary depending on the fame of the author and the allocated budget. Unknown authors have to be positioned in the book market and need a different marketing strategy than bestselling authors. There are several ways to position a new author, for example through press releases, author interviews and also through the book cover. The latter is of vital importance since it will be included in press articles, be on display during readings or in book shops and it will further appear in online shops such as Amazon and thereby functioning as an e-threshold. The cover could almost be regarded as the face of the author, especially in the beginning or when they write their first bestseller. People might recognise a book cover more easily than the photo of the author, which expands the function of book covers of giving identity from the book to the author. The process of positioning a new author can be very expensive for the publishing house, unless “word of mouth recommendation turns the book into a hit” (Phillips, 2007, p. 25). The recommendation of a book by a well-known author can be a valuable marketing tool, especially when it appears as a paratextual element on the book, for example as praise on the front or back cover. In addition, publishing houses usually do not want to spend large sums on the cover design for a book of a yet unknown author. This often results in much simpler cover designs than those of well-known, established authors. Yampbell (2005, p. 355) states that “[i]f the author is neither famous nor a celebrity, initial publicity is not in the budget.” Bush and Finnigan (2016) described another strategy especially for debuts and literary titles: to pick a person who might be passionate about the book and introduce the book to them, so they can then share their opinion on the book with others. This person could be, for example, a blogger who assists the publishers to market the book by sharing their impressions with their followers or readers (Bush *et al.*, 2016).

Importance of the Cover as Paratext for Marketing Translated Literature

Increasing competition has heightened the importance of book covers. They not only have to be suitable for the chosen market, but they also have to work in a variety of environments, e.g. a supermarket or a bookstore. A good book cover design is crucial for sales for several reasons. First, it helps to sell the book to retailers and encourages them to place the book in a prominent position, preferably at the front of the store. Secondly, it helps to attract readers, ideally resulting in a purchase (Phillips, 2007). Thirdly, it helps to create a recognition value and an image for both author and publisher.

3.3.2 Targeting the Reader

In today's global markets, publishing houses fight for their share of sales and need successful marketing strategies. Cathy Gentzenian from *The Bookseller* stated “‘This is a good book’ is not enough” (Bush *et al.*, 2016). The all-important book cover targets readers by evoking “a feeling in the reader, with a suggestion of danger, passion, or mystery” (Phillips, 2007, p. 19). Phillips argues that because readers are of course not all the same, publishers need to determine different groups. This does, of course, impact on the book cover designs and thereby on readers. Book covers are an important tool to influence or even manipulate readers, for example by suggesting that they have to read the book because it is the best one in a decade or by creating a need to buy the book in the reader by making it intriguing and appealing. But to determine how publishers target a certain readership, research has to be done how readers are influenced by book covers, e.g. specific colours, titles, designs. These factors will be discussed theoretically in this chapter and later tested empirically by the reader-response study.

Market Segmentation

As a universal reader and market do not exist, before publishers can decide on a marketing strategy for a book, they have to analyse the market and the potential readership. Kotler (cited in Phillips, 2007) defines four categories of market segmentation: geographic, demographic, psychographic and behavioural.

- *Geographic* segmentation: Break-down by country, region or city, taking into account the different characteristics of the customers living in these geographic segments.
- *Demographic* segmentation: Break-down by age, gender and socio-economic group.
- *Psychographic* segmentation: Classifying readers by their interests, aspirations and feelings.
- *Behavioural* variables: These do not only include product usage and occasion, but also benefit segmentation and brand loyalty. This means the market can be divided up by the frequency with which readers purchase books and these purchases can then be classified by the occasions for which the books were purchased. Another increasingly important factor in the book market is brand loyalty. Readers are more likely to purchase a book of a certain publisher if they read and liked one of their published books before Phillips (2007).

Market segmentation and consumer insight play an important role in publishing today to ensure that the reader receives the right content at the right time in the most suitable form. For example, readers of romance fiction tend to be women in their 40s-50s who often use Facebook. Therefore, paid advertisement on Facebook is the best way to reach and target these readers, according to a senior marketing manager at a large publisher (personal communication). Publishers usually sell their books through an intermediary, i.e. a physical or online book shop, which leads to very little contact with their customers. It is therefore difficult for them to gather relevant information on the market segmentation and they need to use other means to gather this valuable information (Baverstock, 2015).

Targeting Readers of Translated Chinese Literature

As outlined before, both geographic and psychographic segmentation is key to marketing literature, especially banned books, and effective marketing strategies depend on informed decisions on these types of segmentation. This suggests that with regards to geographic segmentation, paratextual elements that work well in the source culture might cause negative reactions in target culture readers. This is arguably especially the case when books are translated from a culture that is very different from that of the target readers, for example when marketing translations of Chinese books in Western countries. It can be assumed that psychographic segmentation will help publishers try to determine whether the targeted readership has any knowledge of China, its culture or political system, because this influences both the decisions made on paratexts (especially the cover design, title and blurb) and the marketing strategy. If the publishers assumed the target readers to have only a limited knowledge of China, the cover design is more likely to display stereotypical paratextual elements. If they assumed their readers to have a high interest in China and, for example, its politics, the cover would probably include more differentiated paratextual elements. A third important factor to consider is demographic segmentation, as the paratexts should suit the targeted group, both in terms of age and audience. It is possible that the translation of a book is published for a different audience than the original, because of different reading habits or tastes in different countries or because the content is deemed unsuitable for a readership (Beckett, 2009). What the four different types have in common is that they are all psycho-culturally based and that publishers use segmentation information to make assumptions about readers and, of course, to manipulate them. Lee (2015) mentions another important factor which influences the choice of titles to be translated as well as later on the marketing strategies for these titles: reading habitus. Lee defines the reading habitus as the “particular disposition towards certain cultures on the part of the readers” which has been created

through the readers' education, socialisation as well as the "exposure to media narratives about the culture in question" (Lee, 2015, p. 254). This means, as Lee claims, that the images constructed through the translation as well its marketing campaign can be used to reinforce cultural preconceptions which then, in turn, can prompt publishers to publish more books of similar type of from similar cultural contexts. This means that the literary image and the popular imagination of a foreign culture "feed into each other continuously" (Lee, 2015, p. 254).

Assumptions about Readers

When it comes to the target readership of a book, one might assume that the authors themselves are best placed to judge the readership. However, as Beckett (2009) points out, it is quite common that the author writes the book having a specific audience in mind, but the publisher decides that the work will be published for another readership. This also applies to translated literature, when the book is published for another readership in the target language than it was in the source language. Reasons could be that the content is deemed unsuitable for readers of a certain age or that the target readers might lack background knowledge. For example, a popular novel might be published in translation as a novel or as a book for readers who have specialist knowledge of the source culture. An example in the Chinese context is the German translation of the *Dream of the Red Chamber* (*Der Traum der roten Kammer*), which was published as an abridged and westernised translation by Franz Kuhn in 1932 and has been widely read by a general readership with or without specialist knowledge of China since then, published in its seventh edition in 1995. A new translation of the novel was published in 2007 by the University Press Bochum, this time as a complete translation comprising 2200 pages, annotated and presented as a scholarly version rather than a novel for the generally interested reader. This example raises the question of how publishers know the target readership. First of all, they rely on their experience, since they know what books they and their competitors have sold in the past. Furthermore, one strategy is analysing the target market and readership using formal market-research processes in order to decide on the appropriate marketing strategy. However, it is an expensive process that not all publishers can or want to afford. This means that knowledge about the market and the readers often remains vague and further that publishers do make some assumptions about the target audience, but only a few publishing houses have the resources to invest in regular market research. It is more likely that they will consider "comparable authors, key target markets and series styles" (Phillips, 2007, p. 29), rather than worrying about the demographics of the target readers. This statement corresponds with Berger (2013, pp. 2-

3) who says “since publishers do not know the buyers of their books and even less the potential readers, paratexts tend to address an imaginary, anonymous, average reader and so place the text within an ‘averaged’ interpretative framework”. Nevertheless, publishers seem to be well aware of the importance of a (cultural) adaption of a book’s cover to the new target market, and how they might influence the readers. Otherwise, books would be published in the same format with the same paratextual elements and the same cover designs in every country (Webby, 2007).

3.4 Images on Book Covers

3.4.1 Sign, Icon, Index and Symbol

The field of semiotics (the study of the properties of sign and symbol systems) has been divided by several philosophers into three fields: semantics, syntactics and pragmatics (Crystal, 2008, p. 431). Semiotics is, however, not limited to language but involves everything that stands for something else. These signs can be words, images, objects, gestures, or sounds (Chandler, 2007, p. 2). Peirce defines a sign as “something that stands to somebody as something in some respect or capacity” (Peirce and Buchler, 1940, p. 99). The sign creates an equivalent or more developed sign in the mind of the addressed person. Peirce then divides signs into three different categories: icons, indexes and symbols. An icon resembles the object it denotes. It is, however, not a direct representation but has developed some resemblance with the object. An index, in contrast, is directly related to the object it denotes, but it does not resemble it. In order to have a signification, it is necessary that the reference of the symbol is understood (Peirce and Buchler, 1940).

Berger (2014) expressed Peirce’s definition of signs in a matrix:

	Icon	Index	Symbol
Signified by	Resemblance	Causal connection	Convention
Examples	Pictures, statues	Fire – smoke	Flags
Process	Can see	Can figure out	Must learn

Table 1 Peirce's definition of signs

(Berger, 2014, p. 4)

Edwards (2003) states that Berger’s matrix suggests that a sign can only ever be either an icon or an index or a symbol because of their separation. He questions this by illustrating that a sign can simultaneously be an icon, index and symbol giving the example of a crescent moon, which could stand for the moon as seen at night, the astronomical

phenomenon of only parts of the moon being lit by the sun, or for Islam. In the first case, the moon is an icon, in the second an index and in the third a symbol, according to Berger's matrix. This example shows that the categories of Berger's matrix are not as rigid as they appear to be and that a sign can be an icon, index and symbol depending on the person looking on it and their background.

According to Peirce (1940), pictures or images that represent some aspects of reality can be classified as iconic signs. Since no image or picture can ever duplicate all features of the appearance of reality, some scholars reject the notion of iconicity of pictorial representations altogether, but Messaris (1997) argues that the brain can use real-world processes of visual interpretation even when image and reality only rudimentarily match. Iconicity is not the only semantic property images may have. Photographic images are also indexing signs, a notion which has "distinctive implications for the way in which we react to certain images" (1997, p. ix). He focuses on video and film images, but since photographs are also a form of physical imprint of reality, the categorisation could be expanded to include book covers with photographic images. The iconicity and indexicality are what set visual images apart from other modes of communication. For example, one of the characteristics of language is symbolic signs, whereas iconicity is only a minor characteristic of verbal communication (Messaris, 1997).

Peirce (1940, p. 114) further states that ordinary words, such as 'bird' or 'marriage' are symbols which in themselves do not enact a wedding scene or show the image of a bird before our eyes. However, we have learnt to associate these words with images. According to Berger (2014), a symbol signifies by convention, which is a process one has to learn. Edwards (2003) states that it is a misperception that these definitions cannot be applied to the principles of visual arts. He further says that a work of art can be an icon, an index and a symbol, giving the example of Hieronymus Bosch's *The Marriage at Cana*, which shows a marriage party. For someone who is not aware of the painting's story, it would simply be an icon showing a lunch party. However, someone who knows that the painting shows a marriage party "is able to imagine it and is therefore able to associate the picture with it" (Edwards, 2003, p. 18). For them, the painting is both an icon and a symbol.

3.4.2 Book Covers as Icons, Indexes and Symbols

I suggest that Edwards's example can be applied to book covers since they constitute a work of visual art. Book covers can equally be both icon and symbol, depending on the readers' knowledge. If the reader looks at the front cover design but does not know the content, setting and characters of the book, the cover would simply be an icon depicting a random scene, person, etc. As soon as they turn the book over and read the blurb, or at the latest when they start reading the book, they learn about the story, which means the cover will not only be an icon but also a symbol. This is highly dependent on the cover design and the included imagery and is mainly applicable to covers which show imagery relating to content, setting, characters, events or objects in the book. It does not as much apply to typographical covers. However, even in these cases the cover could become a symbol. For example, if the background colour is red, it might be, at first, only a red colour, but if the book is about a massacre, the red colour could be seen as blood which would turn the book cover from an icon into a symbol. This means that a book cover remains an icon until someone has learnt the story behind it to render it a symbol. In terms of cover design and marketing, book cover designs can be a symbol, but they can also include symbols that the readers recognise and interpret, which may or may not relate to the book's content. These can be used to capture attention or to enable the reader to make a connection to the book's content, setting, etc.

3.4.3 Semantic and Syntactic Properties of Book Covers

Book covers do not only aim to capture a reader's interest, but they also function as a form of advertisement for the book itself, possessing both syntactic and semantic properties. Semantics is the study of meaning and can be divided into linguistic and philosophical semantics. For the interpretation of book covers, philosophical semantics is of greater relevance, since it examines the relation between a linguistic expression and the phenomena in the world it refers to (Crystal, 2008). Following Chandler's (2007) definition of semiotics applying to any form of signs, I propose to expand Crystal's definition to book covers. In this case, a visual element on the cover would take the place of the linguistic expression referring to phenomena in the book. According to Messaris (1997), the focus of semantic description lies in the relationship between elements of a particular mode (words, images, music, etc.) and their meanings. Signs, symbols and indexes are descriptions of an image's semantic characteristics since they all relate to the meaning of the image. As mentioned above, it is especially the indexicality and iconicity that sets images apart from other modes of communication or language. In a linguistic

context, syntax is the study of the rules governing the composition of sentences, but can also refer to the interrelationships between the elements of sentence structure and the rules governing their arrangement (Crystal, 2008). Oyama (1999) defined visual syntax as referring to the relationship between different elements in an image and how they are structured. Syntactic description, therefore, focuses on the interrelationships of the different elements “as they combine to form larger meaningful units” (Messaris, 1997, p. viii). What is problematic, however, is that images lack a specific type of syntax: the propositional syntax which expresses connections and causal relationships. Images can only show spatial and temporal connections between individual images (Messaris, 1997). In this thesis, I suggest that Crystal’s definition be applied in a broader sense to book covers, and the included elements and their interrelationships. When applying semantic and syntactic properties and their description to book covers, the description of the book cover design (and its meaning to the reader) as a whole would be semantically oriented, whereas the description of the interplay and interrelations of individual paratextual elements would be syntactically oriented. This means that a semantic analysis analyses the meaning the book cover has for the reader. In a syntactic analysis, the individual paratexts (e.g. title, cover design, praise) would function as syntactic elements which interact with one another and together form a unit. In terms of marketing, the semantic memory enables the consumers to make instant connections and attribute meaning to symbols, images and sounds (Zaltman, 2003). Although in publishing, “brands” (e.g. author, publisher, translator) are not always as easily distinguishable as, for example, the Nike swoosh mark, people who regularly buy books will most likely recognise a Penguin publication, for example, by the little penguin on the cover. This recognition value can influence the customers’ decision making when they consider a purchase. It can furthermore help to create brand loyalty, especially when readers liked a book from a particular publisher, they might be more likely to take a look at another book by the same publisher.

Chapter 4. Background #3: The Cultural Other, Chinese Literature and Censorship

This chapter focuses first of all on two aspects which may influence the production of paratexts: orientalism and the cultural Other. Both can result in a stereotypical representation of China and the Chinese in the different paratextual elements contained in the packaging of a book and are therefore important aspects to consider in the paratextual analysis later on. Furthermore, this chapter reviews literature as well as studies regarding the popularity of Chinese literature abroad (section 4.2). Section 4.3 then explores censorship and self-censorship in a Chinese context, helping to understand the cultural and political background of the books included in this project. This is followed by Section 4.4, which explores the popularity of Chinese banned books. This provides background information on the potential target readership and the importance of Chinese literature and banned books in the Western marketplace.

4.1 Orientalism, Exoticism and the Cultural Other

For the purpose of this thesis, I will follow Robinson (1997) who defines Orientalism as a term which:

has become virtually synonymous in postcolonial circles with a Eurocentric, colonialist mentality, the European projection of an ‘Orient’ or East associated with a mystical primitivism in need of ‘improvement’ from a ‘modern’, ‘rational’ West. (Robinson, 1997, p. 121)

Orientalism plays an important role in translated literature, because not only the translator but also the publisher, editor or cover designer, might be influenced by orientalist views. These might influence their image of China, or even create stereotypes, which in turn might be reflected in the translation and the paratexts, especially the book cover design. In addition, orientalist and occidentalist views might also influence the readers and their general perception of China, its culture and literature. Publishers might try to target readers by using specific stereotypes in the paratexts to cater to the reader’s perceptions and expectations, and by only selecting books for translation which “fit prevailing stereotypes (simplistic images)” (Robinson, 1997, p. 34).

Exoticism and the “Cultural Other”

No ‘nature’ without ‘culture’, no ‘feminine’ without the ‘masculine’, no ‘self’ without its ‘Other’ – an other outside, an *alter ego*. (Rousseau and Porter, 1989, p. 3)

With the expansion of Empires to other continents, people came in contact with other cultures and civilisations. This 'exotic Other' was both inviting and threatening at the same time, which shows the contradictory nature of both Orientalism and the Other. Both can refer to exotic attraction as well as cultural inferiority. The exoticism that accompanied the strangeness of the 'Other' usually described a set of beliefs and behaviours, and styles of being that not only transgressed the civilised Christian norms of rational Europe but furthermore defied what Europeans would consider normal. This 'normality' encompassed the norms of nature and culture, as well as morality and religion (Rousseau and Porter, 1989). Alongside considering everything 'different' and 'strange' as exotic, comes the reduction of the other continents' inhabitants to a status "little better than beasts" (Rousseau and Porter, 1989, p. 5), or simply calling them barbarians. The term 'cultural Other' as a concept in colonial/postcolonial studies, is often associated with 'oriental', 'savage', 'mystical' or 'incompetent' (Robinson, 1997) but in translation studies describes primarily cultures, literatures, people etc. foreign to the reader of a translation. The definition of the 'Other' always starts with putting oneself at the centre. Therefore, everyone outside this centre is considered as the 'Other'. This process of categorising, distinguishing or discriminating, and therefore creating the 'Other', is often referred to as 'othering' (Mountz, 2009). In addition, this 'Otherness' helps to define the self and one's own identity, as it is the relation to others, or the Other, which allows one to determine oneself (Clarke, 2008). But this 'cultural Other' is "that 'awkward entity' which is increasingly projected into our midst as a result of global forces" (Sanderson, 2004, p. 2). As Nöth (2001) points out,

cultural alterity is not transmitted in a flow of information from the other to the self. Instead, the cultural other must be constructed by the self, and alterity must therefore be sought within the very self that only seems to be the destinator of this message flow from the other. (Nöth, 2001)

Despite the fact that today we would call racist what was called exoticism a few hundred years or a few decades ago, prejudices and milder forms of exoticism still prevail. The 'cultural Other', as well as orientalist views, are often still present in people's minds which is evident in paratextual elements on book covers. These representations are often neither in line with the content of the book nor with today's reality, for example, Chinese women in traditional clothing on covers of books, which are set in the 21st century.

4.2 Popularity of Chinese Literature Abroad

In the UK and Ireland, the total percentage of publications that are translations remains on a low level of roughly 2.4 in 2008, which is a slight decrease since 2005, when 2.65 per cent of all publications were translations. This shows the little importance of translation within the English (UK and Ireland) publishing industry. According to the publishing data and statistics published by Mercator Institute, translations from Chinese occupy a very peripheral position and are, together with Norwegian, only the eighth most translated language¹⁶. Overall only 21 translations were published in 2008 (Donahaye, 2012). This report also shows that translations from French, German and Spanish are of more importance than translations from Chinese. The relative ratio is again quite similar in Germany, where translations from Chinese are of much less importance than translations from other languages. Most translations into German are made from English (67 per cent of all translations in 2007), followed by other European languages. Chinese is not even in the top ten source languages in 2007 (Börsenverein des Deutschen Buchhandels e.V., 2008), which does not change until 2013¹⁷. The total percentage of translations for these years remains at a steady level of roughly 12 per cent of the total publications, which is, especially in comparison to the UK and Ireland, comparably high. Although the translation rate in a particular country can be seen as an indicator for the cultural acceptance of translation in the said country, Hale (2008) emphasises that two other indicators have to be considered before drawing general conclusions. These indicators are first of all the genre or category of the translated works, and secondly, what he describes as translation flow, namely the source language of a translation. As the percentage of books belonging to a certain category can vary from country to country, and so does the translation flow, statistics across cultures are difficult to compare (Hale, 2008).

The relative lack of importance of translated Chinese literature is further illustrated by the sales figures, which McDougall (2014) quotes in her article. According to Huang (cited in McDougall, 2014), any Chinese book's English translation that sells more than 10,000 copies abroad is considered to be a great success. McDougall further cites the *China Daily*, which reported that in 2010 no Chinese book was able to make an impact in the UK book market, as none of the newly published books appeared in the top 250,

¹⁶ For more details on translated literature in the UK and Ireland see the report published by Mercator Institute for Media, Languages and Culture, Aberystwyth University. (Donahaye, 2012)

¹⁷ See Buch und Buchhandel in Zahlen (Börsenverein des Deutschen Buchhandels e.V., 2010; Börsenverein des Deutschen Buchhandels e.V., 2012; Börsenverein des Deutschen Buchhandels e.V., 2013)

probably not even in the top 2,500. Although McDougall claims that translations of Chinese literature are more popular in other countries, amongst them Germany, the figures published in *Buch und Buchhandel in Zahlen* in the years 2007, 2009 and 2011¹⁸ show that the share of literature translated from Chinese into German is only 0.3 per cent of all translated literature in 2007, 0.7 per cent in 2009 and 0.3 per cent in 2011. The higher percentage of translations in 2009 is most likely owing to China being the guest of honour at the Frankfurt Book Fair in 2009, which led to a temporarily increased interest in China and its literature. The figures are even lower in English-speaking countries: whereas three per cent of all publications in Great Britain are translations, the share of translations on all publications in the United States is merely one per cent. When looking at these low figures, it is obvious that many books are not translated into English, even those by award-winning authors (Beckett, 2009). Considering the generally low interest in translated literature, and therefore also in translated Chinese literature, it is not surprising that there are only a few Chinese books which can be considered bestsellers abroad, such as Jung Chang's *Wild Swans: Three daughters of China*¹⁹, which sold 10 million copies worldwide and was translated into 30 languages (McDougall, 2014). These exceptions are rare, and the figures show that translated Chinese literature only has very small shares in the literature market and is therefore highly dependent on elaborate marketing strategies, from both the Chinese in order to sell the copyrights to publishers abroad and publishers in the West in order to sell the translations to readers.

To promote, publicise and exhibit Chinese literature, Chinese publishers have been participating in book fairs around the world for several years now. An increased interest in Chinese literature temporarily occurred when China was the guest of honour during the Frankfurt Book Fair. During the Frankfurt Book Fair, 2,417 copyrights for Chinese books were sold to publishers outside China (Yang and Xiao, 2012). According to Kuhn (2011), China has acknowledged that participating in book fairs offers business opportunities and chances for cross-cultural communications. For this reason, China participates in more than 40 international book fairs, involving over 100 Chinese publishing houses. However, the internal Chinese book fairs have also had a part to play. The Beijing Book Fair is considered to be one of the most influential in the world and

¹⁸ See Börsenverein des Deutschen Buchhandels e.V. (2008), Börsenverein des Deutschen Buchhandels e.V. (2010) and Börsenverein des Deutschen Buchhandels e.V. (2012)

¹⁹ Jung Chang's autobiography *Wild Swans: Three daughters of China* was first published in English in the UK by HarperCollins. She wrote the book in English with the support of her husband, Irish historian Jon Halliday. These factors possibly influenced the success of the book, and without the support of a well-known publisher and published as a translation from Chinese, the book might not have been as successful.

creates opportunities for both Chinese and foreign publishers to strengthen their communication and cooperation.

4.3 Censorship and Self-Censorship

Before looking at the popularity of Chinese banned books in translation, it is necessary to take a look at censorship in general as well as the censorship system in and self-imposed literary censorship. Censorship is a means, employed by a dominant body, to block, manipulate and control both publication and cross-cultural interaction in numerous ways. The dominant body, usually either a religious body, state or government establishes specific values and criteria, which are expressed through repressive cultural, aesthetic, linguistic or economic practices (Billiani, 2008). This means that censorship can be an instrument to mould or enforce worldview and discourse production (Merkle, 2010). In modern democratic countries, but also in most countries whose literature, art and media are subject to censorship, censorship is feared and has a dishonourable reputation. Reasons given for censorship include “protecting the nation against sedition or defending the innocent against sex” (Kraus, 2004, p. 107). Censorship is however not a phenomenon exclusive to totalitarian or communist societies. Even in most modern democratic countries, censorship on moral grounds operated until well into the 20th century. This era of routine censorship of literature came to an end in many Western countries in the 1960s and books which have been banned for many years, were allowed to be published, such as the complete works of the Marquis de Sade in France (Ladenson, 2013). To this day, overt censorship is still present in western countries, even though it is mainly directed “against the dissemination of hate and obscenity, especially pornography involving children and women” (Merkle, 2002, p. 13). Merkle (2002) further points out that covert censorship existing in free democracies of late modernity can be much harder to detect than official censorship imposed in an autocratic regime. Nevertheless, it is “at times insidiously, pervasive” (Merkle, 2002, p. 10).

4.3.1 Literature Censorship in the PRC

Ladenson defines literary censorship as “the suppression of works either pre- or post-publication [which] is grounded in the conviction that books have the capacity to influence beliefs and behaviours” (Ladenson, 2013, p. 169). She further emphasises that it is especially political and religious writing which has always attracted the attention of censors. In many countries, including China, censorship systems are still in operation, controlling domestic and imported literary and art production within the country. Despite

the importance censorship has for contemporary Chinese culture, detailed descriptions or analyses are very scarce, as Kraus (2004) observes. A reason for this lack of in-depth examination of the Chinese censorship system might be found in Perry Link's article (2013), in which he states that he himself is on Chinese blacklists since 1996 and therefore barred from entering China. He gives further examples of American scholars who either have been blacklisted because they engaged in debates of sensitive topics concerning China, or have decided to censor themselves: for example by not publishing on a certain subject or not participating in controversial debates, to prevent being blacklisted. It might therefore be possible that scholars decide not to publish detailed analyses of the censorship system in China because of their fear of becoming blacklisted and being denied visas to China. Besides Link and Kraus, scholars publishing on Chinese censorship are Hockx, Ha and McDougall as well as Tan, Chan and Chang.²⁰ It has to be pointed out that the works of these five authors are important contributions to the understanding of the workings of the Chinese censorship system, but are still only a small number, compared to the works in Chinese literature in general. In many works on Chinese literature, censorship is often only treated as a minor issue, if at all, despite its undoubted effect on China's literary culture and production.

Censorship System in China

In China, literary censorship has been existent in a virtually unbroken line ever since the times of the first emperor of China in the 3rd century BC (Tan, 2015). Tan further points out that since the founding of the People's Republic of China (PRC) in 1949, the country has seen different forms of censorship. Tan focuses on the impact of censorship of translations, but the observations made are also applicable to writers. In another article Tan (2014) states that all publishing in the PRC must observe the *Four Cardinal Principles* which are: "(a) the principle of upholding the socialist path; (b) the principle of upholding the people's democratic dictatorship; (c) the principle of upholding the leadership of the Communist Party of China; and (d) the principle of upholding Marxist-Leninist-Mao Zedong Thought" (Tan, 2014). While these principles have to be adhered to and cannot be questioned, their interpretation is open for debate, as Tan further points out. This makes the rules of the censorship system in China uncertain, as further explained below. As Kraus (2004) points out, China does not have an apparatus of professional censors who monitor and read everything that was or will be published. Consequently,

²⁰ See: Kraus (2004), Link (2003), Link (2013), McDougall (1993), Hockx (2010), Ha (2008), Tan (2014; 2015), Chan (2007) and Chang (2008)

China does not have a nationwide censorship corps, but several bureaus are assigned to review artistic work (Kraus, 2004). This decentralisation means that the direct link between the regime and the censorship can no longer be identified (Chan, 2007). The publishing industry is supervised by the *State Administration of Press, Publication, Radio, Film and Television of the People's Republic of China* (SAPPRFT), which usually reviews works after publication and, if considered as necessary, bans the book, Kraus (2004) states. The publication of a book becomes a commercial risk for publishers because they could be stuck with thousands of unsold copies if the book is officially banned. Therefore, many publishing houses may decide not to publish politically controversial books, for fear of putting their money at risk (Kraus, 2004). Furthermore, in more serious cases there is the risk of editorial staff getting dismissed for having made a mistake, or the whole publishing house may even be shut down. This leads to publishers imposing self-censorship upon themselves and their publications (Chang, 2008). This form of self-censorship by the publishers is an important part of the Chinese censorship system. Many books that are not published in China for political reasons, have never been officially censored by a state organ but suffered more from a “self-imposed banning” by the publishing houses. The effect of post-publication censorship is self-censorship, making censorship in China less obtrusive and preventing scandals. This lack of publicity in the censorship process makes it often difficult to detect it and statements or anecdotes of people in the process involved (including publishers, translators or the authors themselves) are often the only documentary proof of the censoring process (McDougall, 1993). And undoubtedly, there would be a fear of publicising any documents proving censorship. In addition to monitoring publications, the International Department of the SAPPRFT has the function to “facilitate relationships with western publishers”, as McGowan (1999, p. 23) states. Another player in China's censorship game is the Central Propaganda Department (CPD), which is officially called 中共中央宣传部 *Zhonggong zhongyang xuanchuanbu* [Central Propaganda Department of the Chinese Communist Party]. It is responsible for monitoring and censoring national media, involving not only CCTV and the newspaper *People's Daily*, but also all academic and popular publications and cultural output in general. However, the CPD has no legal power to punish offenders. Various state organizations fulfil this task by implementing the CPD's recommendations. Besides the SAPPRFT and the CPD, the Ministry of Culture and the State Administration of Industry and Commerce also have censorship roles (Brady, 2010).

Since the 1980s, the Chinese censorship system has changed by becoming less prescriptive and more prohibitive. Writers and publishers “are no longer told what to produce, but are penalized if a publication is retrospectively deemed offensive or illegal” (Hockx, 2010, p. 698). In other words, it is only policed in retrospect, but in order to avoid this, it has to be prospectively implemented, either by authors or publishers. However, Kraus (2004) claims that no official rules regarding what is considered a taboo word or idea exist. It is therefore not always obvious what will be censored and why. Ha Jin (2008) contradicts Kraus’ claim, saying that the SAPPRFT maintains lists of banned subjects.²¹ These allow publishers to know in advance which books might get banned because of their subject and therefore exercise “self-discipline” (Ha, 2008). The taboo subjects thus include the Tiananmen massacre, the Great Famine in the early 1960s, the Cultural Revolution, Tibet, the independence of Taiwan and Chairman Mao, amongst others. All four Chinese books included in this research, are about or at least touch upon these subjects, which explains their banning. However, as Kraus (2004) points out, censorship arrangements constantly change, and even writers and publishers are uncertain about what they can publish at any particular time. These arrangements also vary by region or province. Another factor in the censorship process is mentioned by Ha (2008), who claims that a book’s content is not always the reason for censors to demand cuts. According to Ha, censors sometimes demand cuts, just because they have to, in order to prevent being held liable in case the book causes trouble after publication. An interview with the writer Yan Lianke (Bartsch, 2009) supports Kraus’s claim that it often remains unclear why a book was censored. In this interview, Yan told the story about trying to find a publisher for his book 为人民服务 (*Wei renmin fuwu / Serve the People!*). One publisher said that a publication of the content might be possible, but not under this particular title. Another publisher told Yan that a book with this title might get published, but certainly not with this content. In the end, the SAPPRFT banned both the book and its title after an excerpt had been published in a magazine. This example illustrates the great uncertainty amongst those involved in the publishing process. Although the censorship process lacks clarity and transparency, the majority of Chinese writers, who write for the Chinese market, nevertheless accept the censorship and are willing to make the necessary adjustments to their works in order to get published (Hockx, 2010). These cuts of parts of a work which could be deemed nocuous are what Chang (2008) calls ‘sanitising’. Publishers who ‘sanitise’ a work usually do not tell the reader about the changes made openly and even

²¹ As Ha Jin’s article was written in 2008, the lists were maintained by the General Administration of Press and Publication (GAPP), but it is to be assumed that the SAPPRFT maintains these lists as well.

if they do, they rarely inform the readers of the full extent, as Chang further points out. They admit to changes “very briefly in an obscure place in the book, such as the ‘Translator’s Postscript’” (Chang, 2008, p. 235). Chan (2007) claims that there is an overriding force of market over Chinese politics, where the publisher and author make and accept any changes, cuts and alterations necessary in the name of business and readership. The publishers can use the market as “an excuse, or gateway, to bypass political agendas” which means it can be hard to see whether a publication, or parts of it, have been censored “on political grounds or commercial convenience” (Chan, 2007, p. 128). Therefore, there can be multiple reasons for censoring a book in China but not always is the Chinese government the decision maker. It can also be the publisher and/or author who decide to (part) censor a work to be able to publish a work, and ultimately to make money.

Publication Outside China and Smuggling of Banned Books

Even if a book is banned in mainland China, Chinese writers can still publish their books in full outside China. Uncensored Chinese versions are usually published in Hong Kong or Taiwan. It is not unusual that Chinese writers first publish their work in an uncensored version in Taiwan or Hong Kong (in traditional characters) before publishing an adapted version in simplified characters in mainland China. When western agents buy the translation rights for a Chinese book, they tend to buy those of the Taiwan or Hong Kong editions, as the authors prefer their books to be translated in an uncensored version (Hockx, 2010). As Beerman points out, a banned book creates more interest and excitement in Chinese readers, and smuggling books from Hong Kong into China is not a rare phenomenon. Especially as the “smugglers” usually do not face punishments, except the confiscation of the banned books (Beerman, 2011). Another way by which Chinese banned books find their way back into the country is through the internet, as the example of the banned author Jung Chang shows. She said in an interview that “[p]eople, enthusiastic readers, have scanned my books into the computer and a lot of people have read them in China. But there is a vast army of censors diligently deleting these texts” (Furness, 2014). It can be assumed that not only the readers and fans of Jung Chang’s work but also the readers of other banned authors, try to upload copies of these banned books to the internet to make them available to readers in mainland China. Once the readers have passed the Chinese firewall, for example by using a Virtual Private Network (VPN), they are free to browse content that is banned in China. They can even access a

website named bannedbook.org²², which is based in the United States, where they can browse news on China and even download banned books. As the website is primarily targeted at readers in mainland China, it is completely in Chinese (Horton, 2013). Horton also names the example of a book shop based in Hong Kong which sells many books that are banned in mainland China. The owner states that “roughly 90 per cent of our book sales are to mainland Chinese and tend to be about politics” (Horton, 2013). This shows that many mainland Chinese are interested in banned books and that these books find their way into the country either through the internet or purchases in Hong Kong-based bookstores. However, deciding to publish their work in full outside China instead of a censored version in mainland China usually means that the readership is significantly smaller (Olukotun, 2013). As mentioned previously, Tan’s observations (2015) about translations into Chinese can be applied to the wider context of literary censorship on China. Tan defines three categories of translations: full, partial and non- (Tan, 2015). When applied to writers and original works, the equivalent of full translations are those works which have been written and published without any restrictions, be it those imposed by the state or the writer. Partial translations would find their equivalent in works which have been written under a certain amount of (self-censorship) where the writer was aware that there are limits to what he or she can write. Finally, there are books which have never been written, the equivalent of non-translations. Interestingly, works by Chinese authors which have never been published in China and have more or less been written with a foreign target audience in mind, compare to original works which are non-translation in China. The circumstances of the banning of the four chosen books in this study will be outlined in Section 5.1.3.

Effect of Censorship on Writers

The arguably most significant effect of the uncertainty whether a work will be censored and the resulting self-censorship is the reduction of the scope of creativity. To avoid controversies, writers might fall back on the conventional and traditional, which strengthens the image of China as ancient and dignified and contributes to its soft power.

The impact censorship has on the writers, their work and their life is somewhat difficult to evaluate, as even the opinion of Chinese writers on this topic differs immensely. Whereas Ha Jin (2008) describes the Chinese censorship as a “crippling power, [from which] few writers can remain unaffected”, Yan Lianke considers himself as being

²² See: 中国禁闻 - 禁书网 [Chinese Network for Banned News and Banned Books] (2015)

relatively free and not oppressed and claims that writers whose works are banned, nevertheless do not face oppression or detention and that they can write freely, although their work might face limitations in publishing (Yan, 2008). Liao Yiwu, however, had to flee China to avoid imprisonment. He was on his way to Germany in 2010 when he was ordered off the aeroplane he had boarded and put under house arrest thereafter (Foster, 2010). Although books by both Yan and Liao have been banned, Yan is still considered to be one of the greatest satirists in China, but Liao had to leave China to avoid being arrested. It can be assumed that other factors, such as rank or fame, membership of the Communist Party, or an author's connections influence the punishment s/he receives for writing controversial books. This illustrates that censorship and the banning of an author's work in China is a double-edged sword. On the one hand, it can result in fame for the author; on the other hand, it can cause serious consequences for the author, like imprisonment (Hockx, 2010). There are, however, arguments for the benefit of censorship for literary production and for the readers. Baer states that censorship and restrictions through social norms have in fact a positive effect on reading practices and hermeneutic strategies. These strategies allow readers to interpret a text in an alternative way by reading between the lines (Baer, 2014). However, this would mean that both censors and authorities, in contrast to ordinary readers, are unable to read between the lines and understand the true intention of the text or conniving at the covert meaning. Statements of Nobel Prize winner Mo Yan in 2012 about the Chinese censorship system were highly criticized by Western media: Mo Yan, vice chair of the China Writers Association (CWA)²³, said he believes that limitations or censorship is great for literature creation, as the writers have to find ways to "inject their own imagination to isolate them from the real world or maybe [...] exaggerate the situation" (cited in: Hoffmann and Siems, 2013). These and similar statements, such as censorship being necessary, are the reason Mo Yan is called 'a state writer', as a writer supporting the suppression of freedom of expression by advocating or supporting the Communist Party's line, and criticized by other (dissident) writers, such as Liao Yiwu (In: Beyer, 2012). Although Mo's position is less state-oriented than that of other members of the CWA, he became labelled a state writer, mostly because of his fame since being awarded the Nobel Prize for literature. Tie Ning, chairperson of the CWA goes even further and claims that her position does not limit her freedom to write and that her writing is independent. She claims that young writers are

²³ The CWA was founded in 1953 and was established to promote Chairman Mao's principles. Until today, the CWA remains the principle vehicle for the Communist Party's patronage. See: Hoffmann and Siems (2013)

free to choose subject, genre and stories they want to write about, reflecting the freedom writers in China enjoy (In: Kuhn, 2011). Although this claim is not generally false, since she does not say that they are free to write about ideas or choose individual or dissident standpoints, it is a partial and deceptive statement. It is apparent, however, that Tie reflects the official position of the CWA, and therefore also the Communist Party, on censorship and the treatment of controversial writers. The reality shows that these claims are mostly false; otherwise writers causing controversies would no longer be imprisoned or put under house arrest. Nevertheless, statements by Chinese exiled writers, of which some have not been to mainland China in several years, sometimes decades, seem to have the tendency to be very radical in judging the situation of Chinese writers in the PRC. This is possibly a result of frustration, disappointment or anger as a result of their exile. As the Chinese censorship system does not work transparently, and some writers face more severe sentences for having written a controversial work than others, it is difficult to generalize the present situation. Moreover, the lack of reliable information and scholarly analysis, probably as part of a deliberate policy of obfuscation, makes it problematic to assess the Chinese censorship system. Often the only possibility is to rely on newspaper articles or reports of people involved in the process, which are often biased and subjective. It is therefore necessary to evaluate these articles and reports critically in order to assess the present censorship situation.

4.3.2 Self-Censorship

The system of self-censorship is central to the whole Chinese censorship system. The majority of Chinese writers accept that their work is subject to censorship and many publishers impose a form of self-censorship on what they publish to avoid risking financial losses by publishing a book that could get banned. Another way of avoiding official censorship is author self-censorship, which many authors impose on their work, consciously or unconsciously. Authors writing about sensitive subjects or controversial debates take a risk. Censorship does not always directly lead to these punishments or happenings: it is more the fear of these consequences that is involved in the Chinese censorship, as Link (2003) emphasizes. He defines this fear as

[...] a dull, well-entrenched leeriness that people who deal with the Chinese censorship system usually get used to, and eventually accept as part of their natural landscape. But the controlling power of the fear is impressive nonetheless. (Link, 2003)

Many Chinese writers face the decision of either self-censoring their work in order to get it published or refusing to do so and thereby putting themselves and their families at great risk (Olukotun, 2013). Ha (2008) even calls self-censorship “a necessity for most Chinese writers”, as many of them are not only members of the Writers’ Union²⁴, the official literary association with branches in every province and every major city, but some of them also receive a salary directly from the Union. The majority of writers, in addition, hold jobs in state-owned cultural, educational, and legal institutions. Consequently, many of them are financially dependent on the state, a situation which intensifies their self-censorship (Ha, 2008). Furthermore, gaining a higher status, more power and material wealth are “very powerful and specific inducements” (McDougall, 1993, p. 85), for which many writers are willing to trade their artistic freedom and creativity.

Conscious and Unconscious Self-censorship

Writers, who have experienced the banning of one or several of their works, often unconsciously self-censor their writing. This is confirmed by author Yan Lianke who says that the banning of *Serve the People!* will also influence his future works because the shame he feels for having written a “bad book” (Yan, 2008, p. 41) has an impact on his writing. That is why Yan, like many other Chinese writes, says that he places control over himself. Self-censorship and official censorship affect a writer’s independence and thought and cause a loss of identity. Nevertheless, this “bad book”, as Yan describes it, has undoubtedly increased his popularity abroad and he will probably have earned money from its sales. Yan further states that he struggles to decide whether he should break out of his “self-imposed cage” (Yan, 2008, p. 43) and that this struggle still limits his writing today. Since this interview was conducted in 2008, another of Yan’s books has been banned: *The Dream of Ding Village*. Nonetheless, Yan is still not considered a dissident in China and still holds a university teaching position (Hoffmann and Siems, 2013). Despite conceding to be subject to self-censorship, Yan was cited by Rühle (2009) as having admitted that he is first of all writing for the non-Chinese market. The reason is simple: when writing for readers outside China he is free to write about any topic, whereas he has to cut parts out of his works in order to find a publisher in China. Yang (2014) describes this as “watering down the controversial sections for Chinese readers and the party watchdogs while keeping the full flavour of his provocative imagination for editions to be published abroad.” (Yang, 2014, p. 151) This illustrates the dilemma of many

²⁴ Ha Jin presumably refers to the China Writers Association (CWA) 中国作家协会 *Zhongguo zuojia xiehui*

Chinese writers. They want to write freely but can only do so when publishing outside mainland China. On the other hand, they want to publish their works for mainland Chinese readers, which means that their books will be subject to censorship. They have to decide whether to give up their artistic freedom by complying with the Chinese censorship system or publish outside China and only reach a limited number of Chinese readers. The influence of self-censorship is however very hard to ascertain or prove, as many Chinese writers refuse to talk about the problem (which is a form of self-censorship of meta-/epitexts) or consider themselves unaffected. Abrahamsen (2012) states in his article that he tried “coaxing writers into confessing to me how oppressed they felt”. Whereas “a few agreed boisterously with my arguments [...], most just squinted at me or let their eyes wander, then changed the subject” (Abrahamsen, 2012). In a broader sense, even squinting and looking away constitutes a form of non-verbal paratext.

The uncertainty of not knowing exactly what will be banned and what can be published lead to the effect that writers may choose not to write about a topic that might be too critical or controversial and publishers might choose books for publication, which can be considered as ‘safe choice’. This has an impact on Chinese literature production in general, as it limits a writer’s creativity and free thinking. Therefore, Chinese literature is less diverse than it would be without a censorship system. Nevertheless, there are voices arguing that censorship has positive effects on the literary production of a country, as writers have to be more creative to avoid the banning of their works and the readers have to read between the lines and interpret the texts in a new way. The deliberate misleading of the reader by means of fabrication is often referred to as literary mystification, as Müllerová points out (2013). But tricking the censors and thereby avoiding the banning of a book is not the only reason for literary mystification, as it is also used to strengthen the social impact of the work as well as attracting attention (Müllerová, 2013). In any case, censorship influences the literary production and the creativity of Chinese authors and furthermore “distorts the relationship between writers and readers by throwing an unnatural emphasis on the importance of writers, the written word, and the political uses of literature” (McDougall, 1993, p. 89). Censorship challenges the writers as well as the text and its borders at both ends: “when the censor intrudes to alter or erase passages and when the shrewd reader reads between the lines” (Baer, 2014, p. 339).

4.4 Popularity of Banned Chinese Literature in the West

Despite the generally low number of translations from Chinese, as outlined in 4.2, literature that has been banned in China is becoming more and more popular in Western countries. Kraus claims that censorship is therefore often used to target readers and as a sales appeal (Kraus, 2004):

A major impediment to understanding censorship in China is the way Western media hype the “banned in China” theme, exaggerating censorship. Virtuous outrage at human rights abuses, simple anti-Communism, and efforts to make cultural products seem more significant, and therefore more attractive to purchasers, all play a role in assessments that are often extreme or ludicrous. (Kraus, 2004, p. 131)

In Western countries, especially in Germany, censorship and banning in China often seem to be regarded as a sign of quality, no matter how good the book really is. Kubin (2007) emphasises that being brave enough to stand up to the Chinese censorship system and risk banning and being a good writer are two entirely different things. Nevertheless, the misperception in Germany of banned Chinese authors being inevitably good writers does become visible in newspaper articles, for example in the German newspaper *Süddeutsche Zeitung* which starts an article with the following sentences: “Buchempfehlungen aus China? Nichts leichter als das. Die Zensoren in Peking haben gerade wieder acht Bücher verboten. Das ist in China ein untrügliches Zeichen für Qualität” [“You want recommendations for Chinese books? No problem! China’s censors just banned another eight books. This is unmistakable evidence of high quality for Chinese books”] (Bork, 2010). It is therefore common that the banned status of a book is also used to promote and market a book in western countries, as Kubin pointed out (2007). He further explains:

Deutschen Journalisten und chinesischen Autoren kann nichts Besseres als ein Buchverbot passieren. Zwar können die Schriftsteller dann in China ihre Bücher nicht mehr verkaufen, doch im Ausland machen sie Kasse. (Kubin, 2007)

[Nothing could be better for German journalists and Chinese authors than the banning of a book. Although the writers can’t sell their books in China any longer, they can make money abroad.]

This thesis is supported by Michel Hockx (2010, p. 700) who states that “[f]iction from China, especially work considered “exotic” or “dissident” or both, is in demand on the global literary market[...].” Siemons (2007) further states specific sales arguments for the marketing of translated Chinese literature in Germany: books must be about Mao or sex or be banned in China. This demonstrates well the criteria according to which many publishers seem to choose books that will be translated. Besides these sales arguments,

an important part in the promotion of censored literature is played by the media, who are more likely to promote banned literature rather than books from authors that work closely with the Communist Party, or as Kraus (2004, p. 127) puts it: “Western reporters would rather hear tales of artistic suppression than of cooperation”.

As the Chinese censorship seems to function as one of the main sales arguments, the abolition of it would offer chances for Chinese writers, but China would lose its dissident literature, which has “at present [...] privileged access to world media” and “would likely fade away and die” without censorship (McDougall, 2014, p. 63). This shows once more that the Chinese censorship is a double-edged sword. It limits China’s literature production and deprives Chinese writers of a fundamental right, namely that of freedom of speech and expression, but it is also one of the key marketing arguments for Chinese literature in Western countries. It is therefore difficult to say whether censorship in China is a blessing or a curse.

Chapter 5. Methodology

This chapter outlines the methodology used in this thesis:

1. A paratextual analysis of selected paratextual elements present in the different versions allowing assumptions to be made about the intentions of publishers and possible effects on readers.
2. Two reader-response studies to ascertain the effects of paratexts on readers.
3. Surveys of translators to investigate their involvement in the production of paratexts.

Section 5.1 explains the criteria for the selection of the authors and the books included in this thesis.

In this thesis, triangulation design mixed method research design is used by combining qualitative and quantitative research and data to allow a better understanding of the problem than if only either of the methods had been used (Creswell and Plano Clark, 2007). Triangulation design was chosen to obtain different results from the two different research methods, which complement each other and allow a better understanding of the researched problem. This means that the data from the paratextual analysis and the reader-response studies will be collected and analysed separately and the different results are converged during the interpretation stage. This design makes the comparison, validation or confirmation of results as well as the corroboration of qualitative and quantitative findings possible (Creswell and Plano Clark, 2007). This further means that the reader-response study can compensate for the shortcomings of the paratextual analysis, which are mainly that it is based on my own, subjective observations rather than the opinions of readers. Overall, using a triangulation design mixed method is the most appropriate method for this case study research.

5.1 The Selected Authors and their Works

The main part of this research is a multiple case study analysing and comparing the paratextual elements of four Chinese books which are banned in China and were therefore published in Hong Kong or Taiwan, as well as their English and German translations. A multiple case study has been chosen for this thesis, since it can deal with different types of evidence when investigating “a contemporary phenomenon in depth and within its real-life context”, especially when “the boundaries between phenomenon and context are not clearly evident” (Yin, 2009, p. 18), it is the most suitable method for investigating the research questions. A multiple case study, in contrast to an intrinsic or instrumental case

study, offers the possibility to investigate a phenomenon (in this case paratexts in translations of Chinese banned books) by using several cases in the study. In this thesis, one translation or edition is considered one case. Using a case study raises the question as to whether the results can be generalised. According to Punch (2014, p. 123), a case study can produce results which can potentially be generalised, either by conceptualising or by developing propositions. To conceptualise means that the data analysis focusses on conceptualising the results rather than merely describing them. Based on the case study, the researcher can then put forward propositions or hypotheses which will then be assessed whether they are applicable and transferable to other cases or situations (Punch, 2014, p. 123). Although these methods cannot prove that the findings can be generalised, they can suggest generalisability and give implications for further research, Punch continues. When narrowing down the potential corpus of books for this case study, a few choices had to be made. First, the topic or genre of the corpus needed to be identified. Chinese banned books in translation were chosen for their regular feature in the media and the fact that they are often pictured as being more thrilling or of higher quality than non-banned books. Second, the authors had to be chosen and third, the existing translations needed to be found. The selection process is explained in more detail in the following section. As the potential corpus, even when narrowed down to Chinese banned books, is wide, this study focusses on four books and 16 different editions of their German and English translations. Four books were chosen for manageability, but also because only a very limited number match the selection criteria outlined in Section 5.1.2 while being published in different countries and editions.

5.1.1 Criteria for Selection

The criterion in this selection process was that there had to be an existing translation of the original Chinese work in both English and German. English and German translations were chosen because they were the easiest to access and furthermore because they are the languages I am fluent in, which allows for a more in-depth analysis of verbal paratexts than translations into other languages. In addition, I am most familiar with the German and the UK book market. Preferably, these translations would also exist in different editions, either from different countries speaking the same language (e.g. one edition from the UK and one from the US) or translations from the same country in both a hardcover and a paperback edition, because this offers a wider variety of paratexts. However, sometimes the differences between the paratexts of the hardcover and the paperback editions are minimal, possibly for commercial reasons, as keeping the cover design, blurb

and other paratextual elements from the hardcover edition and using them for the paperback edition is cheaper than a redesign. Despite the often minimal differences between hardcover and paperback editions, both versions were included where available to offer a wider variety of paratexts. Indirect or relay translations were excluded from the study for the reasons given below.

Finding a three-language comparative corpus proved to be problematic, as many Chinese works from an author were only translated into either English or German, but only rarely the same book of an author was translated into both languages. Even within the entire work of Nobel Prize winner Mo Yan, the number of works translated into both English and German is scarce. It is therefore not surprising that novels of lesser-known (and banned) authors are rarely translated into two languages at the same time. One reason might be the relative lack of importance of translations from Chinese, for the book markets in the UK and Germany, which is illustrated in Studies by the Mercator Institute (Donahaye, 2012) and the Börsenverein des Deutschen Buchhandels (See Section 4.2 for more details). Another possible reason is that different books are deemed as worth translating by publishers in different countries. This might be influenced for example by a certain political climate at the time, the potential readers' overall interests as well as the target market's history. Furthermore, some of the existing translations of Chinese literature were not translated directly from Chinese, but via another European language. An example is Ma Jian's novel 肉之土 *rou zhi tu*, which was first translated into English as *Beijing Coma* and then this English version was used as a source text for the translation into German, where it was published under the title *Peking-Koma*. This mode of translation, which uses an existing translation as its source text, is usually referred to as indirect translation or relay translation. According to St André (2008), the difference between the two modes is that indirect translations use an intermediary translation as source text, which is not intended for publication, whereas relay translations use an existing and published translation as a source text. However, many scholars use the terms indirect translation and relay translation interchangeably. The reason for excluding indirect or relay translations from this study is that a translation using another translation as a source text is more likely to contain errors already present in the first translation, which was used as a source text. This means that possible misunderstandings in the first translation might also be carried through into the second translation, possibly the most important reason for the unpopularity of relay translations in both theory and practice and the perception of it being, "at best, a necessary evil" (St André, 2008, p. 230). As these

errors stemming from the nature of relay translation might also influence the paratexts of the translation, as publishers and cover designers usually read the translation and not the original before deciding on paratexts and the publishing strategy, relay or indirect translations were excluded and only translations that used the Chinese original text as a source text were chosen.

5.1.2 Books Selected for this Study

Three authors and their works were selected for the study because their works have been translated directly into both English and German and these translations exist in different editions. The selected books are:

- 墓碑 – 中國六十年代大饑荒紀實 *Mubei – Zhongguo liushi niandai da jihuang jishi* [Tombstone: An Account of the Chinese Famine of the 1960s] by Yang Jisheng, published by Tian di tu shu you xian gong si [Cosmos Books Ltd.]
 - *Tombstone: The great Chinese famine, 1958-1962*, published by Farrar, Straus and Giroux (US, paperback)
 - *Tombstone: The untold story of Mao's Great Famine*, published by Penguin Books (UK, paperback)
 - *Grabstein – Mùběi: Die große chinesische Hungerkatastrophe 1958-1962*, published by S. Fischer (Germany, hardcover)

Both English versions included in this study were translated by Stacy Mosher and Guo Jian. The book was translated into German by Hans-Peter Hoffmann. The book has never been published in the PRC, the only Chinese language edition was published in Hong Kong. It is most likely that the Mainland Chinese publishers deemed the book too much of a risk to publish it in China rather than the book having been banned after publication.

- 六四 – 我的證詞：從先鋒派詩人到底層政治犯 *Liu si – wo de zhengci: Cong xianfengpai shiren dao diceng zhengzhifan* [June 4th, my testimony: From avant-garde poet to political prisoner] by Liao Yiwu, published by Yunchen Wenhua
 - *For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison*, published by New Harvest/Houghton Mifflin Harcourt (US, hardcover)
 - *For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison*, published by Text Publishing (Australia, paperback)

- *Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen*, published by S. Fischer (Germany, hardcover)
- *Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen*, published by S. Fischer (Germany, paperback)

The book was first translated into German in 2011 by Hans-Peter Hoffmann and was later translated into English by Wenguang Huang. The original Chinese edition of this book was only published in Hong Kong, where it is now out of print, and is banned in China (*Liao Yiwu: For a Song and a Hundred Songs*). Given the censorship all of Liao's works have faced, in addition to his imprisonment for his writing, it is somewhat unlikely that publication in Mainland China was even attempted.

- 爲人民服務 *Wei renmin fuwu [Serve the People!]* by Yan Lianke, published by Mai tian chu ban she [Rye Field Publishing Co.]
 - *Serve the People!*, published by Black Cat (US, paperback)
 - *Serve the People!*, published by Constable (UK, paperback)
 - *Serve the People!*, published by Text Publishing (Australia, paperback)
 - *Dem Volke dienen*, published by Ullstein (Germany, hardcover)
 - *Dem Volke dienen*, published by List (Germany, paperback)

The novel was translated into English by Julia Lovell and the German translation is by Ullrich Kautz. *Serve the People!* is one of the best-known banned Chinese novels. It was published in an abbreviated version in the Chinese magazine Flower City (花城 *hua cheng*) before it got censored. For the publication in this magazine, author Yan Lianke had cut more than 40,000 of the original 90,000 words and the editor cut a further 10,000 words. Nevertheless, the novel was banned as soon as it was published. Although the Propaganda Department had ordered the 30,000 copies to be retrieved, it could not prevent that the novel had reached at least a few readers. The reason for the banning of *Serve the People!* was that the main characters in the story smash a plaster statue of Chairman Mao by accident, shred some portraits of Mao and tear up some of his writings. Ha (2008) quotes the authorities saying that the novel was “vilifying Chairman Mao, the People's Liberation Army, and the revolution through excessive sexual descriptions” and therefore “it confuses people's mind and disseminates Western ideas”.

- 丁莊夢 *Ding zhuang meng [Dream of Ding Village]* by Yan Lianke, published by Mai tian chu ban [Rye Field Publishing Co.]
 - *Dream of Ding Village*, published by Grove Press (US, paperback)

- *Dream of Ding Village*, published by Corsair (UK, paperback)
- *Der Traum meines Großvaters*, published by Ullstein (Germany, hardcover)
- *Der Traum meines Großvaters*, published by List (Germany, paperback)

Dream of Ding Village was translated into English by Cindy Carter and the German translation is by Ullrich Kautz. According to the US publisher and various other internet sources, the book was banned upon publication in China (*Dream of Ding Village*). Some sources further claim that the publication and the banning in China was the subject of a bitter lawsuit between Yan and the Chinese publisher (丁庄梦 (lit. *The Dream of Ding Village*)).

The Chinese original works and the translations constitute a total corpus of twenty books. Different editions usually include paperback and hardcover editions, which sometimes, but not always, differ in their cover design. In addition, the US, UK and Australian editions were chosen, whenever possible. These books were chosen because they are widely read and therefore fairly well known and in addition they exist in both English and German translation, all done from Chinese. While these three authors have in common that some or all of their books are banned in mainland China, their backgrounds are quite different. Yang Jisheng is a journalist and member of the Communist Party, whose loyalty to the Party was destroyed after the Tiananmen Massacre in 1989. Liao Yiwu is an author, poet and harsh critic of China's communist regime, now exiled in Germany. In 2012 he won the *Peace Prize of the German Book Trade* for the German translation *Für ein Lied und hundert Lieder* of his work *Liu si – wo de zhengci*. The third author, Yan Lianke, is a well-known writer of highly satirical novels and short stories, who is not afraid of addressing sensitive topics in his works. Although several of Yan's novels are banned in China, he is still highly recognized for his writing and does not face other oppressions than the censoring of some of his works.

The chosen books include a variety of paratexts and paratextual strategies, with some versions being published with a similar cover in different countries and some books being published with different covers in the same country. Therefore, this corpus allows an in-depth analysis of different publishing strategies and offer the possibility to research the readers' reactions to and opinions on the different versions.

5.1.3 The Authors

Yang Jisheng

Yang Jisheng was born in 1940 and joined the Chinese Communist Party in 1964. He graduated in 1966 from Tsinghua University in Beijing, after which he started working as a journalist for the Xinhua News Agency in 1966 until his retirement in 2001. Working for the official news agency of the Chinese government, he was able to gain access to the Party's statistics and documents. After working for Xinhua, he became a deputy director at the Chinese journal *Chronicles of History* (炎黄春秋 *Yanhuang Chunqiu*, sometimes translated as *China Through the Ages*), which regularly publishes articles on controversial political topics. For his book *Mubei*, he used not only the Party's statistics and documents but also started interviewing contemporary witnesses in order to compile the data for his documentary on the Chinese Great Famine (Yang, 2012; Yang, 2013a).

Liao Yiwu

Liao Yiwu was born in 1958 in Sichuan province in southwest China. Liao grew up during the Great Famine of the 1960s, with his parents not possessing a "permanent residence permit". Today he is a writer, musician and poet. In 1989 he wrote a poem entitled "massacre" which was quickly distributed, within China as well as abroad. For the content and distribution, Liao was imprisoned for four years, during which he suffered abuse and harassment. In 2007, Liao was awarded the "freedom of writing prize" from the Chinese Independent PEN, followed by the Geschwister-Scholl-Prize in 2011 and the *Peace Prize of the German Book Trade* in 2012 (Liao, 2011; Liao, 2013a).

Yan Lianke

Yan Lianke was born in 1958 in Henan province, in the eastern central part of the People's Republic of China. He is not only one of China's most established writers, famous for his highly satirical works, for which he received China's most prestigious prizes for his writing, amongst these the Lu Xun Prize and the Lao She Prize. Leung said about Yan:

Exuberant, compassionate, and innovative, Yan Lianke 阎连科 is among the most prolific, successful, and controversial writers of China today. (Leung, 2011, p. 73)

Yan is, in addition, one of China's most controversial authors, with several of his works being banned in mainland China. Two of his most well-known and banned books are included in this study: *Serve the People!* and *Dream of Ding Village* (Yan, 2007a; Yan, 2012).

5.2 Paratextual Analysis

The paratextual analysis uses the different theories, categorisations and definitions outlined in Chapter 2 as the basis for analysing a range of verbal and visual paratexts. The analysis will be used to illustrate the functions of the paratexts and make assumptions about the publishers' intentions and how they might use paratexts to target, influence or manipulate the potential readership. The analysis only includes paratexts which were also used in the reader-response study: book titles, front covers, blurbs, back covers and praise. Other paratexts, which were not researched in the reader-response study were excluded to avoid speculation about possible effects on readers without evidence. Each individual paratext is analysed and then compared to the corresponding paratext in other versions. The paratextual analysis provides the basis for the reader-response study outlined in section 5.3. The assumptions made in the analysis will be compared to the results from the reader-response study to see whether the assumed intentions of the publishers had the desired effect on readers.

5.3 Reader-Response Study

One main element of this thesis is a reader-response study to investigate the influence of paratexts on readers, how readers perceive paratexts and books and what associations the individual paratextual elements evoke. Furthermore, the reader-response study will also research their opinions on banned books.

Reader-response studies can be traced back a long time. The earliest recorded reader-response studies in Germany were conducted in the early twentieth century, between 1913 and 1915 by Eugen Diederichs, one of the pioneers in German book publishing. He included postcards in the books, asking readers to answer questions on how they decided to purchase a specific book and return the postcards to the publisher. Reader-response studies have proven to be a valuable research tool and have been employed regularly, for example in Muth and Köcher (1993).

Conducting and evaluating a reader-response study is not always easy. Although readers may share the same socio-cultural background and are restrained by the same ideology, their responses to the same text may be diverse (Li, 2012). This is especially the case when the source culture and the target culture do not share the same ideology. However, although readers may not respond exactly the same to the same text, their views arising from their cultural and ideological background tend to be similar. Li (2012) points out

that translators prefer to choose translations which are ideologically similar, no matter whether they were inspired or constrained by the dominant ideology. He claims that this is due to the fact that translations are more easily accepted if their ideology and that of the target readers is similar or the same. Li further states that some translators do not agree with the dominant ideology and therefore choose to oppose it. However, he points out that translations themselves are “innocent, but their translations can be used by translators as a tool to introduce a totally different ideology” (Li, 2012, p. 131). Although Li’s argument is not necessarily wrong, it does have some flaws. First, it is not the translators who decide which texts are translated, but rather clients, agents and publishers. Second, he ignores the possibility that it may be a difference in ideology that attracts readers. And lastly, his claim that “ideologically different translations can only be welcomed by TL readers when they are translated in the right place and at the right time” (Li, 2012, p. 134) appears to be rather superficial, as this is probably also true for genres and topics, as these are all subject to fashions.

In addition to differences in ideological and socio-cultural backgrounds of the readers, there were more practical issues to solve. First of all, designing a questionnaire that included questions which could produce valuable data without leading the readers in any direction was not always easy. Here, using a fellow PhD student to scrutinise the questionnaires proved to be a useful method because this allowed not only to estimate the time it would take the readers to fill in the questionnaire, but also to point out any leading questions. Secondly, a suitable group of participants needed to be identified and recruited. Finally, the lack of incentives for the participants made the recruitment difficult and furthermore led to several readers not finishing the questionnaire.

5.3.1 Preliminary Reader-Response Study

The first reader-response study was a preliminary study, only researching readers’ reactions to the English and German translations of Yan Lianke’s book *Wei renmin fuwu*. The main focus was the interplay of book cover and title and how these elements influence how appealing the readers find the cover. The preliminary study was conducted with a smaller number of participants and only the translations of one of the four source texts, in order to test questions and explore trails worth pursuing in the main study. The study was conducted online with two groups, using completely anonymous questionnaires created with esurveycrator.co.uk, one group including English native speakers and one including German native speakers. The participants were specifically chosen in order to

have two similar groups. Each group included 11 participants, 6 female and 5 male readers. The English group included 3 readers under 25 years, 4 between 25 and 40, and 4 over 40, 8 of whom have a university degree and 3 of whom have not. 9 of the 11 readers grew up in the UK, one in Spain and one in the Far East. The German group included 2 readers under 25, 4 between 25 and 40, and 5 readers over 40, 6 of whom have a university degree and 5 of whom have not. 10 of the German readers grew up in Germany and one in Austria.

The questions were created after an initial paratextual analysis aiming to investigate how and why book covers do or do not appeal to readers. To ensure objectivity, the questions were phrased as neutrally as possible to avoid steering the readers in a certain direction. After the creation of the questionnaires, they were scrutinised by another PhD student to confirm the intended objectivity.

The readers were asked to judge the appeal of the book covers and titles at three different stages. This approach allowed investigation of the readers' reactions to the paratexts both individually and combined, to examine the influence of the paratextual interplay on a book cover's appeal. At stage one, the readers only saw the basic book cover designs without title, publisher or author. At this stage, the cover designs of all English and German versions were included in both language groups. The readers were asked to judge the cover design's appeal on a scale from 0 (not appealing at all) to 100 (very appealing) and what they associated with the cover designs. At the second stage, the readers were given the title, without the cover design, in their mother tongue (*Serve the People!* or *Dem Volke dienen* respectively). They were then asked whether they liked, disliked or were unsure about the title. The readers were then asked what associations come to mind when reading the title. The readers' associations or impressions were coded and grouped, e.g. answers such as 'communist country', 'communism' or 'Maoism' were coded as 'communism'. The groups were then ranked according to the times they were mentioned. At stage three, the readers were presented with the complete cover designs including title, author and publisher. This time they only saw versions available in their native language. At this stage, the readers were again asked to rate the book cover's appeal on a scale from 0 to 100. In addition to questions related to the books, the readers were asked what they associate with different colours, both before and after they were presented with the different book covers and the title to see whether the book covers influenced the readers' associations with colours.

5.3.2 Main Reader-Response Study

Study Aim and Design

The main aim of the reader-response study is to research the readers' responses to book covers, titles, praise and back covers, which includes how appealing they find different paratexts and what their associations and emotions with them are. Another focus is to investigate how readers perceive the paratextual framework, as an interplay of individual paratextual elements or as a set of standalone elements. This will allow further investigation of the findings of the preliminary reader-response study. The results of the main study will be used to investigate whether the readers' reactions match the intentions of the publishers or whether the publishers' strategies to attract and target readers failed. It will also indicate whether and how the readers were manipulated, whether their expectations were met or whether the paratexts were misleading. This will allow conclusions to be drawn about the paratextual interplay and whether and how it impacts on the readers' perception of the book.

The study was conducted online using questionnaires created with [esurveycrator.co.uk](https://www.esurveycrator.co.uk). The questions were based on those used for the preliminary study, which was used to test questions and question formats and evaluate the questions' overall usefulness for this project. Some questions were identical to those of the preliminary study, some were adapted when the first study showed this as necessary and some questions were deleted. In addition, some questions were added where necessary. The question types include closed questions (single selection and multiple-choice), visual analogue scales (0-100) and open questions (single and multiline text boxes). All questions are compulsory, but single selection closed questions include a "Don't know" option and open questions allow the reader to skip the question, for example by just putting one letter in. This might prevent the readers from making random choices if they are unsure, which will decrease the risk of false data.

Participants

Two groups of participants were recruited: one group of German native speakers and one group of English native speakers. In both groups, the final number of participants who have filled in the entire questionnaire was 25. The number of people contacted and invited to participate was higher, because not everyone contacted filled in (the entire) questionnaire. The survey was closed as soon as 25 participants were reached. The demographics in the English group were as follows: 10 male and 15 female; 6 under 25

years, 11 between 25 and 39 years and 8 over 40 years. 22 of the English readers grew up in the UK and 3 in the US. In the German group, 7 were male, 18 female; 5 under 25, 11 between 25 and 39 and 9 over 40. Within the German group, 22 readers grew up in Germany, 2 in Austria and one in the US. The participants were specifically chosen and recruited through friends, family and colleagues, as well as using postings in different groups on Facebook. This allowed control of participant numbers as well as demographics. The participants either received personalised links through the survey provider's mailing system, personal emails or Facebook messages. Every link contained a unique ID number in order to prevent the link being passed on or a participant answering the questionnaire twice. The questionnaires were anonymous from the beginning, i.e. no names, email addresses or IP addresses were logged, preventing a backtracing of answers to a specific participant. The participants were informed about this before they started the questionnaire.

The main difference between the two groups is that the percentage of participants having obtained a university degree is higher in the group of English readers than it is in the group of German readers. 72 per cent of the English readers have a university degree, whereas only 52 per cent of the German participants have a university degree. This decision was made because the overall percentage of 25-64-year-olds having completed tertiary education is much higher in the UK (42 per cent) than it is in Germany (27 per cent) (OECD, 2015). The main reason for the lower percentage in adults with tertiary education levels in Germany is the positive image of the dual vocational training in Germany, which makes it the “quantitatively dominant form of training and education” in Germany (Blöchle *et al.*, 2016, p. 19).

In both groups, the number of female participants is higher than the number of male participants. This is in accordance with the higher proportion of female readers or book buyers in the UK (Gleed, 2014) and Germany (Börsenvereins des Deutschen Buchhandels e.V., 2015).

Structure and Questions

The questionnaires in English and German consisted of identical structures and question sets. The only difference was that the questionnaires contained the book covers and titles available in the language of the participants, English and German respectively. Since there are more English versions on the market than there are German versions, the English

questionnaire contained more questions than the German (70 and 64 questions respectively).

As for the preliminary study, the questions were created after the initial paratextual analysis. Furthermore, the results of the preliminary study were taken into account, since they offered indications for further research (e.g. the interplay of paratexts). Here again, to ensure objectivity, the questions were phrased as neutrally as possible to avoid steering the readers in a certain direction. After the creation of the questionnaires, they were also scrutinised by another PhD student to confirm the intended objectivity, as the questionnaires for the preliminary study were.

The questionnaire was divided into eight parts.

1. The informed consent form outlining the aim of the study, the data protection as well as my contact details.
2. Gathering of statistical data. This included the age range the participants fell under (under 25, 25-40 or 40+), their gender, the country they grew up in, their native language and whether they obtained a university degree. It further included questions about their level of Chinese, whether they have ever been to mainland China and whether they work in any related sectors, such as translating/interpreting, marketing, publishing, retail or design.
3. Investigating the readers' decision-making, asking for the most influential factors when deciding to buy or read a book (author, title, cover design, blurb, book reviews, recommendations, series/publisher or other) and whether the readers have ever (not) bought a book because of its cover.
4. The readers were asked a set of questions relating to their opinion on censorship and China. The readers had to decide whether they think a banned book from China is less or more appealing, interesting or exciting/thrilling than non-banned books and whether it's of better/worse quality in their opinion. Furthermore, the readers were asked whether they ever read a Chinese banned book and what the first associations are that come to their mind when thinking of China.
5. Investigating readers' responses to the books' titles. The same set of questions was asked for every individual title in the following order: *Serve the People!*, *Dream of Ding Village*, *For a Song and a Hundred Songs* and *Tombstone*. The readers were asked whether they had heard the title before, what their first associations are when reading the title and further had to rate the title's appeal on a scale from 0 (not appealing at all) to 100 (very appealing).

6. The readers' reactions to the book covers. Here again, the same set of questions was used for each book cover. The covers of the translations of the four different source texts were investigated separately, keeping the same order as with the titles. At first, the readers were asked to rate the appeal of each version's cover from 0 to 100. This was followed by a question asking the reader what they think the book is about and further what their associations with the book cover are. In addition, the readers were asked how well they think title and cover match and what the reason for their opinion is.
7. Investigating the books' back covers, asking the readers to rate their appeal (for each version individually) and what in their eyes the most memorable features of the book are (for all translated versions of the same source text together).
8. Revisiting the censorship questions. This revisiting was included to investigate whether the paratexts and the use of censorship in them as a marketing tool influenced the readers' opinions on and perceptions of banned books.

5.4 Survey of Translators (and Publishers)

In order to situate the translations and understand, where possible, the rationale behind paratextual strategies as well as publishing decision, I conducted an online survey with some of the translators who translated books included in this research. The surveys of the translators and publishers of the selected versions were created online, using esurveycrator.co.uk. The majority of the questions were open questions, allowing the participants to give more detailed answers, as well as allowing the participants the options of not answering by writing N/A or similar in the answer box. After the translators of the translations in this study were identified, I tried to contact them via email or LinkedIn. In one case, the contact details were not available online. Therefore, I contacted the Paper Republic network. With the help of Eric Abrahamsen, who sent an email asking for the translator's contact details through their mailing list, I was able to obtain the email address and contact the translator. In total, seven translators were contacted, but only three filled in the online survey, one of them only finished half of the questionnaire. Two of these translators are based in the US and one in Germany translating into English and German respectively. Since the response rates from translators were low, the responses from the started but not finished questionnaire will be included. Contacting the publishers proved to be even more difficult, due to the lack of contact details of the relevant people. Therefore, I often had to send an email to a general email address asking for my enquiry to be passed on to the relevant person. Even when my request was forwarded to a person

involved in the publication process, I did not receive many replies. Two editors, one German and one American, agreed to fill in the questionnaires but did in the end not do so despite gentle reminders. Due to the lack of responses from the publishers' side, only the surveys of the translators could be included and therefore, the data are incomplete.

The low number or even lack of responses to questionnaires is a common challenge in social science research, especially when surveys are web-based (Reio, 2007). Low response rates mean a smaller sample size which can have a negative impact on the statistical power. This smaller sample size can lead to a lower perceived credibility of the survey results and also to biased samples (Rogelberg *et al.*, 2003). In order to reduce the number of nonrespondents in this survey with publishers, a mixed mode survey approach (Kreuter, 2012) was attempted. Mixed mode surveys are often used to reduce nonresponses by contacting nonrespondents by phone or in person (Kreuter, 2012) but in this instance it was not successful in reducing the nonresponses. Therefore, it is necessary to examine the factors which may have led to the nonresponses. The first factor is the difficulty of establishing and contacting people who worked on the books, such as editors, publicists or marketers. Without a relevant contact, the surveys had to be sent to a general contact email address which may have led to them not being passed on to the relevant person. Furthermore, the survey may have appeared to extensive and they may have feared of having to give information which they did not want to be in the public domain. A final factor might have been a lack of interest in the research topic.

The questionnaire was divided into six parts:

1. A question about whether the fact that a book is banned influences the translator's decision to translate the book.
2. A set of questions regarding the commissioning and translation process: who decided to translate the book, who approached whom and whether the translators work with one or several publishers.
3. A couple of questions investigating the translator's opinion on the target readership for translated Chinese literature and its presentation in the local book market.
4. A set of questions about the quality and appeal to readers, and sales of translated Chinese banned books.
5. Several questions researching the translator's opinion and influence on book covers, titles, blurbs, prefatorial material and foot-/endnotes of translated Chinese literature in general and the books in this study in particular.

6. Finally, a set of statistical/demographic questions.

As this chapter has shown, the main methodology of this thesis consists of three parts: a paratextual analysis of the English and German translations of four selected Chinese banned books, two reader-response studies and an online survey with the translators of the included translations. This combined approach prevents speculation about how readers might react to paratext and instead uses their responses for a more evidence-based analysis.

Chapter 6. Findings from the Paratextual Analysis

In this chapter, the findings from the paratextual analysis are presented. Section 6.1 will show the analysis of the book titles, Section 6.2 that of the front covers including praise and Section 6.3 that of the back covers and blurbs, including a categorisation of the word choice of verbal paratexts on the different back covers. The chapter finishes with a short interim conclusion in Section 6.4.

6.1 Book Titles

The book titles of the translations included are not only diverse but also demonstrate different strategies: direct translation of the original title, partial translation of the original title with the addition of further information in the title and creation of a completely new title. For a first overview, the titles of original works and translation are shown in the following table:

<i>Original title</i>	<i>English title</i>	<i>German title</i>
墓碑 – 中国六十年代大饥荒纪实 <i>mubei – Zhongguo liushi niandai da jihuang jishi</i> [Tombstone: An Account of the Chinese Famine of the 1960s]	1. <i>Tombstone: The Great Chinese Famine, 1958-1962</i> (Farrar, Straus and Giroux) 2. <i>Tombstone: The Untold Story of Mao's Great Famine</i> (Penguin)	<i>Grabstein – Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962</i> [Tombstone – Mùbēi: The Great Chinese Famine 1958-1962]
六四 – 我的证词: 从先锋派诗人到底层政治犯 <i>liu si – wo de zhengci: Cong xianfengpai shiren dao diceng zhengzhifan</i> [June 4th – my testimony: from avant-garde poet to political prisoner]	<i>For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison</i> (both versions)	<i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen</i> [For a song and a hundred songs: A testimony from within Chinese prisons] (both versions)
为人民服务 <i>wei renmin fuwu</i> [Serve the People]	<i>Serve the People!</i> (all three versions)	<i>Dem Volke dienen</i> [Serve the people] (both versions)
丁庄梦 <i>Ding zhuang meng</i> [Dream of Ding village]	<i>Dream of Ding Village</i> (both versions)	<i>Der Traum meines Großvaters</i> [My grandfather's dream] (both versions)

Table 2 Book titles

6.1.1 Serve the People!

All translations into both English and German of *Wei renmin fuwu* use a literal translation of the original title, namely, *Serve the People!* and *Dem Volke dienen*. The reason for this decision might be because both titles include slogans of the communist jargon in English and German, which might be known to the readers. This impression is further emphasised by the cover design, showing communist symbols, as explained in Section 6.2. Therefore, by the publisher using these slogans instead of a less literal translation and supporting them with communist symbols, the title and design are giving signals that guide readers towards the interpretation that the book is placed in a communist setting. This reference gives the reader a first impression of the book's content when reading the title. However, only during the reading of the book does the full meaning of the title become apparent: it does not only relate to the communist slogan in general, but it is a signboard of this slogan that plays an important role in the protagonist's sexual affair and thereby gets a completely different meaning and connotation. The title both identifies and designates the work, however, by the use of an existing and in a communist context widely used term (*Serve the People!*), the title is not unique in itself. The underlying connotation and heavy irony of the title only become obvious once the reader has started reading the book. The title is nevertheless catchy, maybe also because it seems slightly out of time and place in a Western, non-communist country and alludes to familiar stereotypes of communism.

In contrast to the German version, the English version includes an exclamation mark in the title which might influence the readers' perception of the title. This will be investigated in the reader-response studies later on.

6.1.2 Tombstone

When comparing the titles of 墓碑 – 中国六十年代大饥荒纪实 *mubei – Zhongguo liushi niandai da jihuanguang jishi* [*Tombstone: An Account of the Chinese Famine of the 1960s*], the first obvious characteristic is that the book has a title as well as a subtitle. This is marked typographically on the book cover and by using punctuation, the Chinese and German title use a dash and the English a colon in the book title. It is apparent that the titles of both the English and the German translation are close translations of the original title, with only minor changes. First, all titles keep the image of the tombstone in the title, keeping it as the first “lead-in” word of the title. The German book cover additionally includes the pinyin of the Chinese (*Mùbēi*), presumably adding exoticism and mystification to it in order to create interest and grab the readers' attention. Second, two

of the three translated titles keep the time reference, but making it more precise by stating the exact years of the Great Famine instead of “in the 60s”. This helps Western readers, who might only have heard of the Great Chinese Famine, to place the story temporally. The Penguin edition, however, does not include this temporal reference. Instead, the title reads “The untold story of Mao’s Great Famine”. By including the reference to Chairman Mao and “untold story”, the reader should get the feeling of a great revelation, of something being unveiled and secrets being finally disclosed. It could further imply that China is closed and secretive about its own history, which has now finally been told. The focus in the title of this edition is therefore on capturing attention rather than providing as much information as possible about the book’s content and setting. Further, as pointed out in Section 4.2, Mao is an important sales factor for translated Chinese literature and the inclusion into the title of the Penguin edition uses it as a marketing tool. The title of the German translation uses “Hungerkatastrophe” [hunger catastrophe] as a translation for “famine”, which is a stronger, and more dramatic, word than the literal “Hungersnot”. This word choice emphasises the dimension of the Great Famine and will further attract more attention than the more neutral “Hungersnot”. All titles are partial translations of the Chinese title and fulfil, without doubt, the identifying function of a title, and further designate its contents (the Great Chinese Famine). By using strong words or catchy phrases, as in the German and UK title, the title is used to create more interest in potential readers.

6.1.3 For a Song and a Hundred Songs

The original Chinese title of 六四 – 我的证词: 從先鋒派詩人到底層政治犯 [*June 4th – my testimony: from avant-garde poet to political prisoner*] is divided into a title and two subtitles, a distinction which is made visible on the book cover by choosing very large font for the title, a medium font for the first subtitle and a small font for the second subtitle. The German and English titles mainly follow this distinction between title and subtitle, however, they do not have a second subtitle. As on the Chinese front cover, the difference and hierarchy between the titles is illustrated by different font sizes and on the German cover additionally with a different font colour. The comparison of the titles of the English and German translations with the original title shows that both titles have been changed and not literally translated from Chinese. Furthermore, the English and German titles are very similar, with only slight differences in the subtitles. As the German hardcover version was published in 2011 (paperback in 2012) under the title *Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen* [*For a song and*

a hundred songs: A testimony from within Chinese prisons] and the English translation only in 2013 entitled *For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison*, it is to be assumed that the English title is a translation of the German. The reason might be that the English translation was published after the German translation won the *German Book Trade Peace Prize* in 2012 and the publishers of the English translation deemed the title to “work” for the translation. The changes in the subtitles are more interesting. The German translation keeps “testimony” (“Zeugenbericht”) in the title, whereas the English translation uses instead “a poet’s journey”. The English title, however, is slightly closer to the Chinese original, as it keeps the information about Liao being a poet who has been imprisoned. In the German title, the information on Liao being a poet was dropped. Nevertheless, there is a less obvious connection to poetry, which is the title *For a Song and a Hundred Songs*, which has not only a certain rhyme and rhythm but by the inclusion of “song(s)”, possesses a connection to music or poetry. In addition, this poetic title creates a notion of mystery, as there is no further information on the type of songs, their content, authorship or audience. Apart from its poetry, the English title might have a further implication, as “for a song” in English also implies “for nothing”. This is an interesting fact, as this connotation does not exist in German and the question is whether the English title was chosen because of this implication or whether the publisher just translated the German title into English without being aware of the connotation.

The main reasons for not directly translating the title from Chinese into English or German may be primarily that most Western readers might lack the necessary background knowledge to know what happened on the 4th of June (although many might know about the incident or massacre in and around the Tiananmen Square in Beijing but not the exact date) and further that “my testimony” does not offer much information, especially if the potential reader does neither know what happened on the 4th of June nor who Liao Yiwu is. Therefore, translating the title literally would neither have told the reader enough about the content or setting of the book nor would it have been eye-catching enough to grab the readers’ attention. Both titles distance themselves from the Chinese title in order to enhance the readers’ understanding of it and to provide the necessary information to enable them to get a first idea of the book’s content. Further, by using a rather poetic title, the connection to Liao’s profession as a poet and musician is made and further, an atmosphere of mystery is created, as the reader might not know what the songs are about, who wrote or sang them. The title’s main function, besides identifying and designating,

is to grab the reader's attention, primarily by the use of a melodic title and the addition of Liao's imprisonment. Nevertheless, both the English and the German title are much less political than the Chinese original, where a clear hint is given that Liao's imprisonment is linked to the protests on the Tiananmen Square in 1989. The translations omit this link and only keep the information of the imprisonment.


6.1.4 Dream of Ding Village

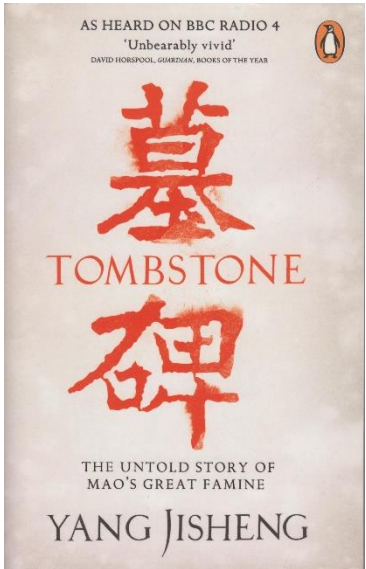
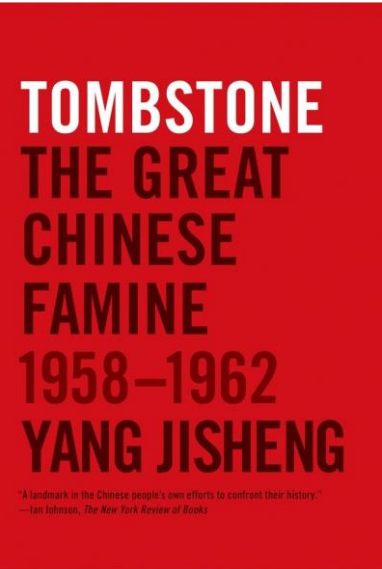
The translators of *Ding zhuang meng* chose different strategies when selecting the title. Whereas both English versions use a literal translation from the Chinese (*Dream of Ding Village*), the title of the German versions *Der Traum meines Großvaters* [*My grandfather's dream*] is closely connected to the book's content, as it contains several up to chapter-long accounts of the dreams of the narrator's grandfather. All titles, including the Chinese, have a close relation to the book, but the focus is slightly different: the Chinese and English titles are references to the book's setting (in Ding Village) and the German title is more a reference to one of the book's main characters (grandfather Ding) and the book's content (grandfather's dreams). What the titles have in common is the fact that they do not tell the readers much about the book's content. The only information the reader can gather from the Chinese and English title is that the story must be set in Ding Village. It is only by the name of the village (Ding) that the reader of the English translation could guess that the story is set somewhere in China. The German reader, however, can only guess that the story is narrated by the grandchild of the grandfather named in the title, but apart from this, there is no information about the setting of the book or its content. The main argument against a close translation from Chinese into German must have been the meaning that "Ding" has in German: thing. Therefore, using a literal translation would not only have been weird but would also change the meaning of the title by involuntarily degrading this Chinese village to a random thing. Changing the title for the German version was therefore a necessary and crucial step. What all versions, including the Chinese original, have in common is the use of *dream* or *Traum* in the book title. The word creates an atmosphere of surrealism and possibly also an atmosphere of uncertainty and imagination. Only when the reader actually starts reading the book, will he or she find out that the book's story, narrated by the grandson of the Ding family, is interrupted by the dreams of his grandfather. This is the moment when the relationship between title and story becomes obvious to the reader. Despite the fact that both titles use *dream/Traum*, the connotation is slightly different. The English title is less personal, as the dream relates to *Ding Village*, whereas the German title is more personal. Although

the reader does not know who the grandfather is, the title is less distant and also less obscure than the English title, where the reader is left in the dark as to who the dreamer is. As *Ding Village* might sound strange and possibly not very telling to the English readers, it could be argued that the publishers of the English versions could have suggested another title, to make it less obscure or weird. Replacing *Ding Village* with *grandfather/Großvater* was in this case probably the wiser decision and beneficial for the readers' understanding. Nevertheless, both the English and the German title fulfil the main functions of a title (identifying and designating).

6.2 Front Covers

The following table provides a comparison of design elements or styles employed in the different designs, what information these provide about the book's content or setting and whether, and if so how, they display the book's atmosphere or emotional disposition (e.g. dark colours for more serious books, bright colours for satires). All source texts are marked (*ST*) and all Translations are marked (*TT*) (target text). Only covers for which permission to reproduce was obtained are included in this table and those for which permission was not granted or not obtained are excluded.

<i>Book</i>	<i>Elements included in cover design</i>
<p data-bbox="164 1245 735 1357">墓碑—中國六十年代大饑荒紀實 [Tombstone: An Account of the Chinese Famine of the 1960s] (<i>ST</i>)</p>  <p data-bbox="164 1865 735 2047">Image 1 墓碑—中國六十年代大饑荒紀實 [Tombstone: An Account of the Chinese Famine of the 1960s] by Yang Jisheng. Published by Tian di tu shu you xian gong si [Cosmos Books Ltd.]. © 2011</p>	<p data-bbox="764 1245 1281 1503">Pictorial design. Abstract drawing of a crowd of people holding three banners, almost black sky with a ray of light shining on the title. The mainly dark colours suggest the serious content of the book and the ray of sunlight on the title lays a focus on the title's meaning.</p>

Book	<i>Elements included in cover design</i>
<p>Tombstone: The untold story of Mao's Great Famine (UK) (TT)</p>  <p><i>Image 2 Tombstone: The untold story of Mao's great famine by Yang Jisheng. Published by Penguin Books Ltd. Reproduced by permission of Penguin Books Ltd. © 2013</i></p>	<p>Typographical design, the title in both English and Chinese is printed in an orange-red font. The background is in an uneven grey-beige colour, reminiscent of marble. Overall a bright design.</p>
<p>Tombstone: The great Chinese famine, 1958-1962 (US) (TT)</p>  <p><i>Image 3 Jacket design by Rodrigo Corral from TOMBSTONE: THE GREAT CHINESE FAMINE 1958-1962 by Yang Jisheng. Jacket design © 2012. Reprinted by permission of Farrar, Straus and Giroux.</i></p>	<p>Typographical design, the title is printed in white (Tombstone), black (The great Chinese famine) and grey (1958-1962) and the author's name is also printed in black. The background is red. No pictorial/ornamental elements.</p>


<i>Book</i>	<i>Elements included in cover design</i>
<p>Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962 (TT)</p>  <p><i>Image 4 Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962 by Yang Jisheng. Published by S. Fischer. © 2012</i></p>	<p>Typographical design, the title is printed in black, the subtitle in white. The Chinese title in Pinyin, the author's name and the publisher are printed in yellow. The background is red. No pictorial/ornamental elements.</p>

Table 3 Book title analysis Tombstone

<i>Book</i>	<i>Elements included in cover design</i>
<p>六四. 我的證詞: 從先鋒派詩人到底層政治犯 [June 4th, my testimony: From avant-garde poet to political prisoner] (ST)</p>  <p><i>Image 5 六四. 我的證詞: 從先鋒派詩人到底層政治犯 [June 4th, my testimony: From avant-garde poet to political prisoner] by Liao Yiwu. Published by Yunchen Wenhua. © 2011</i></p>	<p>Typographical design and engraved Chinese characters on the top third of the cover. The character 六 is printed in black, the character 四 is printed in red. The background is white. No pictorial/ornamental elements.</p>

Book	<i>Elements included in cover design</i>
<p data-bbox="312 197 898 297"><i>For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison (US) (TT)</i></p>  <p data-bbox="312 871 898 1014"><i>Image 6 For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison by Liao Yiwu. Published by Houghton Mifflin Harcourt. © 2013</i></p>	<p data-bbox="922 197 1436 448">Concrete imagery (photo of the author) and red worn post-it like pieces of paper on which the typographical elements are printed. Apart from depicting the protagonist (author) of the book, no further relation to its contents. Poster-like style.</p>
<p data-bbox="312 1075 898 1187"><i>For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison (Australia) (TT)</i></p>  <p data-bbox="312 1780 898 1926"><i>Image 7 For a Song and a Hundred Songs. Published by Text Publishing by Liao Yiwu. Reproduced by permission of Text Publishing. © 2013</i></p>	<p data-bbox="922 1075 1436 1220">Pop-art style portrait of Liao Yiwu. Apart from depicting the protagonist (author) of the book, no further relation to its contents. Poster-like style.</p>

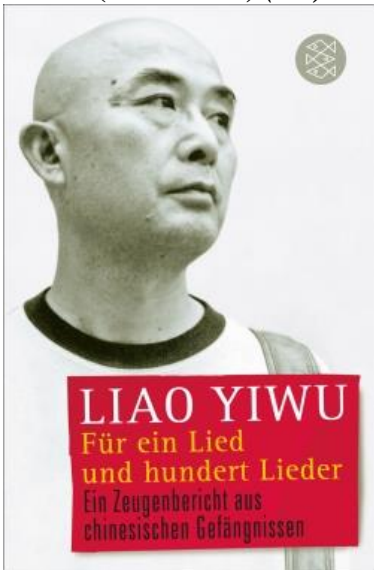
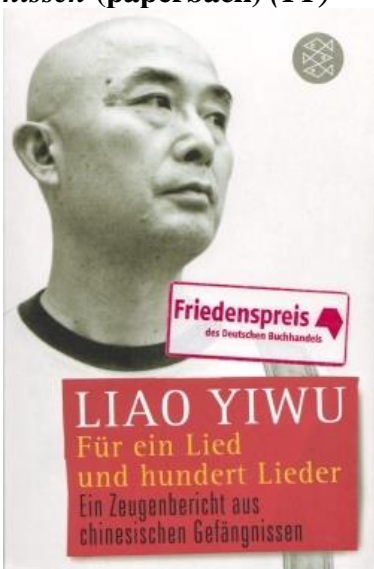
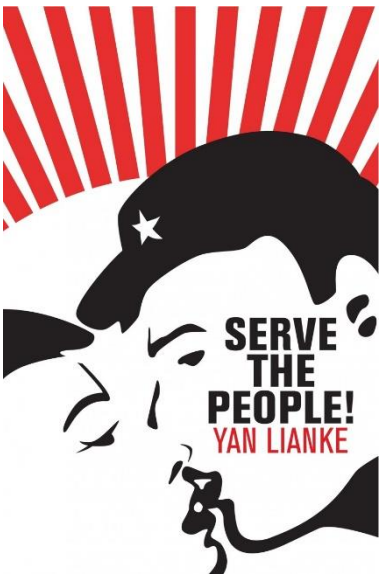
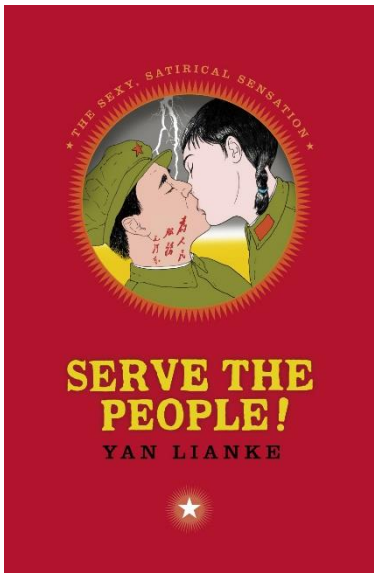
Book	Elements included in cover design
<p data-bbox="164 194 746 297"><i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen (hardcover) (TT)</i></p>  <p data-bbox="164 869 746 1010">Image 8 <i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen</i> by Liao Yiwu. Published by S.Fischer. © 2011</p>	<p data-bbox="769 194 1278 331">Concrete imagery (photo of the author). Apart from depicting the protagonist (author) of the book, not further relation to its contents.</p>
<p data-bbox="164 1077 746 1180"><i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen (paperback) (TT)</i></p>  <p data-bbox="164 1751 746 1892">Image 9 <i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen</i> by Liao Yiwu. Published by S.Fischer. © 2012</p>	<p data-bbox="769 1077 1278 1214">Concrete imagery (photo of the author). Apart from depicting the protagonist (author) of the book, no further relation to its contents.</p>


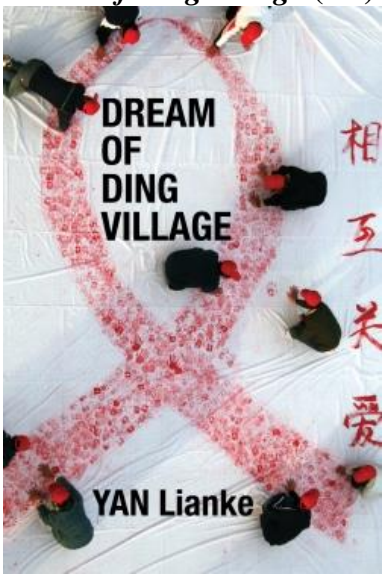
Table 4 Book title analysis For a Song and a Hundred Songs

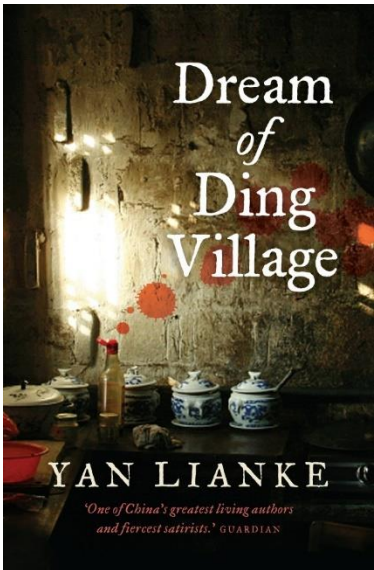
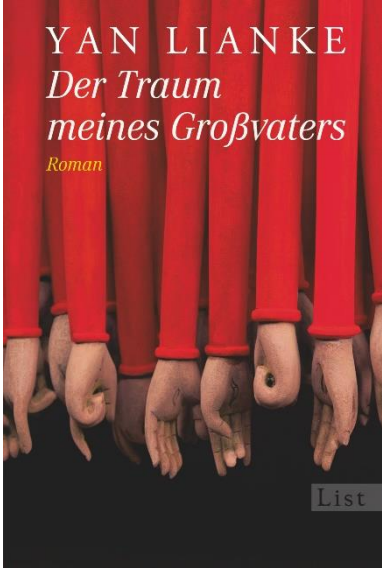
Book	<i>Elements included in cover design</i>
<p data-bbox="320 197 815 232">為人民服務 [Serve the People!] (ST)</p>  <p data-bbox="316 824 863 972">Image 10 為人民服務 [Serve the People!] by Yan Lianke. Published by Mai tian chu ban she [Rye Field Publishing Co.]. © 2006</p>	<p data-bbox="890 197 1433 412">Pictorial design showing a painting of a couple having oral sex and also chairman Mao. Clear relation to the book's content and setting (China) and the communist symbols included further suggest the setting in communist China.</p>
<p data-bbox="320 1003 687 1039">Serve the People! (US) (TT)</p>  <p data-bbox="316 1630 863 1697">Image 11 Serve the People! by Yan Lianke. Published by Black Cat. © 2007</p>	<p data-bbox="890 1003 1433 1218">Pictorial design showing a painting of a kissing couple. Obvious relation to the book's content, communist symbols place the book in a communist setting and the Asian features of the couple places the novel within China.</p>

Book	Elements included in cover design
<p><i>Serve the People! (UK) (TT)</i></p>  <p><i>Image 12 Serve the People! by Yan Lianke. Published by Constable. Reproduced by permission of Little, Brown Book Group Ltd. © 2007</i></p>	<p>Pictorial design showing a painting of a kissing couple. Obvious relation to the book's content, communist symbols place the book in a communist setting and the Asian features of the couple places the novel within China.</p>
<p><i>Serve the People! (Australia) (TT)</i></p>  <p><i>Image 13 Serve the People! by Yan Lianke. Published by Text Publishing. Reproduced by permission of Text Publishing. © 2007</i></p>	<p>Pictorial design with a circle-shaped painting of a kissing couple with a dark sky and a flash of lightning in the background. The painting is framed by light red spikes, which are reminiscent of a star or sunrays. A plaudit spans above the illustration. White star printed on the bottom of the cover. Obvious relation to the book's content, communist symbols place the book in a communist setting and the Asian features and uniform clothes of the couple place the novel within China. Chinese characters are written on the man's face and neck make a clear connection to China and add exoticism to the cover.</p>
<p><i>Dem Volke dienen (hardcover) (TT)</i></p>	<p>Pictorial design showing underpants with Mao's portrait. No clear relation to the book's content, but Mao's portrait places the book within China.</p>
<p><i>Dem Volke dienen (paperback) (TT)</i></p>	<p>Pictorial design showing a painting of a kissing couple. Obvious relation to the book's content, communist symbols place the book in a communist setting and the</p>

<i>Book</i>	<i>Elements included in cover design</i>
	Asian features of the couple places the novel within China.

Table 5 Book title analysis *Serve the People!*

<i>Book</i>	<i>Elements included in cover design</i>
<p>丁莊夢 [Dream of Ding village] (ST)</p>  <p><i>Image 14 丁莊夢 [Dream of Ding village] by Yan Lianke. Published by Mai tian chu ban [Rye Field Publishing Co.]. © 2006</i></p>	<p>Pictorial design vaguely depicting a tree on the right side of the cover, while most of the cover consists of patches in different shades of brown. The darkness of the cover suggests the serious topic of the book.</p>
<p>Dream of Ding Village (US) (TT)</p>  <p><i>Image 15 Dream of Ding Village by Yan Lianke. Published by Grove Press. © 2009</i></p>	<p>Pictorial design which depicts concrete elements/details of the book's content: Men printing an AIDS bow with their hands in red colour on a white canvas. The red colour related to the blood scandal and the AIDS bow clearly depicts the AIDS epidemic. In addition, Chinese characters painted on the white canvas places the book unmistakably within China.</p>

Book	<i>Elements included in cover design</i>
<p data-bbox="164 194 616 230"><i>Dream of Ding Village (UK) (TT)</i></p>  <p data-bbox="164 815 703 958"><i>Image 16 Dream of Ding Village by Yan Lianke. Published by Corsair. Reproduced by permission of Little, Brown Book Group Ltd. © 2012</i></p>	<p data-bbox="726 194 1278 409">Pictorial design which depicts concrete elements/details of the book's content: blood drops which relate to the blood scandal and a photo of traditional Chinese cooking/dining equipment places the book unmistakably in China</p>
<p data-bbox="164 987 703 1059"><i>Der Traum meines Großvaters (hardcover) (TT)</i></p>  <p data-bbox="164 1650 703 1794"><i>Image 17 Der Traum meines Großvaters by Yan Lianke. Published by Ullstein. Reproduced by permission of Ullstein Buchverlage GmbH. © 2009</i></p>	<p data-bbox="726 987 1278 1279">Pictorial design which is not depicting concrete or realistic scenes from the book (painting of arms in red sleeves and hands, some open, some clasped). No obvious relation to China or the blood scandal but the arms could be relating to the fact that blood is usually drawn from the vein in the arm.</p>

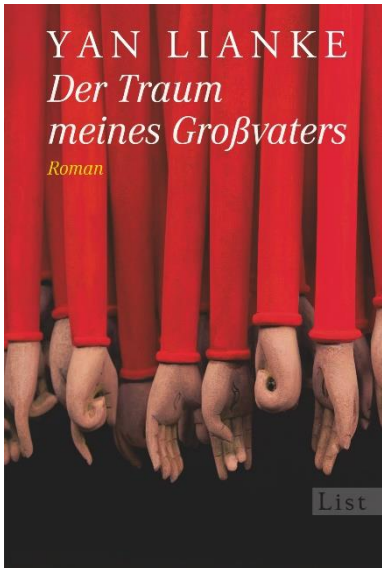
Book	Elements included in cover design
<p><i>Der Traum meines Großvaters</i> (paperback) (TT)</p>  <p>YAN LIANKE <i>Der Traum meines Großvaters</i> <i>Roman</i></p> <p>List</p> <p>Image 18 <i>Der Traum meines Großvaters</i>. Published by List. Reproduced by permission of Ullstein Buchverlage GmbH. © 2011</p>	<p>Pictorial design which is not depicting concrete or realistic scenes from the book (painting of arms in red sleeves and hands, some open, some clasped). No obvious relation to China or the blood scandal but the arms could be relating to the fact that blood is usually drawn from the vein in the arm.</p>

Table 6 Book title analysis *Dream of Ding Village*

Overall, there seems to be a tendency to use simpler cover designs for non-fictional books and an image of the author on biographical books. In both cases, these strategies are intended to convey the book's style and content (e.g. factual, serious, personal). All book covers in this study show stereotypical viewpoints to a varying degree with an equally varying degree of intersemiotic translation. Some of the books only translate the genre in the cover (simply, academic design of US *Tombstone* cover) whereas some intersemiotically translate the setting, content and genre (Australian version of *Serve the People!* showing the main characters, that it is set in China and that it is a satire by adding a headline). Whether the readers will extract this information translated intersemiotically from the covers, as well as their reactions to the overall design, colours and images, will be analysed and discussed in Section 8.4.

Praise on Front Covers

Several books included in this study contain what can be classified as praise on the front cover, which is a paratextual element primarily used to attract the reader's attention and emphasise that the book's quality which makes it worthwhile for the reader to take a closer look. The following book covers contain a form of praise:

Tombstone: The great Chinese famine, 1958-1962 (US): “A landmark in the Chinese people’s own efforts to confront their history. – Ian Johnson, *The New York Review on books*”

Tombstone: The untold story of Mao's Great Famine (UK): “As heard on BBC Radio 4” and “Unbearably vivid – David Horspool. *Guardian*. Books of the year.”

For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison (US): “Winner of the 2012 German Book Trade Peace Prize” and “One of the most original and remarkable Chinese writers of our time. – Philip Gourevitch”.

For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison (AUS): “One of the most original and remarkable Chinese writers of our time. – Philip Gourevitch”

Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen (paperback): “Friedenspreis des Deutschen Buchhandels [German Book Trade Peace Prize]”

Dream of Ding Village (UK): “One of China’s greatest living authors and fiercest satirists. – *Guardian*”

Serve the People! (AUS): “The sexy, satirical sensation”

The intentions of the publishers for including praise in the cover design is most likely to highlight the quality and importance of book and author. A catchy headline, preferably from a well-known author, magazine or newspaper which would display authority, might attract the readers’ attention and lure them into taking a closer look at the book. This paratext is therefore aimed at increasing the overall appeal of the cover.

Exoticising Elements on Front Covers

The technique of including exoticising elements on front covers is used on four of the analysed editions: the UK version of *Tombstone* (Yang, 2013b), the American edition of *Dream of Ding Village* (Yan, 2009c), the Australian edition of *Serve the People!* (Yan, 2007b) and the German version of *Grabstein* (Yang, 2012). Whereas *Tombstone* has the Chinese characters of the original title (墓碑 *mubei* - tombstone) on its cover, *Dream of*

Ding Village shows only little parts of the phrase 相互关爱 *xianghu guan'ai* on the front cover and 共享生命 *gongxiang shengming*, meaning 'share lives' on the back cover (see chapter 6.2.4). The two phrases taken together mean 'live and let live', which will remain hidden for all readers who do not speak Chinese. The cover of the Australian version of *Serve the People!* includes an image of a Chinese couple. On the man's neck, Chinese characters are written in red, reading 为人民服务 *wei renmin fuwu* (*Serve the People!*) and 毛泽东 *Mao Zedong*. The German edition of *Grabstein* (Yang, 2012), published by S. Fischer, also uses a form of exoticizing, although it does not include Chinese characters. The designer added the pinyin, which is the official Romanization of Chinese characters, of the Chinese title (*Mùběi*) beneath the German title.

The English translations use a more explicit form of exoticism than that prevalent on the German cover of *Tombstone*. The intention of the publisher to use this stereotypical approach of including Chinese characters is most likely to clearly mark the books as different and foreign and evoke instant associations with China. It will be interesting to see how the readers perceive these exoticising elements on front covers: will they find it frustrating that they cannot understand the Chinese characters? Will they be intrigued by them and want to find out what they mean? The reader-response studies will hopefully answer these and related questions giving an indication of whether Chinese characters on book covers generally make a book more appealing, confuse or even frustrate the readers.

6.2.1 *Serve the People! and Dem Volke dienen*

When comparing the different translations of *Serve the People!*²⁵, several aspects become immediately apparent. First of all, three of the five analysed editions (the German paperback version as well as the UK and US version) have very similar covers with only minor differences. They all use red sun rays on a white background as well as a black painting of a kissing couple. These sunrays used are reminiscent of Chinese propaganda art, where Chairman Mao was regularly displayed surrounded by red or yellow sunrays because "government-sponsored media eulogized Mao as the 'Red Sun of the Chinese people'" (Yan and Gao as quoted in Lu, 2004, p. 64). Chinese propaganda posters have very strong associations with Maoism and communism, and it is possible that some participants have seen such posters in the past and therefore might make a connection

²⁵ UK paperback (Yan, 2007c), US paperback (Yan, 2007d), Australian paperback (Yan, 2007b), German hardcover (Yan, 2007a), German paperback (Yan, 2009a)

when looking at the cover. This aspect will be investigated in the reader-response studies. There are several possible reasons for keeping a cover or using a very similar cover for translations published in different countries. First of all, the design may have been deemed to match the novel in content and style very well or as being very appealing. Furthermore, not designing a new cover for every edition may save the publishing house money and time, which they might not want to spend on the first publication of an unknown author. What stands out is that four of the included versions feature an illustration of a kissing couple on the front cover and in addition use similar colours, which are primarily red and yellow. As explained earlier in Section 2.2, using these colours can have several reasons. Red and yellow are not only signal colours and therefore very eye-catching but are also often considered as a symbol for communism, China and the Chinese flag.

As discussed in Section 6.2, including Chinese characters in the front cover design can be a means to exoticise the cover and thereby create an interest in the reader to find out more about ‘the Other’. The only translated version of *Serve the People!* using Chinese characters as a means to exoticise the cover, which furthermore enables the reader to instantly place the book within China, is the Australian version. On this cover, the man in the illustrations has the book’s title, which is at the same time possibly Mao’s most famous slogan, written in Chinese Characters on his cheek and neck, as well as *Mao Zedong*, all written in red. This matches the overall cover design, but it could also be interpreted that the characters are written in blood, adding a bit of drama to the cover.

When comparing the front cover of the Chinese version, which was published in Taiwan, and the covers of the different translations, there is a striking difference: the Taiwanese cover is very sexually explicit, depicting a couple having oral sex, whereas the covers of the translations either depict a kissing couple or a pair of underpants. The main reason for Western publishers to choose a cover design which is less explicit than the Taiwanese edition, despite the fact that this cover is the closest intersemiotic translation of all included covers, was probably that people might feel uncomfortable reading a book in public that explicitly depicts a couple having oral sex. A kissing couple, on the other hand, suggests a more romantic story and is far more “innocent”.

6.2.2 Tombstone and Grabstein

The US version, which was the first translation of this book to be published, has a simple, solid red cover. The title “Tombstone” is printed in bold white capitals, constituting a

stark contrast with the red background. The subtitle and the author's name are printed in bold black capitals and the years of the famine in grey. These colour choices create almost a hierarchy, with the title being the most important information, followed by subtitle and author. The year span of the famine, which is only additional information and not necessary to grasp the book's content, stands out the least. The front cover also includes praise, reading "A landmark in the Chinese people's own efforts to confront their history", which does not only emphasise the importance of the book (it is a "landmark") but also tells the reader that this book is a report from the inside, possibly promising a better insight than a book written by an outsider could offer. Choosing a solid red background complies with the often seen, stereotypical cover design for Chinese books. Thereby, the publishers probably intend to evoke an instant connection with China and/or communism in the readers, which might evoke correct associations in terms of political background and geographical setting, but generally does not match the severity of the book's content too well.

A very different design was chosen for the front cover of the UK edition, the title is printed in light orange-red capitals, and it is framed by two Chinese characters which are most likely a means to exoticise the cover. The two characters 墓碑 *Mubei* (the original Chinese title, meaning "tombstone") are printed in the same bright orange-red ink as the English title. When taking a closer look at the Chinese characters, they look a bit smeared or smudged. They look like they were printed using a seal or stamp, but due to the red colour and the smeared appearance, they are also reminiscent of words written in blood. All other font on the front cover is black and almost seems to disappear on the beige-grey background, especially because of the dominance of the red font. This cover also includes a praising statement from *The Guardian*, stating this book is "unbearably vivid". This praise does not emphasise the importance or quality of the book, as the one on the US version does, but alludes more to the emotions the reading of the book will evoke. "Unbearably vivid" almost suggests to the reader that they will have to relive the suffering of the victims, because of the vivid way the book is written.

The German version's front cover design is close to that of the US version, similarly using a solid red background. It also uses different font colours, which has again the effect of ranking the importance of the information. What stands out most is not the title but the subtitle "Die große chinesische Hungerkatastrophe 1958-1962" [The Great Chinese Famine 1958-1962], which is located in the centre of the cover and printed in white

capitals. Here again, the stark contrast of the intense red and the white make the words spring out. Almost as prominent is the title of the book, which is located above the subtitle and printed in large black font. Because both black and white contrast with the bright red, the title and the subtitle are almost in a fight for attention. Below the subtitle, the pinyin of the Chinese title (Mùběi) is printed upside down and mirrored in a faint red, which is by far the least visible paratext on the front cover. Yellow font is used for the author's name (at the top of the cover) and the publisher (at the bottom of the cover), both printed in capitals. By adding yellow to the red colour, the second stereotypical Chinese colour was included in the cover design. Here again, the cover design is most likely intended to evoke instant associations with China and/or communism, which once more raises the question of whether the colour is appropriate for the content.

What the covers of all three translations have in common is the fairly plain or simple cover designs, mainly using the colour red as their eye-catcher. None of the versions include pictures or images, or any other ornamental decorations. The reason might lie in the topic of the book: A simple and straightforward cover is probably intended to underline the seriousness of the topic.

The cover design of the Chinese original is very different from the three discussed versions. It is very dark, using dark grey and brown as its main colours. The cover includes an abstract illustration of a crowd of people, holding the Three Red Banners²⁶ in the air. In the background, larger shapes suggest buildings. The main colour of this illustration is brown, black is used for the outlines. The title, subtitle and author are printed in white characters on the dark grey sky. The title is printed in the largest font and looks as if it was written with a shaking or trembling hand. The subtitle, positioned on the left of the title, uses a smaller, bold, and very straight standard font. The same font, but this time not in bold and again smaller, is used for the author's name, which is positioned to the right of the title. The dark grey sky breaks open just above the title, with a wide ray of light shining on the words 墓碑 *Mubei* (Tombstone). The cover also includes the information on the volume, since the Chinese version consists of two volumes. In addition, an orange banner is placed at the bottom of the cover saying that this is the 11th edition, and furthermore that this edition is the newest and completely revised version. The

²⁶ The Three Red Banners (三面红旗 *sanmian hongqi*) of the Chinese Communist Party are described as the cause of the Great Famine by Yang. The three banners are: the General Line, the Great Leap Forward, and the people's communes and lead the Chinese into communism. See *Tombstone: The untold story of Mao's Great Famine* page 87ff. for more information.

number 11 is printed in large white font, exceeding the size of the orange banner. On the top right corner, a red vertical box has been added, which lists all the book prizes, nominations and awards the book has been awarded. It also states that since 2010, the book has been translated into English, French, Japanese, German, and other languages. This plaudit in the red box is undoubtedly supposed to highlight the quality of the book, and further emphasise the importance by showing that the book has been translated into many languages. At first glance, and especially after reading the title of the book, the illustration on the front cover is reminiscent of tombstones. Only when taking a closer look it becomes more obvious that the cover actually displays a marching crowd holding the Three Red Banners. Whether the effect of the cover design first creating a strong association with the title and later on, when taking a closer look, with the content cannot be established at this point. Nevertheless, this shifting of the image makes the book cover more intriguing and captures the readers gaze and interest longer than a cover where it is instantly clear what it depicts.

Overall, the Chinese cover looks much darker and more depressing than the English and German versions. In addition, the cover design is a clear intersemiotic translation of the content, with a high degree of inclusiveness²⁷ depicting the genre (political history), and the geographical setting (communist China) and alludes to the content (the consequences of the Three Red Banner campaign) by showing marching people raising the Three Red Banners that, according to Yang caused the Great Famine as noted above. Many Chinese readers may have heard about the Three Red Banners and will be able to make the connection to the book's content. However, this will depend on the reader's personal background. Younger readers' knowledge of the 1950s and 60s might be hazy, but older readers from Taiwan and Hong Kong may be aware due to personal experience. If readers recognise the Three Banners, it certainly creates specific expectations in Chinese readers, such as the book being about Chinese history, communism and politics. The reasons why the cover was changed for the English and German versions are obvious: even when the content of the banners had been translated into German or English, the vast majority (in fact everyone who does not have an in-depth knowledge of Chinese history in the 1950s-1960s) would not be able to make any connection between the front cover image and the content of the book. Nevertheless, the Western publishers could have kept the colour scheme used in the Chinese edition, instead of creating a stereotypical red cover.

²⁷ For more information on the different categories of intersemiotic translation in book covers see Section 2.1.1.

6.2.3 For a Song and a Hundred Songs *and* Für ein Lied und hundert Lieder

All covers of the four translations²⁸ included in this study have one feature in common: they all show the author. They use, however, different depictions creating different effects on the readers. Both the two German versions and the US version feature a photograph of Liao Yiwu in the front cover. This does not only “put a face to the name” but it also creates a more personal bond between reader and author, as the latter is no longer just a name on the book cover. However, the two photographs are different, which will most likely have a different impact on the readers. On the German covers, Liao looks into the distance, or maybe into the future and what lies ahead, rather than looking back. On the US cover, in contrast, Liao looks directly into the camera and thereby into the reader’s face. His facial expression is very austere, giving the reader almost the feeling of being accused or responsible for Liao’s suffering. The effect the photo creates between the reader and the author is very strong, making it harder for the reader to look away, once their eyes have been caught. The colour schemes chosen for the overall design are very different. The German covers have a white background and Liao’s portrait is black-and-white. The title and author’s name are printed in yellow, white and black on a bright red box, which is placed on Liao’s chest. The US version, in contrast, has a greyish-blue background, the photo is in colour; author’s and translator’s name, title and praise are printed on red, post-it like and very worn squares, which cover about a third of Liao’s face. Another interesting paratext is included in the US version of the English translation of *Liu si (For a Song and a Hundred Songs)*. The US version is the only one where the translator, in this case Wenguang Huang, is highly visible, as his name is printed beneath the author’s name with the addition “translated by”. This gives the translator almost the status of a second author, which influences the status of several paratextual elements in the book.

On the Australian version, a very different approach was chosen. The cover is bright red with a bright yellow pop-art style painting of Liao. It seems that the photograph included in the German versions’ covers was the original the painting is based on. Therefore, Liao looks in the same direction as on the German cover, meaning the general impression the reader gets is similar. However, the cover’s bright colour scheme, and especially bright yellow for Liao’s face, is a cover designed from not only a stereotypical but also potentially orientalist viewpoint. Displaying a Chinese in bright yellow might evoke a

²⁸ US hardcover (Liao, 2013c), Australian paperback (Liao, 2013b), German hardcover (Liao, 2011) and German paperback (Liao, 2012)

feeling of political incorrectness or even offence in some readers, since the historical perception of Chinese people's skin being of yellow colour is generally seen as politically incorrect, or even racist, nowadays. It will be interesting to see how the readers perceive the colour choice in the reader-response study and the results will be discussed in Section 7.4.3.

The covers of the three translation differ greatly from that of the Chinese version published in Taiwan, with the main difference being that no photo of Liao was used in the cover design. In contrast, the cover can be categorised as typographic, using no illustrations whatsoever. The cover is of a glossy white background, with two characters printed in a bold handwriting from top to bottom, occupying about half of the cover each: 六 (*liu*, six) printed in black and 四 (*si*, four) printed in red-orange. Both characters together are the Chinese name for the events on 4th June 1989 that happened on and around the Tiananmen Square in Beijing. Chinese readers will be instantly able to make this connection. Next to the upper character, *liu*, the first part of the subtitle is printed in black standard font: 我的证词 (*wo de zhengci*, my testimony). Below, the second part of the subtitle (从先锋派诗人到底层政治犯 *Cong xianfengpai shiren dao diceng zhengzhifan*, from avant-garde poet to political prisoner) is printed in small, black standard font in four vertical rows, with the characters 从 and 到 being printed in separate rows and in red. The author's name is printed inside the large *si*; the surname and the second character of the first name are printed in black and the first character of the first name printed in red. The cover also includes a design element, which is only visible from certain angles: a short text is debossed into the cover, spanning roughly 11.5x3cm and parts of the large *liu*. Interesting is the origin of the text: it is both the preface of the book, which can be found on page 3, and the blurb, which is positioned on the back cover. The simplicity combined with an element that catches the eye could make the book stand out from other, more colourful and graphic cover design, making it more visible to the reader. When comparing the different covers there is a factor which might explain why the cover design had to be amended when the book was translated: The simple, typographic design of the Chinese cover does not tell the Western reader much about the content, especially, since the main design elements are the Chinese characters signifying the events on the Tiananmen Square.

6.2.4 Dream of Ding Village and Der Traum meines Großvaters

The three different covers of *Dream of Ding Village*²⁹ (the front covers of the German paperback and hardcover version are exactly the same) are very different in terms of style and colour. The darkest cover is the UK version, which shows a photograph of a traditional, most likely peasant, Chinese kitchen. The walls are very rough, since the individual bricks are still visible, and the white colour seems to be fading or covered with grease and dirt. The only light source seems to be a window which is outside the photo. The light it sheds is broken into smaller spots and patches, which is reminiscent of traditional Chinese windows or shutters and again suggests a rural, traditional setting. In the kitchen itself, there is very stereotypical Chinese cooking equipment and porcelain pots in white with a blue pattern. In front of the porcelain pots is a bottle with a red lid. Starting from just above the lid are red, slightly transparent blotches or drops. These do not only look like they are originating from the bottle with its red lid but are reminiscent of blood spattered on the front cover, which has a clear relation to the book's content, an HIV blood scandal in China. Overall, the cover displays a peaceful setting probably giving the reader a homely feeling, which is only disrupted by the blood drops which constitute a contrast to the cover's general atmosphere. This contrast might be very intriguing for the reader, encouraging them to read the back cover to find out what the book is about. In general, the cover contains two elements which have a clear connection to either the title or the content: The rural and traditional appearance of the depicted kitchen emphasises, as the title *Dream of Ding Village* does, the rural setting of the book. The red (blood) drops on the cover do not have a connection to the title, but instead to the book's content. The latter connection will only become clear to the reader after reading at least the blurb, which gives a first indication of the book's content.

The US cover looks very different from the UK cover, showing a photograph taken from a bird's eye view. The photo shows 10 people kneeling on a large white cloth printing the red AIDS ribbon by making red prints with their hands. Eight of the people are dressed in a dark jacket or jumper, while two are wearing a white jacket or jumper. All of them, however, wear a red baseball cap. This uniformity in clothing suggests a tight-knit community, either working together for a common goal or sharing the same fate. On the right side of the cloth, and thereby on the right side of the cover, we see the words 相互关爱 *xianghu guan'ai*, meaning 'mutual love' or 'to love each other'. The back cover and

²⁹ UK paperback (Yan, 2012), US paperback (Yan, 2009c), German hardcover (Yan, 2009b) and German paperback (Yan, 2011)

the spine also include a Chinese phrase, namely 共享生命 *gongxiang shengming*, meaning ‘share lives’. The two phrases taken together mean ‘live and let live’, which is the Chinese translation of the 2002 World AIDS Day theme. It is somewhat surprising that the Chinese characters on the front cover are cut off on the side and not displayed in full, which raises the question whether this has been intentional or rather a misprint. Whatever the reason, for those readers being able to read and understand Chinese, the parallelism and the meaning of this phrase is lost. Apart from the exoticizing effect of the Chinese characters, another factor to consider is that the majority of the potential readers will not be able to read and understand the Chinese characters. Whereas Chinese readers might be able to make this connection, if they followed news on the campaigns run under this theme in 2002, the connection remains completely hidden for English readers, unless provided with a translation. This could work both in favour of increasing the book’s appeal: by making the cover more intriguing, as well as confusing and frustrating the reader because they are not able to understand the characters and whether they have a connection to the book or not.

In comparison to the other two covers, the German cover design is more abstract, showing a painting of several rows of elongated arms, in red sleeves. No bodies seem to be attached to the arms, as if they are dangling from the ceiling. The hands on the painting are positioned facing different directions, some of them clasped, some of them opened, and some clasped with the index finger pointing down. Because of the colour and the way the arms are painted, they almost look like a thick velvet curtain. Beneath the arms and hands, the cover is black, leaving it up to the readers’ imagination what is below and furthermore constituting a stark contrast to the vibrant red. The colours chosen for the typography are white (for the author’s name and the title placed on the very top of the cover) and yellow for the genre (“Roman”, placed below the title). As on the covers of *Tombstone* (above), the different colours used for the fonts create a hierarchy, with author and title most prominent, followed by the genre, which is a mere addition and not necessarily essential information for the reader. The size of the font of author’s name is identical, but the author is printed in upper case letters, whereas the title is printed using italic upper/lower case letters according to the German orthography. Since the title is positioned closer to the centre of the cover and printed in italics, which is a clear contrast to the standard upper case letters, the title is the verbal paratext that is most likely to catch the reader’s eye first, the author thereby becoming almost secondary to the book’s title. Overall, the colours are again stereotypical (red and yellow) and the illustration conveys a sense of community

and solidarity, probably even more than the US cover did. Furthermore, the several rows of arms almost compose a wall which looks difficult to break through, emphasising the feeling of a tight-knit community.

As discussed previously, the covers of the translations are different from the Chinese cover of *Dream of Ding Village*, but this time, there are some similarities with one of the covers. The cover is very dark, showing a watercolour painting of a tree on the right side, which is the only recognisable shape on the cover. The rest of the cover shows blotches in different shades of beige, brown and grey. The texture of the paper is still visible through the painting. The Chinese characters of the title are written in white handwriting, the author's name is printed in white standard font below. Between two of the title's characters, a praising headline is printed, reading 中国第一部描写艾滋病题材的长篇力作 (*zhongguo di yi bu miaoxie aizibing ti cun de changpian lizuo* – China's first long masterpiece on the AIDS villages). Overall, although the cover is not a strong intersemiotic translation of the title or content since it neither shows a dreamy scenery nor a village, it transmits well the sad and serious content of the book. Compared to the covers of the translations, it reminds us of the UK cover, which uses a similar colour scheme, but includes a more concrete image. From a marketing perspective, the Chinese cover cannot be considered eye-catching, since it lacks any highlights or elements that would set it apart from other books. This is most likely the reason for redesigning the cover for the translations because the Chinese cover does otherwise not include any culture-specific elements that English or German readers might not understand.

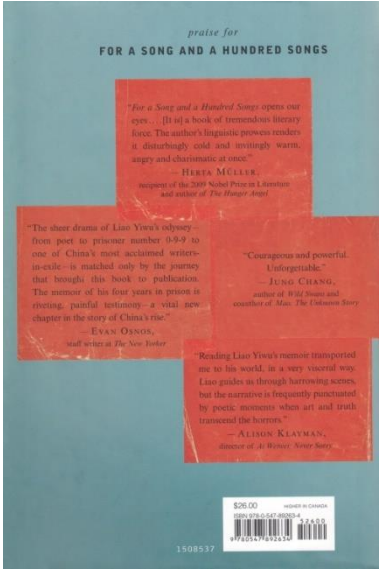
6.3 Back Covers and Blurbs

After defining different categories of back covers in Section 2.4.2, this categorisation will be applied to the books included in this study. Five versions are hardcover editions and therefore include verbal paratexts on the back cover as well as on the front and back flaps. In some cases, the functions and types of the back covers and flaps differ, which is why these books have two categorisations.

<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
<p><i>Tombstone: The Untold Story of Mao's Great Famine (UK)</i></p>  <p>Image 19 Tombstone: The untold story of Mao's great famine by Yang Jisheng. Published by Penguin Books Ltd. © 2013</p>	4, mixed	<p>This back cover includes a photo of Yang Jisheng. In addition, six laudatory quotes from authors and journalists are included. The back cover further includes a quote from the author explaining his reason for writing his book as well as what the book means to him and a further paragraph about the book's broad content and the importance of this work. There is no clear category dominating this back cover.</p>
<p><i>Tombstone: The Great Chinese Famine, 1958-1962 (US)</i></p>  <p>Image 20 Tombstone: The Great Chinese Famine 1958-1962 by Yang Jisheng. Published by Farrar, Strauss and Giroux. © 2013</p>	4, mixed	<p>The back cover indicates first of all the book's genre (history/political science) on the very top. Just below it is mentioned in black capitals that the book/author (not specified) won the Hayek Prize. The main body of the back cover is a three-paragraph blurb, informing the reader of the book's content, the data collection and the importance and quality of the work. This includes a quote from a journalist. The blurb is framed by three praising quotes from journalists, all printed in white on a red background. On the bottom part of the back cover, there is a</p>

<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
		biography of Yang Jisheng and his photo. There is no clear category dominating this back cover.
<p><i>Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962</i></p>  <p><i>Image 21 Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962 by Yang Jisheng. Published by S. Fischer. © 2012</i></p>	4, mixed	<p>The back cover includes a two-paragraph long blurb, which provides information on the book's content and background as well as the data collection by Yang Jisheng. This is framed by two praising quotes, one by another author and one by Yang Jisheng himself, which are printed in large yellow font. There is no clear category dominating this back cover.</p> <p>The front flap of this version features a blurb with similar content to that on the back cover, namely information on content, data collection and the book's significance. The back flap shows a photo of the author, his bio-notes and publisher's information.</p>

Table 7 Back covers and blurbs – Tombstone

Book	Category	Main features/elements
<p><i>For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison</i> (US)</p>  <p>Image 22 <i>For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison</i> by Liao Yiwu. Published by Houghton Mifflin Harcourt. © 2013</p>	<p>2, praising/ advertising and 1, informative (flaps)</p>	<p>The back cover does not include any information on content or author. Only includes four longer praising quotes: one from Nobel prize winner Herta Müller, one from best-selling Chinese author Jung Chang, one from the director of a documentary on Ai Weiwei and one from a writer at <i>The New Yorker</i>. Also included is a heading saying “praise for FOR A SONG AND A HUNDRED SONGS”.</p> <p>The inside flaps of this book contain a short blurb and praise by the publisher on the front flap, and a photo of Liao as well as his and the translator’s bio-notes.</p>
<p><i>For a Song and a Hundred Songs: A Poet's Journey Through a Chinese Prison</i> (Australia)</p>  <p>Image 23 <i>For a Song and a Hundred Songs</i> by Liao Yiwu.</p>	<p>1, informative</p>	<p>The back cover includes three paragraphs. The first part of the blurbs first sentence is printed in bold, large yellow capitals, whereas the rest of the blurb is printed in white, all on a red background. The first part of the second paragraph’s first sentence is printed in large, bold black capitals and the rest of this and the entire third paragraph is printed in white. The first paragraph offers some background information on Liao Yiwu, the second is a short</p>

<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
<i>Published by Text Publishing. © 2013</i>		summary of the book's content and the third is a praising paragraph emphasising the importance of the book.
<i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen (hardcover)</i> 	2, praising/ advertising and 1, informative (flaps)	The back cover includes a headline emphasising the quality of the book in large red print. Followed by a short paragraph on the book's content and a further two paragraphs provided by the publisher which praise the book's and author's quality and importance. The blurb concludes with a quote from a journalist praising Liao as possibly the most important Chinese author. The front flap of this book includes a blurb and praise by the publisher, whereas the back flap contains the biographies of both Liao and translator Hoffmann.
<i>Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen (paperback)</i>	2, praising/ advertising	The back cover includes a praising quote from a journalist on the top of the back cover, which is printed in large red print. Followed by a short paragraph on the book's content and two further paragraphs provided by the publisher which praise the book's and author's quality and importance. The blurb concludes with the

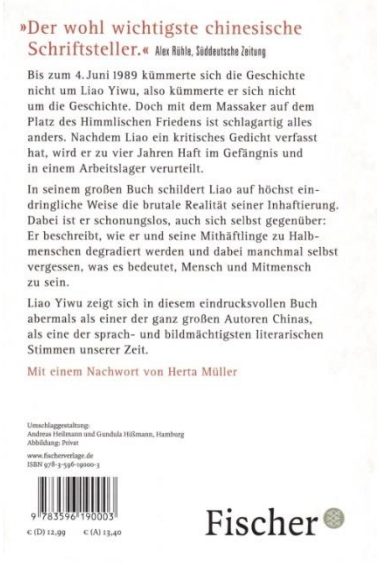
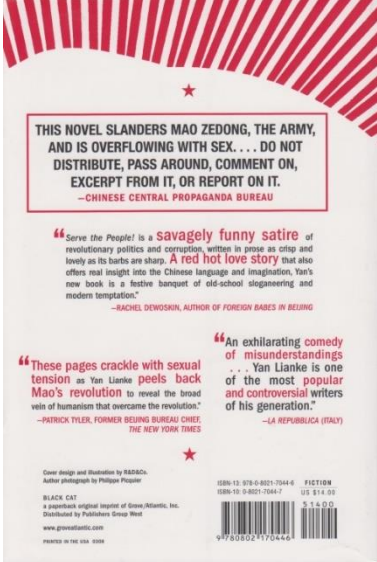
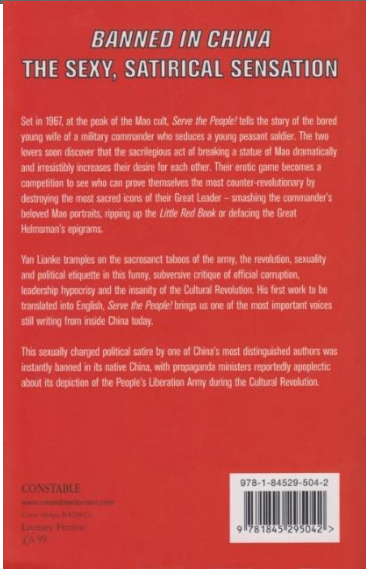
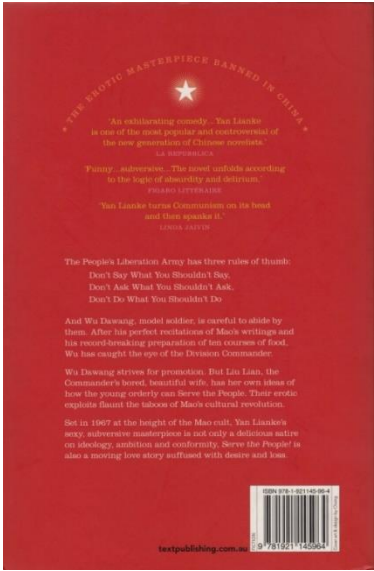
<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
 <p>»Der wohl wichtigste chinesische Schriftsteller.« <i>Alex Rühle, Süddeutsche Zeitung</i></p> <p>Bis zum 4. Juni 1989 kümmerte sich die Geschichte nicht um Liao Yiwu, also kümmerte er sich nicht um die Geschichte. Doch mit dem Massaker auf dem Platz des Himmlischen Friedens ist schlagartig alles anders. Nachdem Liao ein kritisches Gedicht verfasst hat, wird er zu vier Jahren Haft im Gefängnis und in einem Arbeitslager verurteilt.</p> <p>In seinem großen Buch schildert Liao auf höchst eindringliche Weise die brutale Realität seiner Inhaftierung. Dabei ist er schonungslos, auch sich selbst gegenüber. Er beschreibt, wie er und seine Mitgefangenen zu Halbmenschen degradiert werden und dabei manchmal selbst vergessen, was es bedeutet, Mensch und Mitmensch zu sein.</p> <p>Liao Yiwu zeigt sich in diesem eindrucksvollen Buch abermals als einer der ganz großen Autoren Chinas, als eine der sprach- und bildmächtigsten literarischen Stimmen unserer Zeit.</p> <p>Mit einem Nachwort von Herta Müller</p> <p>Umschlaggestaltung: Andreas Hedemann und Grunka Hedemann, Hamburg Abbildung: Peter www.fischerverlage.de ISBN 978-3-596-19000-3</p> <p>9 783596 190003</p> <p>© (D) 11,99 € (A) 13,40</p> <p>Fischer</p> <p>Image 25 Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen by Liao Yiwu. Published by S.Fischer. © 2011</p>		information that the book includes an epilogue by Nobel prize winner Herta Müller, which is, like the headline, printed in red.

Table 8 Back covers and blurbs - For a Song and a Hundred Songs

<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
<p>Serve the People! (US)</p>  <p>THIS NOVEL SLANDERS MAO ZEDONG, THE ARMY, AND IS OVERFLOWING WITH SEX... DO NOT DISTRIBUTE, PASS AROUND, COMMENT ON, EXCERPT FROM IT, OR REPORT ON IT. —CHINESE CENTRAL PROPAGANDA BUREAU</p> <p>“Serve the People! is a savagely funny satire of revolutionary politics and corruption, written in prose as crisp and lovely as its barbs are sharp. A red hot love story that also offers real insight into the Chinese language and imagination, Yan's new book is a festive banquet of old-school sloganeering and modern temptation.” —RACHEL DAWKINS, AUTHOR OF FOREIGN BODIES IN BEIJING</p> <p>“These pages crackle with sexual tension as Yan Lianke peels back Mao's revolution to reveal the broad veils of humanism that overcame the revolution.” —PATRICK TYLER, FORMER BEIJING BUREAU CHIEF, THE NEW YORK TIMES</p> <p>“An exhilarating comedy of misunderstandings... Yan Lianke is one of the most popular and controversial writers of his generation.” —LA REPUBBLICA (ITALY)</p> <p>Cover design and illustration by RABBO Author photograph by Philippe Piquier</p> <p>BLACK CAT a paperback original imprint of Grove Atlantic, Inc. Distributed by Publishers Group West www.groveatlantic.com PRINTED IN THE USA 100%</p> <p>ISBN-13: 978-0-8021-7044-6 FICTION ISBN-10: 0-8021-7044-7 US \$14.95</p> <p>9 780802 170446</p> <p>Image 26 Serve the People! by Yan Lianke. Published by Black Cat. © 2007</p>	2, praising/ advertising	The back cover does not include any information on content or author. Only includes three praising quotes from newspapers/ magazines and an excerpt of the justification for the book's banning in China, which is framed in red. The praise includes eye-catching keywords, which are in addition printed in large, bold red font.
Serve the People! (UK)	4, mixed	The back cover includes a headline in large white capitals, which are framed

Book	Category	Main features/elements
 <p>Image 27 <i>Serve the People!</i> by Yan Lianke. Published by Constable. © 2007</p>		<p>in black and include catchy keywords: banned, sexy, sensation. Below the headline, there are three paragraphs. The first provides information on the book's content and setting. The second emphasises the quality of Yan Lianke's writing and the fact that this is the first of his books to be translated into English. The third paragraph is more advertising, informing the reader that the book is banned in China, the importance of Yan as a writer and the importance of this book. No clear category is dominating the back cover.</p>
 <p>Image 28 <i>Serve the People!</i> by Yan Lianke. Published by Text Publishing. © 2007</p>	4, mixed	<p>Catchy headline printed in light red and in an arc on top of the bright red back cover, with a white, radiating star beneath. This is followed by three praising quotes (printed in yellow) from non-Australian newspapers (<i>La Repubblica</i>/ Italy and <i>Figaro Littéraire</i>/ France) and one by Australian author and translator Linda Jaivin. Beneath this, the three rules of thumb of the PLA³⁰ are printed in white, followed by a two-paragraph blurb and a praising paragraph provided by the publisher.</p>
<i>Dem Volke dienen</i> (hardcover)	2, praising/ advertising	Eye-catching headline in large, bold red print including keywords that

³⁰ The three rules of thumb of the People's Liberation Army as printed on the back cover of the Australian version: Don't say what you shouldn't say. Don't ask what you shouldn't ask. Don't do what you shouldn't do.

Book	Category	Main features/elements
	and 4, mixed (flaps)	grab attention: Sex, Liebe, Revolution, verboten, Kultroman [sex, love, revolution, banned, cult novel] and two longer praising quotes, each four lines long. Includes only one short paragraph outlining the content.
<i>Dem Volke dienen</i> (paperback)	2, praising/ advertising	On the top of this back cover, there is a headline in large red font, using eye-catching keywords: Sex, Liebe, Revolution [sex, love, revolution]. Below the headline, a one paragraph long blurb provides a very brief information about the book's topic and further that the book is banned in China and became an international cult novel. This section is followed by two praising blurbs from newspapers.

Table 9 Back covers and blurbs - *Serve the People!*


Book	Category	Main features/elements
<i>Dream of Ding Village</i> (US) 	4, mixed	The back cover includes four praising quotes from newspapers or magazines, one paragraph providing information on the book's content and further emphasises its importance and the author's quality. In addition, a short biography of Yan Lianke including a photo was included in the back cover. There is no clear category dominating this back cover.

Image 29 *Dream of Ding Village* by Yan Lianke. Published by Grove Press © 2009

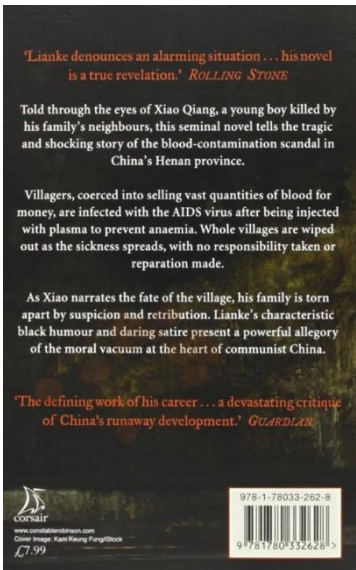
<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
<p><i>Dream of Ding Village (UK)</i></p>  <p><i>'Lianke denounces an alarming situation ... his novel is a true revelation.'</i> <i>ROLLING STONE</i></p> <p>Told through the eyes of Xiao Qiang, a young boy killed by his family's neighbours, this seminal novel tells the tragic and shocking story of the blood-contamination scandal in China's Henan province.</p> <p>Villagers, coerced into selling vast quantities of blood for money, are infected with the AIDS virus after being injected with plasma to prevent anaemia. Whole villages are wiped out as the sickness spreads, with no responsibility taken or reparation made.</p> <p>As Xiao narrates the fate of the village, his family is torn apart by suspicion and retribution. Lianke's characteristic black humour and daring satire present a powerful allegory of the moral vacuum at the heart of communist China.</p> <p><i>'The defining work of his career ... a devastating critique of China's runaway development.'</i> <i>GUARDIAN</i></p> <p>Corsair www.corsair.co.uk Cover Image: Xian-Ming Pung/Black £7.99</p> <p>978-1-78033-262-8 9 781780 332628</p>	<p>1, informative</p>	<p>Three paragraphs providing information on content and style of the work. Further includes two one-sentence long, praising quotes, which are not dominating the back cover, despite the fact that they are printed in red font.</p>
<p><i>Der Traum meines Großvaters (hardcover)</i></p>	<p>2, praising/ advertising and 4, mixed (flaps)</p>	<p>The back cover only includes one paragraph emphasising the book's quality, importance and style as well as Yan Lianke's importance as a writer. This is framed by two praising quotes by French newspapers, both printed in large yellow font.</p>

Image 30 Dream of Ding Village by Yan Lianke. Published by Corsair. © 2012

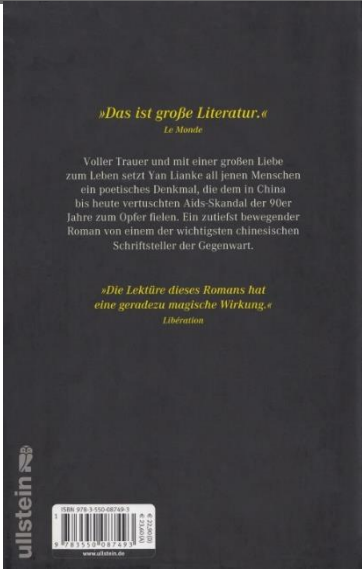
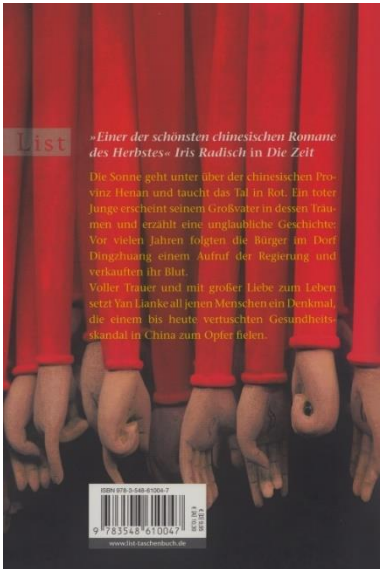
<i>Book</i>	<i>Category</i>	<i>Main features/elements</i>
 <p>Image 31 <i>Der Traum meines Großvaters</i> by Yan Lianke. Published by Ullstein. © 2009</p>		
<p>Der Traum meines Großvaters (paperback)</p>  <p>Image 32 <i>Der Traum meines Großvaters</i> by Yan Lianke. Published by List. © 2011</p>	4, mixed	The back cover includes a praising quote by a journalist on its top, printed in white. Below there is a two-paragraph blurb providing information on the book's content as well as the style and quality of the writing. There is no clear category dominating this back cover.

Table 10 Back covers and blurbs - *Dream of Ding Village*

As Tables 7-10 show, the back covers of the analysed books belong mainly to the praising/advertising category (7 back covers) and the mixed category (6 back covers). Only one back cover, namely that of the UK version of *Dream of Ding Village* belongs to the informative category. This suggests that the publishers seem to prefer using the

space on the back covers to actively praise or advertise the book and the author, or incorporate several elements at a time, such as information, advertisement or praise and biographical information. Only one publisher preferred to use the space mainly for informing the reader of the book's content and background instead of using it as a space for marketing. Further, there is no indication that back covers of fiction or non-fiction publications tend to belong to a certain category, nor that there is a tendency within the German- or English-speaking market towards a specific type of back cover. The only pattern that seems to appear is that the back covers of translations of the same book tend to belong to the same category: the back covers of the translations of *Mubei* all belong to the mixed category, the translations' back covers of *Liu si* are all advertising/praising and the translations of *Wei renmin fuwu* have, with one exception, all advertising/praising back covers. Only the translations of *Ding zhuang meng* are inconsistent, as the translation includes mixed, advertising/praising and informative back covers.

Word Choice

Since the blurbs are an important element in the paratextual framework as well as the marketing strategy of the book, most of the aspects of language in advertising are valid here. De Mooij states that Western advertising has a tendency towards using "efficient value-expressive language to help recognition and memory" (2011, p. 224). Here, the structure of the language influences the mental processes of the consumer, such as perception or memory. The load on working memory can be diminished by language, but this depends greatly on the linguistic devices or tools available in a language (De Mooij, 2011). These linguistic devices and the word choice therefore influence the mental processes as well as they help the consumers, or readers, memory.

The word choice in the blurbs of the translation varies not only between works but also between the different versions. Especially the English versions published in the UK and the US sometimes show significant differences in word choice, emphasis and focus. In order to analyse the blurbs in more detail, their word choice has been divided into four different groups, which are: (1) work and author, (2) Communism, Chinese Communist Party (CCP), power and criticism, (3) Moral and awareness, (4) Capturing attention, which can be found in the tables below. Each of these groups has been further divided into up to three or four sub-categories. The categories are aimed to be as general as possible, in order to cover as many of the books as possible. However, due to the very diverse contents of the books, this was not always possible and some of the sub-categories only apply to the translations of one work.

(1) Work and Author

<i>Book</i>	<i>Quality of author and/or work</i>	<i>Importance of author and/or work</i>	<i>Style or genre</i>
<i>Tombstone (UK)</i>	One of the best books, political sensation	Book of great importance, first proper history of China's great famine, unprecedented work of historical reckoning, one of the bravest men in China, first detailed analysis, one of the most important works	
<i>Tombstone (US)</i>	Stunning in scale, arresting in detailed account, a memorial, ground breaking, easily supersedes previous chronicles, one of the best insider accounts	One of the most important books (2x), offering an unwrinkled picture	Boldly unsparing
<i>Grabstein - Mùbēi</i>	Back cover: beeindruckendes Werk [impressive work]	Back cover: Erste umfassende Darstellung [first comprehensive account], beispiellose Fülle an Daten [unprecedented amount of data] Flap: unglaubliche Detailfülle [unbelievable amount of detail], ein aufsehenerregendes Buch [a sensational book], ein epochemachendes Monumentalwerk [an epoch-making monumental work], bereits schon jetzt in einem Atemzug mit Solschenizyns Werken	

<i>Book</i>	<i>Quality of author and/or work</i>	<i>Importance of author and/or work</i>	<i>Style or genre</i>
		gennant [already mentioned in the same breath with Solzhenitsyn's works]	
<i>For a Song and a Hundred Songs (US)</i>	Back cover: Linguistic prowess, poetic moments, art and truth Flap: Liao stands squarely among them and gives voice to not only his own story, but to the stories of those individuals who can no longer speak for themselves.	Back cover: Tremendous literary force Flap: important book, bears witness to history	
<i>For a Song and a Hundred Songs (Australia)</i>		Exposing a side of China that outsiders rarely get to see	Stark and devastating portrait
<i>Für ein Lied und hundert Lieder (hardcover)</i>	Back cover: Großes literarisches Zeugnis [great literary testimony], großes Buch [great book], einer der ganz großen Autoren Chinas [one of China's greatest authors], einer der sprach- und bildmächtigsten literarischen Stimmen unserer Zeit [one of the most linguistically and visually powerful	Flap: entpuppt sich... als ein bedeutender, sprach- und bildmächtiger Dichter [turns out to be... a significant, linguistically and visually powerful poet]	Back cover: Auf höchst eindringliche Weise [in a most striking way], schonungslos [unsparing] Flap: Auf höchst eindringliche Weise [in a most striking way]

<i>Book</i>	<i>Quality of author and/or work</i>	<i>Importance of author and/or work</i>	<i>Style or genre</i>
	literary voices of our time] Flap: auf literarisch höchst eindringliche Weise [in a most striking literary way], einer der ganz großen Autoren der chinesischen Gegenwart [one of the greatest authors of China's present]		
<i>Für ein Lied und hundert Lieder (paperback)</i>	Eindrucksvolles Buch [impressive book], einer der ganz großen Autoren Chinas [one of China's greatest authors], einer der sprach- und bildmächtigsten literarischen Stimmen unserer Zeit [one of the most linguistically and visually overwhelming literary voices of our time]	Der wohl wichtigste chinesische Schriftsteller [possibly the most important Chinese writer]	Auf höchst eindringliche Weise [in a most striking way]
<i>Serve the People! (US)</i>			Funny, satire, comedy
<i>Serve the People! (UK)</i>			Satirical, funny
<i>Serve the People! (Australia)</i>	Masterpiece (2x), most popular... of Chinese novelists		Exhilarating comedy, funny, novel, satire,

<i>Book</i>	<i>Quality of author and/or work</i>	<i>Importance of author and/or work</i>	<i>Style or genre</i>
			moving love story
<i>Dem Volke dienen (hardcover)</i>	Back cover: Talent [talent], Kultroman [cult novel] Flap: Kultroman [cult novel]		Flap: Roman [novel], eindrucksvoll erzählt [impressively narrated], Eugène Ionesco auf Chinesisch! [Eugène Ionesco in Chinese!]
<i>Dem Volke dienen (paperback)</i>			Erzählung [narrative], Witz [wit], Kultroman [cult novel]
<i>Dream of Ding Village (US)</i>	Deeply moving, beautifully written		sorrowful but captivating novel
<i>Dream of Ding Village (UK)</i>	Defining work of his career, elegantly crafted piece of literature, long- listed for Man Asia Literary Prize, resonates with the impact of Greek tragedy and Shakespearean drama	His most important work	Black humour, satire
<i>Der Traum meines Großvaters (hardcover)</i>	Back cover: Große Literatur [great literature], poetisches Denkmal [poetic memorial], zutiefst	Back cover: Einer der wichtigsten Schriftsteller der Gegenwart [one of the most important writers at present]	Back cover: Magische Wirkung [magic effect]

<i>Book</i>	<i>Quality of author and/or work</i>	<i>Importance of author and/or work</i>	<i>Style or genre</i>
	bewegender Roman [deeply moving novel]		Flap: Roman [novel]
<i>Der Traum meines Großvaters (paperback)</i>	Einer der schönsten chinesischen Romane des Herbstes [one of the most beautiful novels of this autumn]		

Table 11 Word choice - Work and Author

(2) Communism, Censorship and Criticism

<i>Book</i>	<i>Communism and CCP or power</i>	<i>Deprivation of freedom or human rights</i>	<i>Censorship</i>	<i>Criticism of CCP</i>
<i>Tombstone (UK)</i>	The system, Mao, China		Banned	
<i>Tombstone (US)</i>	Great Leap Forward, China (2x), China's totalitarian system, officials, ideology, those in power, totalitarian system, the Party, ideological framework			Historical amnesia
<i>Grabstein - Mùbēi</i>	Back cover: China, Mao, Parteikader [Party cadres], System Flap: China, Mao Zedong, Maos "Großer Sprung nach vorn" [Mao's "Great Leap Forward"]			Flap: bricht ein Tabu [breaking a taboo], in welch unheilvolles Desaster Maos "Großer Sprung

<i>Book</i>	<i>Communism and CCP or power</i>	<i>Deprivation of freedom or human rights</i>	<i>Censorship</i>	<i>Criticism of CCP</i>
				nach vorne” führte [to which fatal disaster Mao’s “Great Leap Forward” led]
For a Song and a Hundred Songs (US)		Back cover: Prison, prisoner, writer-in- exile Flap: years spent in jail for writing the incendiary poem “Massacre”, prisons, prisoners, confinement		Flap: Chinese government has tightened its grip in recent years on its most vocal citizens
<i>For a Song and a Hundred Songs (Australia)</i>	Tiananmen Square protests	In jail for writing his incendiary poem, crowded Chinese prisons, prisoners, close confinement, cellmates		
<i>Für ein Lied und hundert Lieder (hard- cover)</i>		Back cover: Gefängnis [prison], Arbeitslager [work camp], Inhaftierung [imprisonment] Flap: in Gewahrsam genommen [taken		

<i>Book</i>	<i>Communism and CCP or power</i>	<i>Deprivation of freedom or human rights</i>	<i>Censorship</i>	<i>Criticism of CCP</i>
		into custody], Haft [imprisonment], Umerziehungslager [re-education camp], Gefangenschaft [imprisonment], Gefängnisse [prisons], Mithäftlinge [fellow prisoners] (2x)		
<i>Für ein Lied und hundert Lieder (paper-back)</i>		Haft [imprisonment], Gefängnis [prison], Arbeitslager [work camp], Inhaftierung [imprisonment]		
<i>Serve the People! (US)</i>	Mao Zedong, Army, Chinese Central Propaganda Bureau, revolutionary, politics, Mao's revolution, revolution		Controversial, do not distribute	Corruption
<i>Serve the People! (UK)</i>	Mao cult, military commander, peasant soldier, statue of Mao, counter-revolutionary, sacred icons of the Great Leader, commander, Mao		Banned (2x), taboo, subversive critique	Official corruption, leadership hypocrisy

<i>Book</i>	<i>Communism and CCP or power</i>	<i>Deprivation of freedom or human rights</i>	<i>Censorship</i>	<i>Criticism of CCP</i>
	portraits, Little Red Book, Great helmsman, Army, revolution, political etiquette, Cultural Revolution (2x), propaganda ministers, People's Liberation Army			
<i>Serve the People!</i> (Australia)	Communism, People's Liberation Army, model soldier, Mao's writings, Division Commander, Commander's... wife, young orderly, Serve the People, Mao's cultural revolution, Mao cult, ideology		Banned in China, one of the most controversial ... of Chinese novelists, subversive (2x), flaunt the taboos	
<i>Dem Volke dienen</i> (hard-cover)	Back cover: Revolution [revolution], Kulturrevolution [Cultural Revolution], Mao, Volksrepublik [People's Republic], Divisionskommandeur [division commander]		Back cover: Verboten [banned] Flap: offiziell mit einem Veröffentlichungsverbot versehen [officially banned from publication]	Back cover: einer gründlichen Gehirnwäsche unterzogen [thoroughly brain-washed]

<i>Book</i>	<i>Communism and CCP or power</i>	<i>Deprivation of freedom or human rights</i>	<i>Censorship</i>	<i>Criticism of CCP</i>
	Flap: Kulturrevolution [Cultural Revolution], Mao Zedong (2x), Volk und Partei [people and party], Skulptur des Großen Vorsitzenden [sculpture of the Great Chairman], konterrevolutionär [counter-revolutionary], Mao-Ikone [Mao icon]			
<i>Dem Volke dienen</i> (paper-back)	Revolution [revolution], Kulturrevolution [Cultural Revolution], Mao, Volksrepublik [People's Republic], Kommunismus [communism], Divisionskommandeur [division commander]		Zensur zum Opfer fallen [banned]	
<i>Dream of Ding Village</i> (US)	China, the Party, progress of modern China		Officially censored, censored	Devastating critique, extraordinary critique,

<i>Book</i>	<i>Communism and CCP or power</i>	<i>Deprivation of freedom or human rights</i>	<i>Censorship</i>	<i>Criticism of CCP</i>
				China's ruthless path
<i>Dream of Ding Village (UK)</i>				No responsibility taken, no reparation made
<i>Der Traum meines Großvaters (hard-cover)</i>	Back cover: China Flap: China		Flap: kurz nach Erscheinen verboten [banned shortly after publication]	Flap: offiziell darüber geschwiegen [not discussed officially]
<i>Der Traum meines Großvaters (paper-back)</i>				

Table 12 Word choice - Communism, Censorship and Criticism

(3) Moral and Awareness

<i>Book</i>	<i>Lack of moral or virtue in the story</i>	<i>Brutality, health and scandal in the story</i>	<i>Raising awareness through the book</i>
<i>Tombstone (UK)</i>			Shocking
<i>Tombstone (US)</i>	Back cover: Inhumanity, refusal to value human life over..., self- interest		Eye-opening
<i>Grabstein - Mubēi</i>			

<i>Book</i>	<i>Lack of moral or virtue in the story</i>	<i>Brutality, health and scandal in the story</i>	<i>Raising awareness through the book</i>
<i>For a Song and a Hundred Songs (US)</i>		Back cover: Painful, harrowing scenes, horror Flap: bloody resolution, ‘Massacre’, brutal years, harassment, torture, conflicts	Back cover: Opens your eyes Flap: presents a stark and devastating portrait of a nation in flux, exposing a side of China that outsiders rarely see, will forever change the way you view the rising superpower of China
<i>For a Song and a Hundred Songs (Australia)</i>		Bloody resolution, poem ‘Massacre’, brutal years, harassment, torture, conflicts	Will forever change the way you view the rising superpower of China
<i>Für ein Lied und hundert Lieder (hardcover)</i>	Back cover: zu Halbmenschen degradiert [degraded to sub-humans] Flap: zu Halbmenschen degradiert [degraded to sub-humans], sich selbst entmenslichen [dehumanise oneself]	Back cover: Widrigste Umstände [most adverse conditions], Massaker [massacre], brutale Realität [brutal reality] Flap: Massaker [massacre], Suizidversuch [suicide attempt], brutale Realität [brutal reality], Schikanen [harassment], Folter [torture], Grausamkeiten [cruelty]	

<i>Book</i>	<i>Lack of moral or virtue in the story</i>	<i>Brutality, health and scandal in the story</i>	<i>Raising awareness through the book</i>
<i>Für ein Lied und hundert Lieder</i> (paperback)	zu Halbmenschen degradiert [degraded to sub-humans]	Massaker [massacre], brutale Realität [brutal reality]	
<i>Serve the People!</i> (US)			
<i>Serve the People!</i> (UK)			
<i>Serve the People!</i> (Australia)			
<i>Dem Volke dienen</i> (hardcover)			
<i>Dem Volke dienen</i> (paperback)			
<i>Dream of Ding Village</i> (US)	Unregulated blood-banks, exploit the situation	Real-life scandal	Offers a window
<i>Dream of Ding Village</i> (UK)	Moral vacuum	Blood-contamination, scandal, blood, infected, AIDS	Denounce, alarming, devastating, critique
<i>Der Traum meines Großvaters</i> (hardcover)	Back cover: Vertuschen [hush up] Flap: unkontrollierte Bluttransfusionen [unregulated blood transfusions]	Back cover: Aids-Skandal [AIDS scandal] Flap: Aids-Skandal [AIDS scandal]	
<i>Der Traum meines</i>	Vertuschen [hush up]	Gesundheitsskandal [health scandal]	

Book	<i>Lack of moral or virtue in the story</i>	<i>Brutality, health and scandal in the story</i>	<i>Raising awareness through the book</i>
<i>Großvaters</i> (paperback)			

Table 13 Word choice - Moral and Awareness

(4) Capturing Attention

Book	<i>Sex or love</i>	<i>Death</i>	<i>Strong adjectives</i>
<i>Tombstone</i> (UK)		China's great famine, tombstone, died (2x), starvation, starved to death, Great Famine, full human cost, famine	
<i>Tombstone</i> (US)		Starved to death, one of the greatest tragedies, famine (2x), natural disaster, mass nationwide starvation, deaths, human cost, tragedy, lives lost, the dead,	
<i>Grabstein - Mùbēi</i>		Back cover: Große Hungerkatastrophe [great famine], zum Opfer fallen [fall victim to], schreckliche Hungerkatastrophe [horrible famine], Grabstein [tombstone], an Hunger starb(en) [died of starvation] (2x), Tod verursachte [caused the death] Flap: große Hungerkatastrophe [great famine], eine der	Back cover: schrecklich [horrible] Flap: Unglaublich [unbelievable], unheilvoll [fatal], aufsehenerregend [sensational], epochemachend [epoch-making]

<i>Book</i>	<i>Sex or love</i>	<i>Death</i>	<i>Strong adjectives</i>
		schlimmsten Katastrophen der Menschheitsgeschichte [one of the most severe catastrophes of human history], starben Millionen Menschen [millions of people died], Kannibalismus [cannibalism]	
<i>For a Song and a Hundred Songs (US)</i>		Flap: Bloody resolution, stage a state funeral for a prisoner facing imminent execution	Back cover: disturbingly cold, cold, invitingly warm, angry (2x), charismatic, courageous, powerful, unforgettable, riveting, visceral Flap: bloody, brutal, stark, devastating
<i>For a Song and a Hundred Songs (Australia)</i>			Bloody, brutal, stark, devastating
<i>Für ein Lied und hundert Lieder (hardcover)</i>			
<i>Für ein Lied und hundert Lieder (paperback)</i>			

<i>Book</i>	<i>Sex or love</i>	<i>Death</i>	<i>Strong adjectives</i>
<i>Serve the People!</i> (US)	Overflowing with sex, red hot love story, crackle with sexual tension		
<i>Serve the People!</i> (UK)	Sexy, lovers, desire, erotic game, sexuality, sexually charged		Sacrilegious, dramatically, irresistibly, sacrosanct, apoplectic
<i>Serve the People!</i> (Australia)	Erotic (2x), sexy, love story, desire and loss		Exhilarating, according to the logic of absurdity and delirium, delicious
<i>Dem Volke dienen</i> (hardcover)	Back cover: Sex [sex], Liebe [love], sexhungrig [hungry for sex], entfachen [ignite] Flap: Zieh dich aus [get undressed], amour fou, lustvolles Treiben [passionate game], Fantasie der Lust [fantasy of lust], erotische Ausstrahlung [erotic aura], Freiheit der Liebe [freedom of love], sexuelle Zügellosigkeit		Back cover: Schön [beautiful], verrückt [crazy], wild, mysteriös [mysterious], melancholisch [melancholic], schillernd [dazzling], komisch [comical], provokant [provocative], höchst genüsslich [with the utmost pleasure], schonungslos [relentless], kompromisslos [uncompromising] Flap: wild, verrückt [crazy], anrührend [touching]

<i>Book</i>	<i>Sex or love</i>	<i>Death</i>	<i>Strong adjectives</i>
	[sexually unrestrained]		
<i>Dem Volke dienen</i> (paperback)	Sex [sex], Liebe [love], sexhungrig [hungry for sex], entfachen [ignite]		kompromisslos [uncompromising], Schön [beautiful], verrückt [crazy], wild [wild], funkelnd [sparkling], traurig [sad]
<i>Dream of Ding Village</i> (US)		Village decimated by HIV/AIDS, infected	
<i>Dream of Ding Village</i> (UK)		Killed, wiped out	Tragic, shocking
<i>Der Traum meines Großvaters</i> (hardcover)	Back cover: Große Liebe [true love]	Back cover: Trauer [mourning], Opfer [victim/s] Flap: Tausende von Menschen starben [thousands of people died]	Flap: eindrucksvoll [impressive], unmenschlich [inhuman]
<i>Der Traum meines Großvaters</i> (paperback)	Liebe (zum Leben) [love life]	Trauer [mourning], zum Opfer fallen [fall victim to]	

Table 14 Word choice - Capturing Attention

6.4 Conclusion

The paratextual analysis has shown that the paratextual strategies for translations of the same book can be identical, e.g. by translating the original title directly into both English and German, similar, e.g. by using a similar cover design with only minor changes and completely different, e.g. by using a different title and different cover design. The most

similarities can be found within the titles, which are often very similar either to the original or to the title in either English or German. The front covers often share similarities in terms of style or design, however, slight changes can potentially change the effect they have on the readers. When comparing the blurbs, different strategies emerged: using eye-catching keywords, emotionally loaded language or dense information, depending on content, genre and place of publication of the book. It will be interesting to see how readers perceive the different paratextual strategies for the translation of the same source text.

Chapter 7. Findings from the Reader-Response Studies and Surveys

This chapter shows the findings from both the reader-response studies and the surveys with the translators. Section 7.1 shows the results of the preliminary reader-response study and section 7.2 shows results regarding the readers' opinion on Chinese banned books. Sections 7.3, 7.4 and 7.5 show the findings from the reader-response study on the appeal of and associations evoked by titles, front covers, and back covers and blurbs respectively. The chapter concludes with a section on the results from the surveys conducted with some of the translators involved in the translation of the books included in the study.

7.1 Findings from the Preliminary Study

The preliminary reader-response study investigated the interplay of title and book cover using translations of Yan Lianke's *Serve the People!* and *Dem Volke dienen* as case studies³¹. As outlined in Section 5.3.1, the study was conducted in different stages: 1. cover without title, author and publisher; 2. title alone; 3. cover including title, author and publisher.

Appeal of Front Covers

The appeal ratings of the English readers for the three English translations both at stage 1 (cover without title and author) and stage 3 (cover including title and author) are as follows:

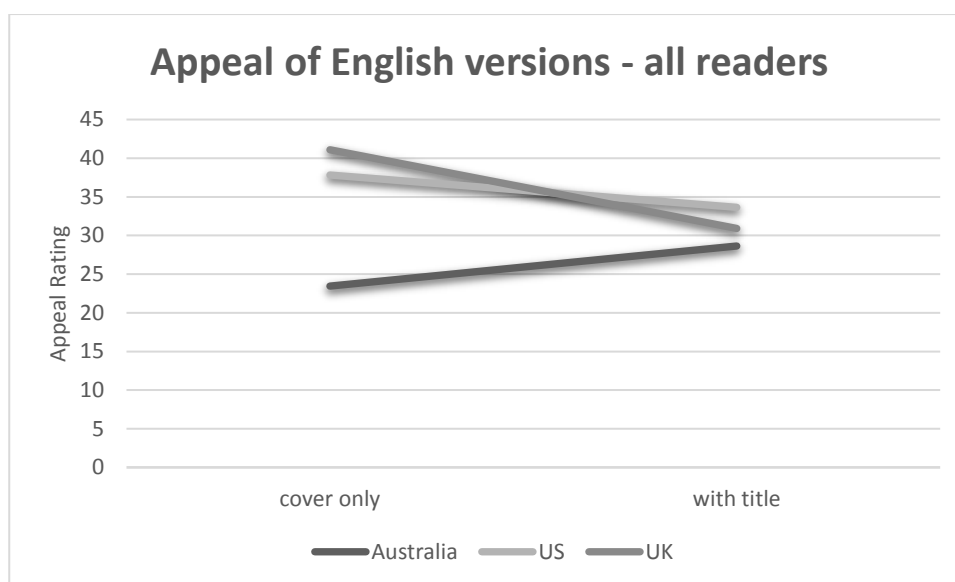


Figure 1 Appeal of *Serve the People!* - all English versions, all readers.

³¹ See Section 5.3.1 for more information on the preliminary study.

Figure 1 shows that the US and the UK versions both lost in appeal when the title was added to the cover, whereas the Australian version gained in appeal.

The appeal ratings of the German readers for the German hardcover and paperback versions both without title and author (stage 1) and with (stage 3) are as follows:

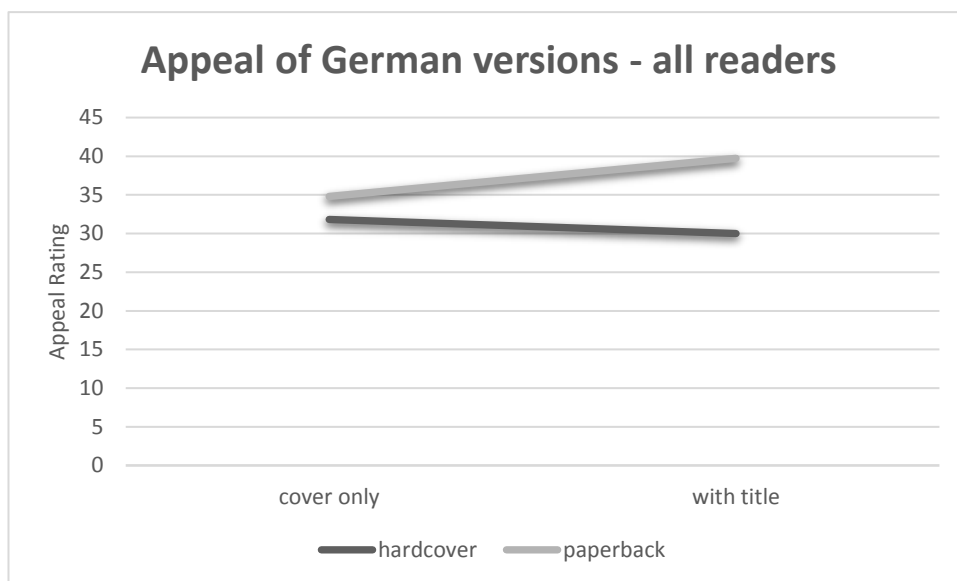


Figure 2 Appeal of *Dem Volke dienen* - all German versions, all readers.

Figure 2 shows that the two versions appealed almost to the same degree to the readers at stage one, but the hardcover version lost in appeal when the title was added while the paperback version gained in appeal.

Associations with Front Covers and Book Titles

As explained, the readers were asked for their associations that come to mind when looking at the cover or reading the book title. The readers' associations or impressions were coded and grouped, e.g. answers such as 'communist country', 'communism' or 'Maoism' were coded as 'communism'. The groups were then ranked according to the times they were mentioned.

Associations of English readers with the book covers at stage one (without title and author) are shown in Figure 3:

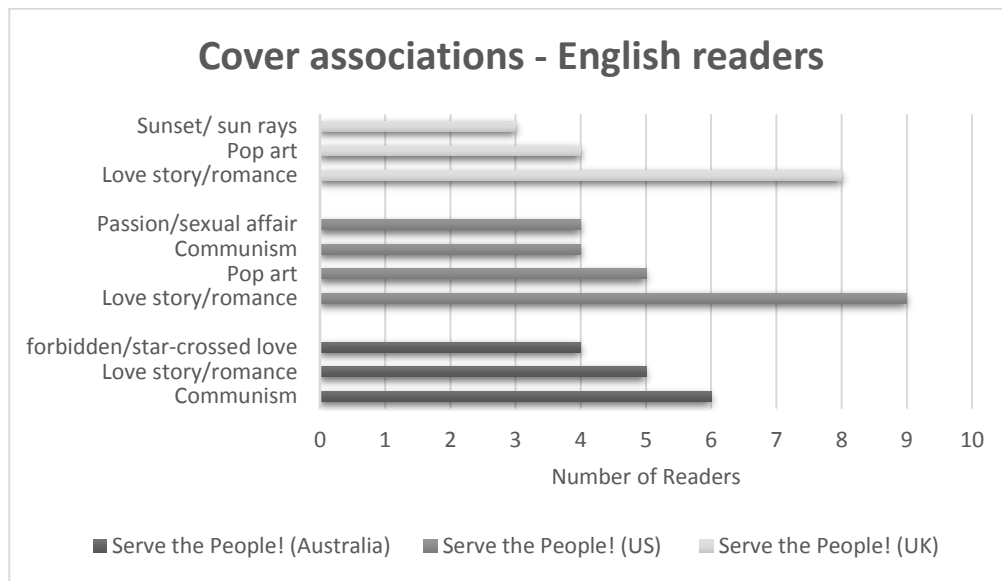


Figure 3 Cover associations *Serve the People!* - English readers.

Figure 3 shows that the two very similar covers (UK and US) both evoked similar associations, with Love story/romance being named by the majority of readers (US: 9 of 11 readers; UK: 8 of 11 readers). It also shows that the US version, in addition, evoked associations with communism, which the UK version did not. The Australian version, in contrast, evoked associations with communism in more than half of the readers (6 of 11).

Figure 4 shows the associations of English readers with the title *Serve the People!*:

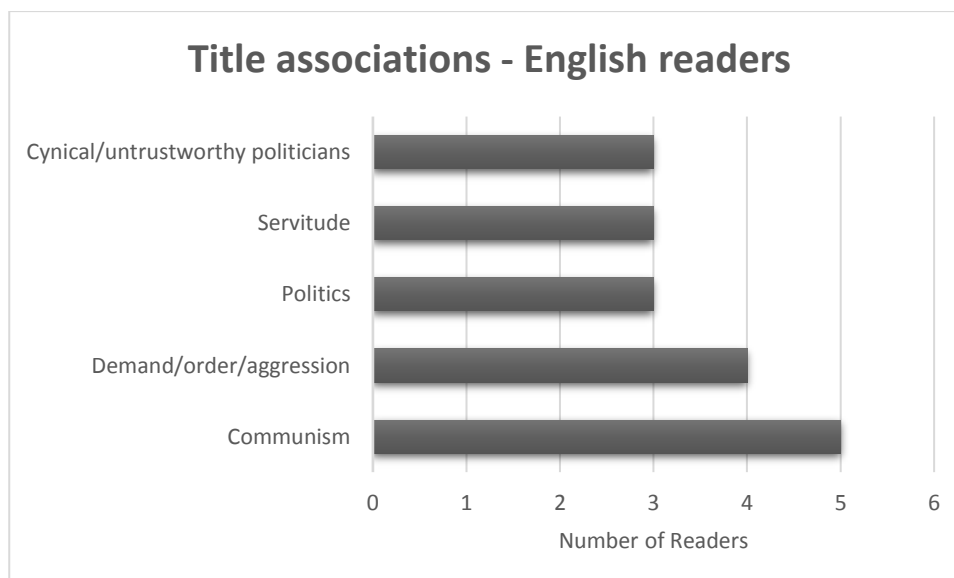


Figure 4 Title associations *Serve the People!* - English readers.

Figure 4 shows that almost half (5 of 11) of the readers thought the title sounded communist, and about a third (4 of 11) considered the title as being demanding, aggressive and an order.

The associations of German readers with the cover designs at stage one (without title and author) are as follows:

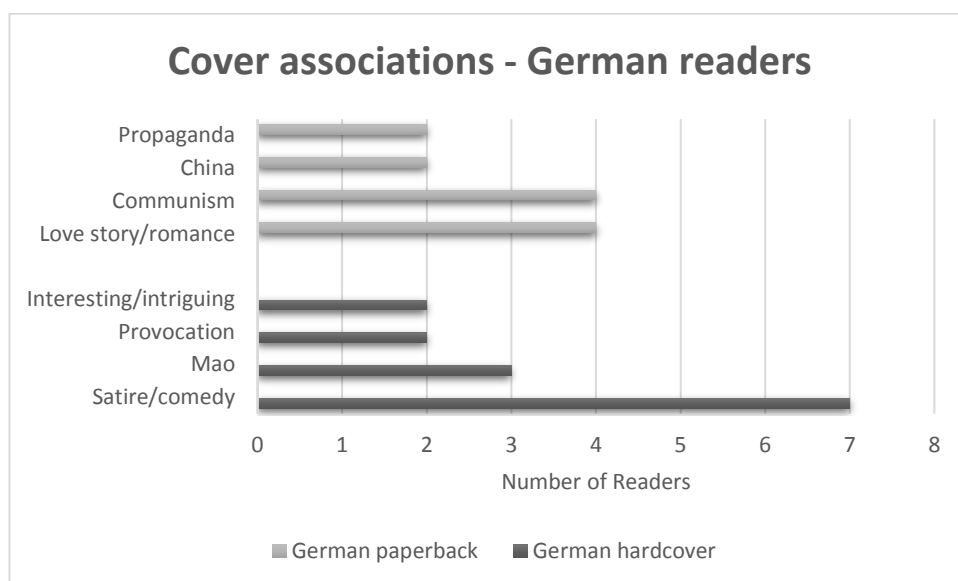


Figure 5 Cover associations *Dem Volke dienen* - German readers.

Figure 5 illustrates that the two German versions evoked quite different associations. The hardcover version implied a satire or comedy for the majority of readers (7 of 11), which was not the case for the paperback edition. With the paperback, about a third of the readers associated communism and a love story/romance, which is consistent with the associations evoked in the English readers by the very similar US and identical UK cover.

Figure 6 shows the associations of German readers with the title *Dem Volke dienen*:

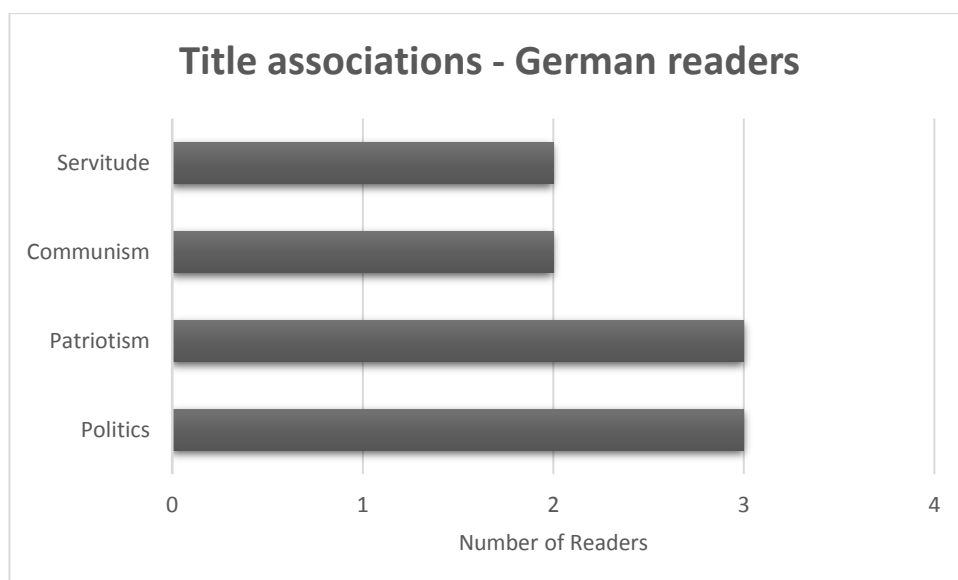


Figure 6 Title associations *Dem Volke dienen* - German readers.

Figure 6 shows that there is no association evoked by the title that is shared by the majority of the readers. The associations named by the largest number (3 of 11) are patriotism and politics.

When comparing the associations with the cover designs without title and author with those with the titles (Figure 3 and 4 for the English readers and Figure 5 and 6 for the German readers), possible (mis-) matches of expectations and associations created by the book covers and the book title become visible. Mismatches might occur when the cover design evoked a specific association, for example relating to content or setting, and the title evoked an association which is dissimilar to the association with the cover design.

7.2 Popularity of Chinese Banned Books

As outlined in Section 4.2, there seems to be a general perception, especially in the media, of censorship being a sign of quality and a factor that increases attraction. To put these assumptions to the test, a set of four questions were included in both the preliminary and the main reader-response study. In the two studies, both English- and German-speaking readers were asked several questions regarding their opinion of banned books at two stages, once at the beginning of the questionnaire and once at the end. The results of the two studies are rather surprising, as they suggest differences in perceptions of and opinions on banned books between the English and German group.

Results from the Preliminary Study

The results of the preliminary study investigating the readers' opinions on Chinese banned books are displayed in the charts below.

1. If you hear/see/read that a book is banned in its country of origin, does that make the book more or less appealing to you?

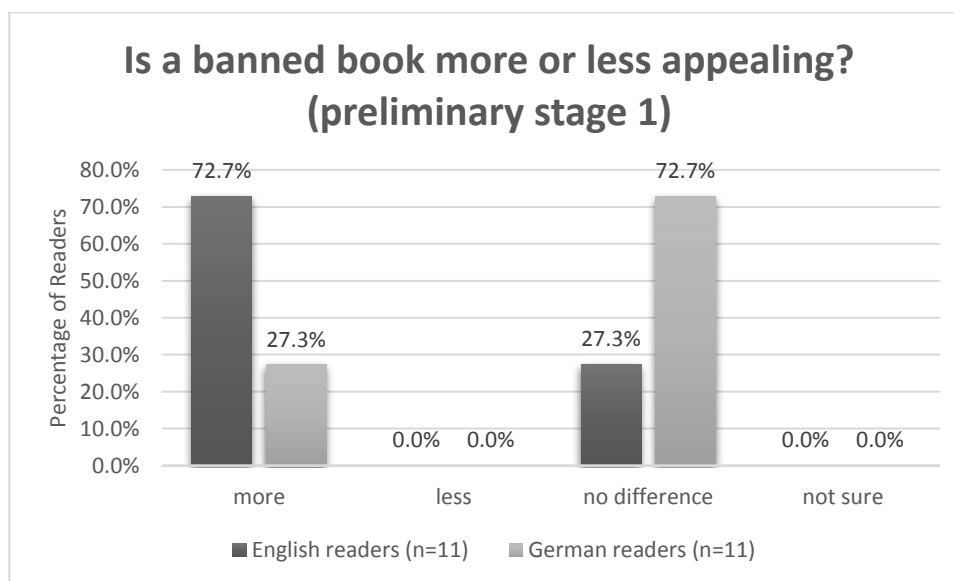


Figure 7 Is a banned book more appealing? Preliminary reader-response study stage 1.

2. Do you think banned books are more or less interesting per se than non-banned books?

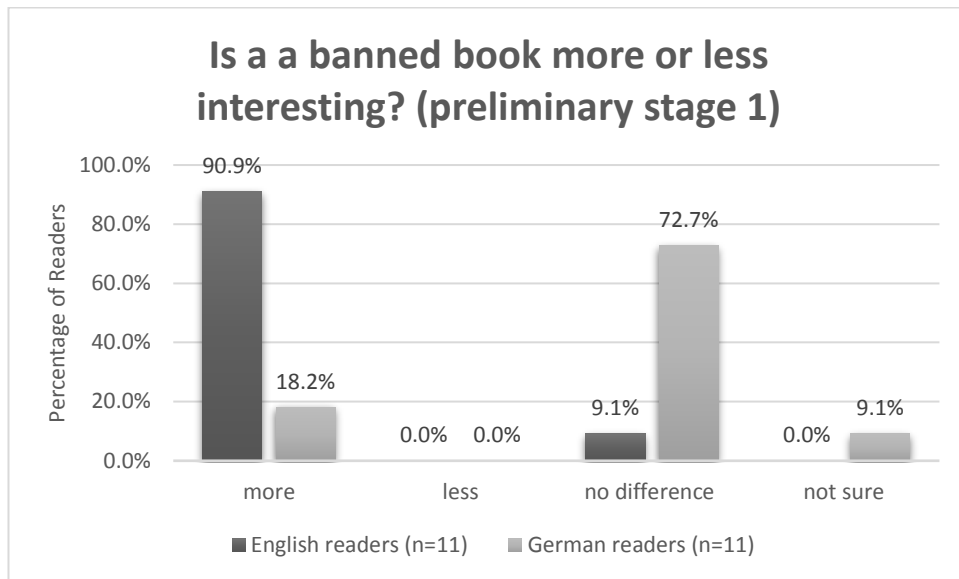


Figure 8 Is a banned book more interesting? Preliminary reader-response study stage 1.

3. Do you think banned books are better/worse quality per se than non-banned books?

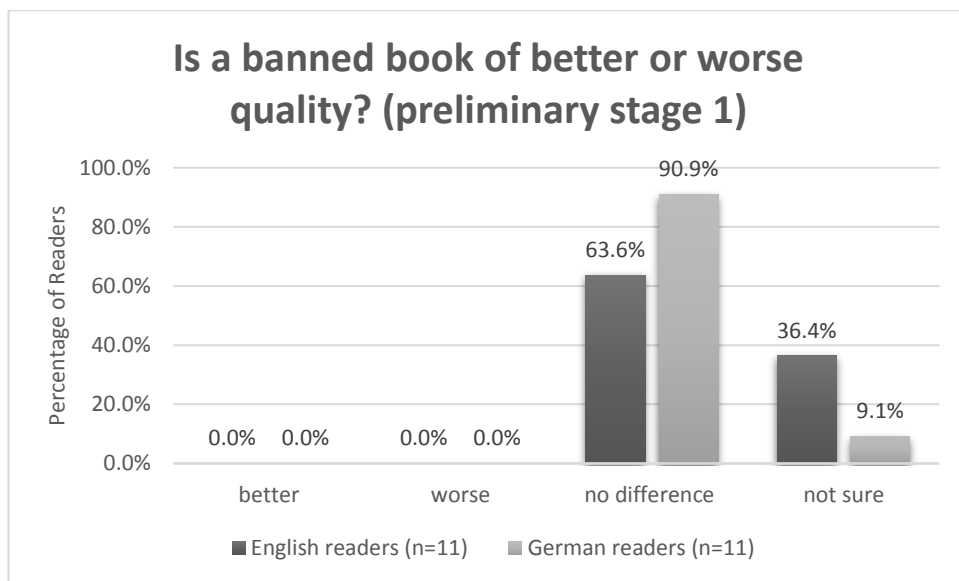


Figure 9 Is a banned book of better quality? Preliminary reader-response study stage 1.

4. Do you think banned books are more or less exciting/thrilling than non-banned books?

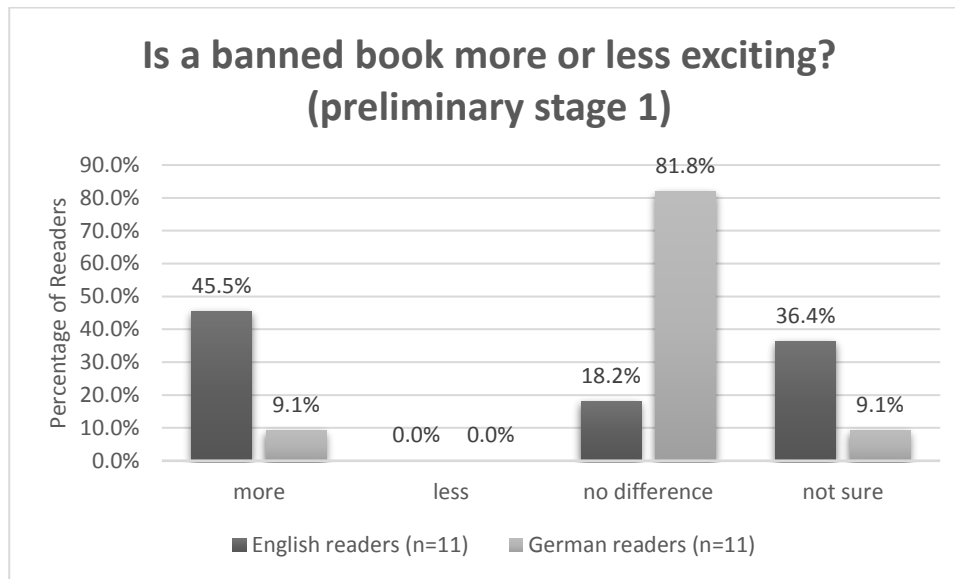


Figure 10 Is a banned book more exciting? Preliminary reader-response study stage 1.

The same trends, as shown in Figures 7-10, were present when the participants were asked the same questions a second time (at the end of the questionnaire), although the gaps between the English and German readers changed slightly.

When the English readers were asked the above questions in the preliminary study for the second time, 63.6% said censorship makes a book more appealing (down 9.1%), whereas 36.4% now said it made no difference (up 9.1%). The same switch of 9.1% can be seen in question 2, investigating whether censorship makes a book more interesting: 81.8% now said this was the case whereas 18.2% now said it made no difference. Equally, the percentage of readers saying censorship does not influence the book's quality rose by 9.1% to 72.7%, meaning a decrease by the same amount for readers being unsure about this question. Finally, the last question, asking whether censorship makes a book more exciting saw the biggest changes. The percentage of readers thinking it made a book more exciting rose by 18.2% to 63.6%, while percentages for "no difference" and "not sure" decreased by 9.1% each. Taking into account that n=11, the 9.1% changes mean that one reader changed their mind, whereas 18.2% change means two readers changed their minds, which is overall only a slight change. Overall, this means that a small number of readers were potentially influenced by the books included in this study leading to the readers changing their opinion on Chinese banned books.

For the German readers, the books in the preliminary study seem to have caused confusion over the question of whether censorship makes a book more appealing. There is a switch from “no difference” to not sure” by 36.4% (4 of 11 readers), meaning that readers who were initially sure that it made no difference are no longer sure as to whether this is the case. A similar, but less dramatic, switch can be seen in the responses to the question asking whether censorship makes a book more interesting: the percentage of readers saying it made no difference decreased by 9.1% to 63.6% whereas the percentage of readers being unsure increased by 9.1% to 18.2%. Here again, 9.1% signifies one reader. In contrast to this phenomenon, when asked about the quality of banned books, one reader (9.1%) changed their mind from “not sure” to a banned book is per se of better quality. Finally, the question investigating whether readers find banned books more exciting saw the most changes. When asked the second time, 18.2% said banned books are more exciting (up 9.1%), 63.6% said it made no difference (down 18.2%) and 18.2% were unsure (up 9.1%). Apart from the first question where 3 readers changed their mind when asked the question at the end of the questionnaire, in all other questions only 1 or 2 readers answered the question differently from the first time.

The above results suggest that English readers consider banned books in general as more appealing, more interesting and exciting/thrilling than non-banned books, whereas for the majority of the German readers there is no difference between banned and non-banned books. The two groups of readers seem to agree that there is no difference with regards to the book’s quality between banned and non-banned books. What this study further suggests is that the strategy of heavily marketing banned books as such seems to be more appropriate for English-speaking readers, but its effectiveness in the German market could be questioned.

Results from the Main Study

In the questionnaire of the main reader-response study, the readers were asked for their opinion on banned books using the same four questions as in the preliminary reader-response study. The readers were asked these questions in the beginning, before the main part where they were presented with covers, titles, etc., and at the end, just after the main part of the study. The results of the preliminary study were confirmed in the main reader-response study, despite some differences in ratings. English readers then still rated banned books as more appealing/interesting/exciting than German readers, but the differences were much smaller, as the following figures show.

1. If you hear/see/read that a book is banned in its country of origin, does that make the book more or less appealing to you?

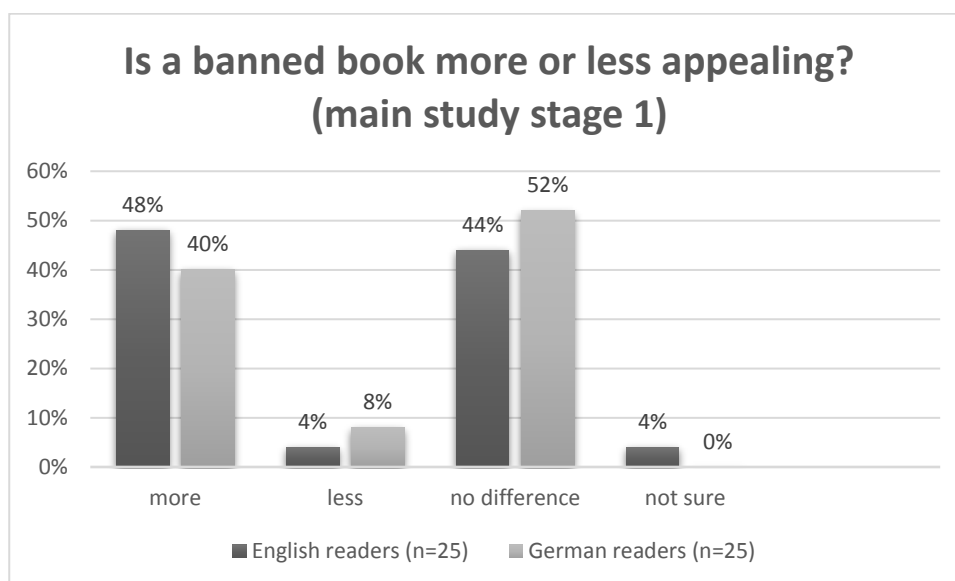


Figure 11 *Is a banned book more appealing? Main reader-response study stage 1.*

2. Do you think banned books are more or less interesting per se than non-banned books?

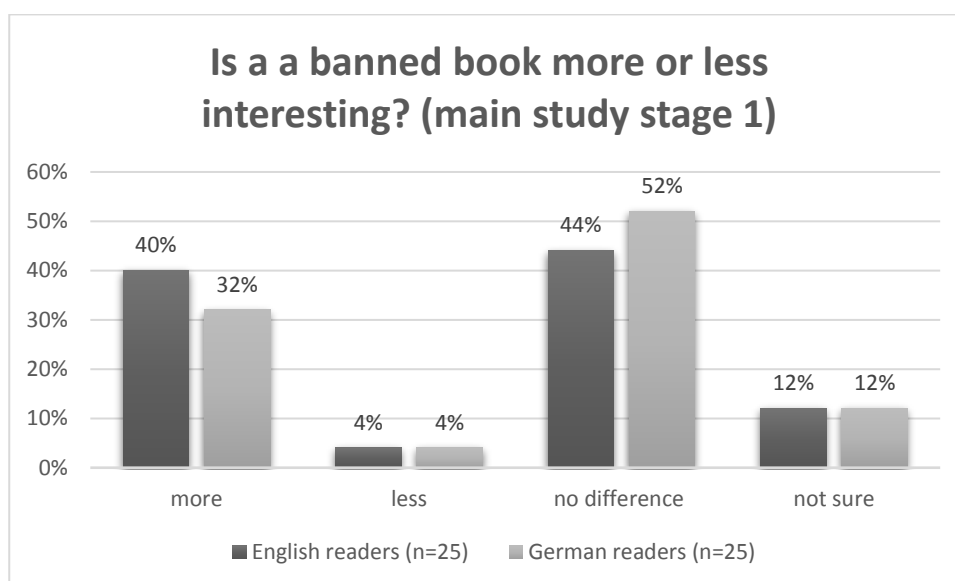


Figure 12 *Is a banned book more interesting? Main reader-response study stage 1.*

3. Do you think banned books are more or less exciting/thrilling than non-banned books?

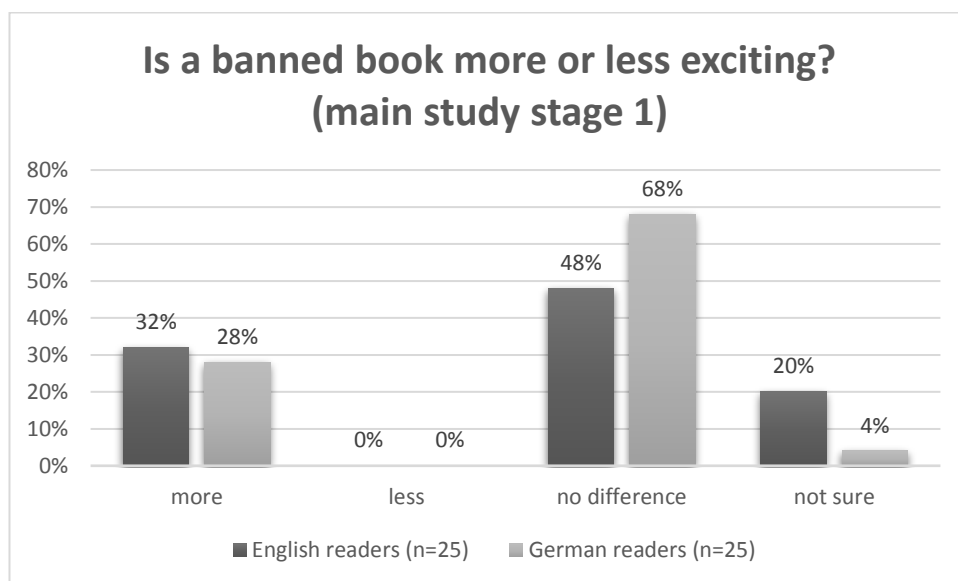


Figure 13 Is a banned book more exciting? Main reader-response study stage 1.

As in the preliminary study, the readers agreed that the banned status of a book is no sign for either better or worse quality:

4. Do you think banned books are better/worse quality per se than non-banned books?

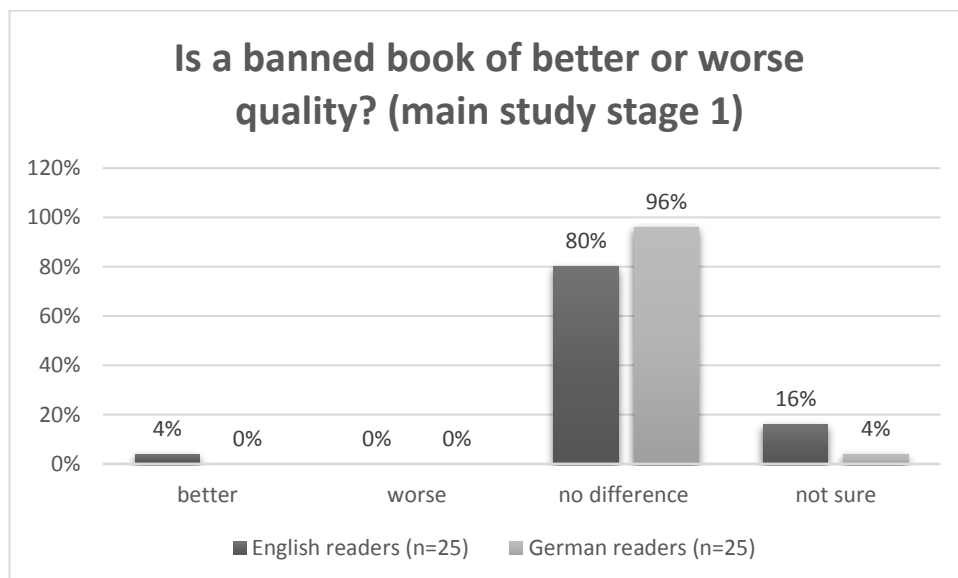


Figure 14 Is a banned book of better quality? Main reader-response study stage 1.

Here again, the answers to these questions asked at the second stage, at the end of the questionnaire, confirmed the general trend.

Overall, English readers seem to rate banned books as more appealing/ interesting/ exciting than German readers when asked the first time. The majority of the German readers said that banned books are no different from non-banned books in all categories

at stage one. This only changed in one case, when the majority of the German readers rated banned books as more appealing at stage two. In general, readers in all age groups agreed that there was generally no difference in quality between banned and non-banned books, as shown in Figure 14.

7.3 Titles

7.3.1 Reader-Response Study Results

The following figures show the appeal of the different book titles to English readers (Figure 15) and German readers (Figure 16):

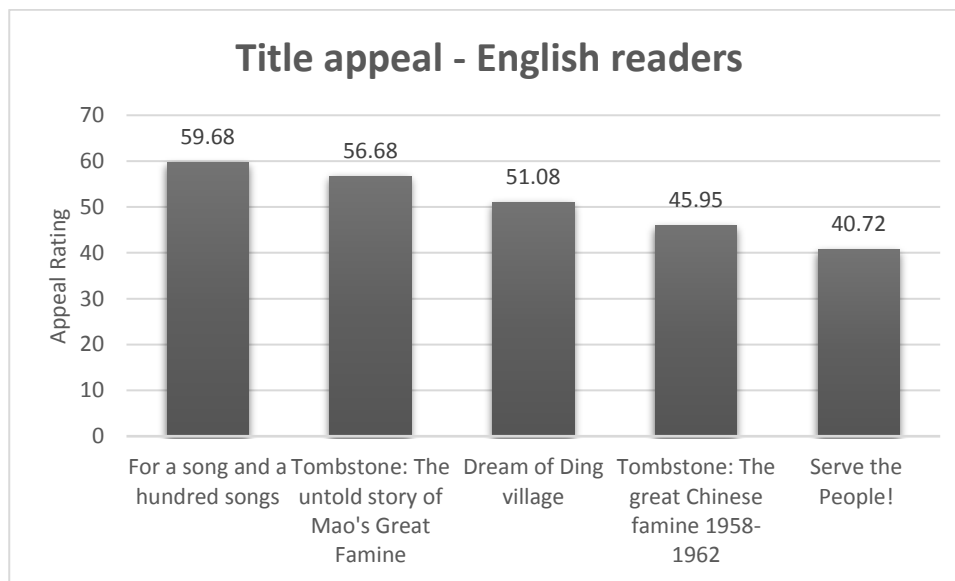


Figure 15 Title appeal - English readers.

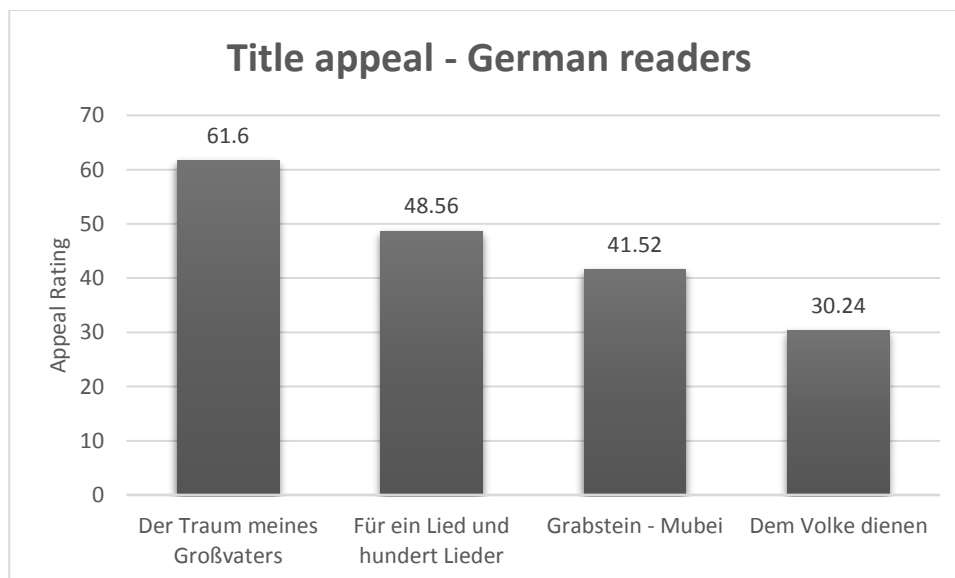


Figure 16 Title appeal - German readers.

Figures 15 and 16 show that in both language groups, the title *Serve the People!//Dem Volke dienen* appealed least to the readers. In contrast, *For a Song and a Hundred Songs/Für ein Lied und hundert Lieder* was generally rated as very appealing. For German readers, the most appealing title (*Der Traum meines Großvaters*) is more than twice as appealing than the least appealing title (*Dem Volke dienen*). The difference between the most and least appealing title for the English readers is much smaller, with *For a Song and a Hundred Songs* being a bit less than 50% more appealing than *Serve the People!*.

Title Appeal by Gender

The following figures show that in both groups, women find the titles generally more appealing than men, with one exception in each group. Overall, the only title with a substantial difference in appeal to male and female readers is *Der Traum meines Großvaters*, where women found the title much more appealing than men.

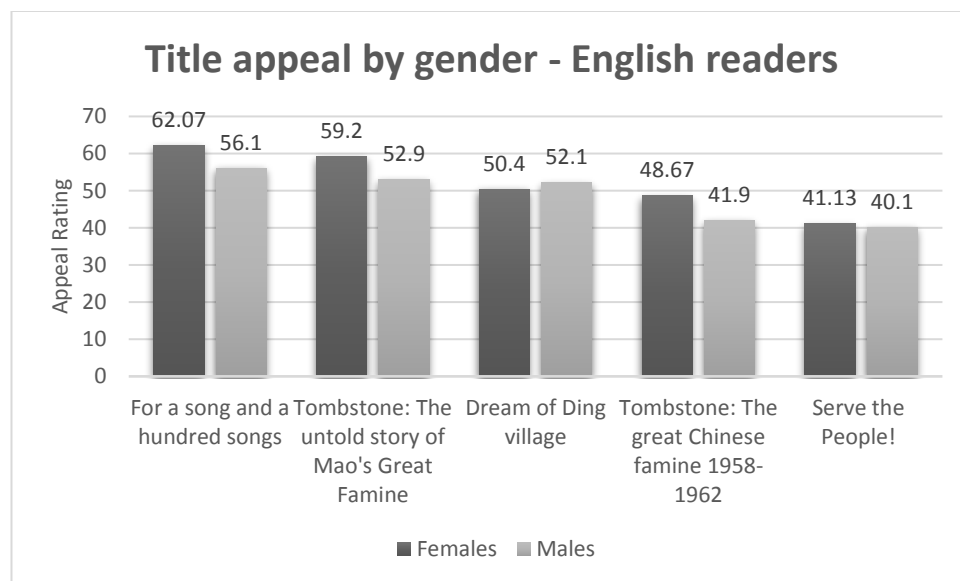


Figure 17 Title appeal by gender - English readers.

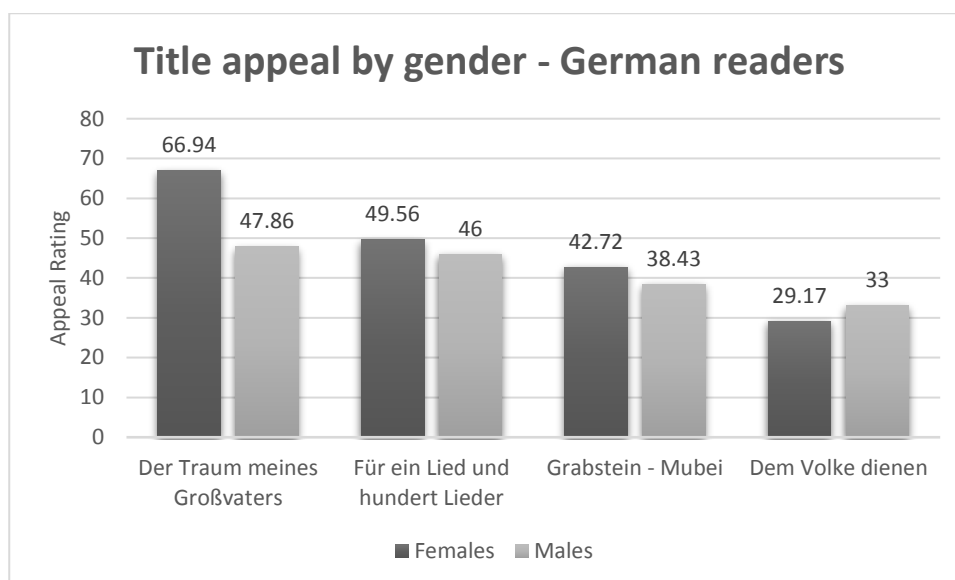


Figure 18 Title appeal by gender - German readers.

Looking at the results by gender, as shown in Figures 17 and 18, it becomes clear that men generally rated titles as less appealing than women (with the exception of *Dream of Ding Village* and *Dem Volke dienen*). However, the ranking of title appeal was the same for men and women in their respective language group. This means that even where men rated a title as more appealing than women, the overall ranking of the titles' appeals was not changed.

Title Appeal by Age

Analysing the results by age, within the English group there seems to be a general trend, with some exceptions, that the title appeal decreases the older the readers are. Within the group of German readers, this trend is only visible in the under 25 and 25-39 age groups, the readers 40+ generally, with only one exception, rated the titles more appealing than the readers aged 25-39 but less appealing than the readers under 25.

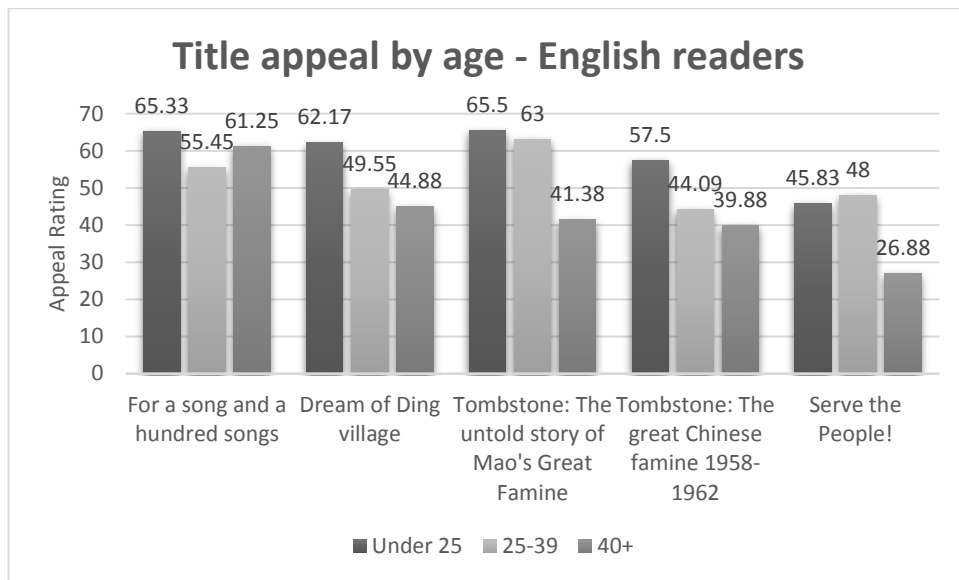


Figure 19 Title appeal by age - English readers.

In general, English readers aged 40+ find the titles least appealing, with only one exception: *For a Song and a Hundred Songs*, as Figure 19 shows. Young readers under 25, in contrast, gave the highest appeal ratings, with the exception of *Serve the People!*, which appealed most to readers aged 25-39.

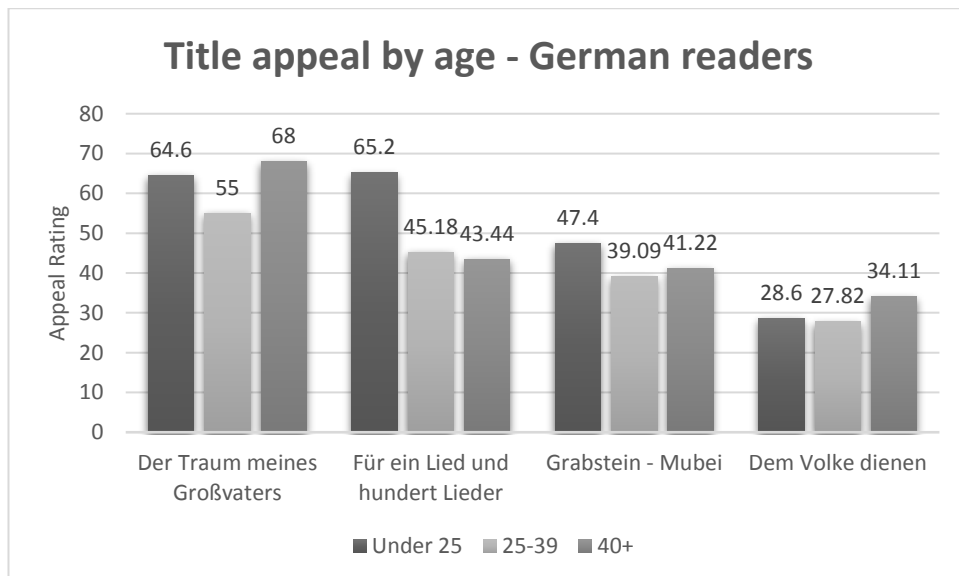


Figure 20 Title appeal by age - German readers.

Within the German group, the title appeals generally more to young readers (under 25) than to older readers. In three out of four cases, the title appealed most to the readers under 25 and in one case it appealed most to readers over 40. With one exception (*Für ein Lied und hundert Lieder*), readers between 25 and 40 found the titles least appealing.

7.3.2 Associations with the Titles

In the main reader-response study, the readers were asked for the first associations that come to mind when reading the book titles. This question was asked before the readers had seen the book covers, so as to prevent any priming. In the preliminary study, the readers were asked the same questions, however only for the English and German titles of *Serve the People!*. Interestingly, the results from the main and the preliminary study differ slightly. In general, some of the books indicated content and setting fairly clearly, which influenced the readers' associations. This was primarily the case for the non-fiction books. The fiction books, which had less indicative titles, evoked more diverse and speculative associations. There does not seem to be a general trend that titles that either clearly indicates the content or those which do not are more appealing.

Serve the People! and Dem Volke dienen

A more seemingly marginal difference between the English and the German title is the use of an exclamation mark in the English title. This addition turns the statement (as it is in German) into a much stronger statement or even a demand or order. In the preliminary reader-response study (in which only the translations of *Serve the People!/Dem Volke dienen* were used), the readers' associations with the title and the results show that the exclamation mark appears to have more impact on the English readers. The answers were coded, grouped and ranked according to how often words belonging to a group were mentioned. Only groups with at least two mentions were included in the ranking. The results are shown in Table 15:

Title Ranking	<i>Serve the People!</i>	<i>Dem Volke dienen</i>
1	Communism	Politics Patriotism
2	Demand/order/aggression	Communism Servitude Non-fiction
3	Politics Servitude Cynical/not trustworthy politicians	

Table 15 Title associations - *Serve the People!* Preliminary reader-response study.

The results of the main reader-response study are slightly different from those of the preliminary study, they do, however, again differ between the two language groups. The ranking for the main study is as follows:

Title Ranking	<i>Serve the People!</i>	<i>Dem Volke dienen</i>
1	Politics/justice/government	Communism/socialism/Mao
2	Communism/socialism/Mao	Hitler/dictatorship/NS ideology
3	Democracy Propaganda/ideology War/army	Politics/society

Table 16 Title associations - *Serve the People!* Main reader-response study.

In this study, none of the English readers named any associations that relate to “demand/order/aggression” which was the second most named category in the preliminary study. Although some of the association categories were present in both studies, the number of times and therefore the ranking changed. Another surprising finding emerged when analysing the associations of the German readers: the second most named category contains associations relating to Hitler, dictatorship or National Socialist ideology. 44.4% of the readers over 40 had these associations, 40% of the readers under 25 but only 9.1% of the readers in the 25-39 age group. It remains speculation why the largest group of the study (25-39) did not make the connection, but one possible reason would be the closer connection of the 40+ generation to people who were alive at the time, and that the readers under 25 are closer to their school years than readers aged 25-39.

Tombstone and Grabstein

Both the English and the German titles clearly indicate the book’s content (the Great Famine) and the setting (in China). Two versions even indicate the time frame (1958-1962). This was clearly visible in the readers’ responses.

For the English readers, the appeal of the two titles of *Mubei* was quite different. Whereas *Tombstone: The untold story of Mao’s Great Famine* (UK) was rated as the second most appealing title in the study, *Tombstone: The great Chinese famine, 1958-1962* (US) was rated as the second least appealing title (See Figure15). Since the titles are nevertheless fairly similar, readers were asked for their first associations for both titles together. About half of the readers (12 out of 25) said they associate history, a historical event or a specific time period with the title. The use of “untold story” seems to have made the book more

intriguing for some readers, and one reader mentioned that the UK title sounded more fluent and therefore more appealing. Furthermore, the title of the book already suggested to three readers that the original was banned in China and that it is about things “that some people might not want to be heard”. The German readers found that the second least appealing title in the study was *Grabstein – Mubei: Die große chinesische Hungerkatastrophe 1958-1962* (See Figure 16). Since the title already tells the reader what the subject, setting and time frame of the book is, the most often evoked associations related to calamity and poverty, history, and hunger or famine.

For a Song and a Hundred Songs and Für ein Lied und hundert Lieder

The title with the highest appeal ratings in the English group was *For a Song and a Hundred Songs*, as shown in Figure 15. The book’s subtitle gives the readers a fairly concrete idea of the book’s content (a poet’s journey through a Chinese prison). Therefore, the association evoked most often was prison (-ers), imprisonment and limitations. Words relating to music, poetry and storytelling were the group second most often named by the readers. Almost equally as often named were associations with the repression of human rights, freedom and arts, and censorship.

Für ein Lied und hundert Lieder, which was rated as the overall second most appealing of the German titles (See Figure 16), also evoked mainly negative associations. Many readers named violence and torture, as well as imprisonment as their first associations. This was closely followed by associations relating to the circumstances within the prison and further pain/suffering/illness. Other associations related to dictatorship, injustice, fear, anger, and grief. Possible reasons for the negative associations will be discussed in Section 8.3.3.

As was the case with *Tombstone*, the title gives the readers an idea about the content (the imprisonment of a poet) and the setting (Chinese prisons). Furthermore, both titles indicated that the book is an autobiography. Although the title is more poetic than *Tombstone*, it still seems to evoke associations that match the book’s content and leave little space for imagination or interpretation.

Dream of Ding Village and Der Traum meines Großvaters

In the reader-response study, *Dream of Ding Village* was rated as moderately appealing by the English readers (See Figure 15). For many, it evoked associations with rural China or a rural setting in general. Further associations with the title were past/nostalgia, leaving

home/homesickness, and eviction/removal/cleared village. Overall, the associations triggered by the title were mainly positive, often relating to good times in the past, a nice childhood home and peacefulness. The only negative associations were those relating to being forcefully removed from a village, or a village which has been destroyed to build a new city instead.

The title *Der Traum meines Großvaters* was rated as the most appealing of the German titles, as shown in Figure 16. Due to the use of ‘Großvater’ [grandfather] in the title, the most often named association was relating to family, closely followed by associations with (unfulfilled) wishes or dreams. The third most named associations were with past/childhood, and change/development/live changes. Many readers further assumed that the book must be a novel [Roman], which was mentioned by a quarter of the readers. Overall, the associations are mainly positive and only a few readers named negative associations with the title.

7.4 Front Covers

7.4.1 Readers’ Reactions to Praise on Front Covers

The reader-response study shows that the reader’s reactions to praise on the front covers were diverse. Some of the praise on the covers went unnoticed by the readers, for example that on the front cover of *Tombstone: The Great Chinese famine, 1958-1962* claiming the book was a landmark does not seem to have stuck in readers’ minds since none of the readers referred to it in their comments. However, the readers explicitly mentioned some of the praising statements, such as that on the UK version of the book, where the reference to the book having been featured on BBC Radio 4³². This was mentioned as appealing by two readers and one reader explicitly stated that the “acknowledgement at the top conveys the idea of importance”. Another example of positive reception is the mention of *For a Song and a Hundred Songs: A Poet’s Journey Through a Chinese Prison* being awarded a prize, which was mentioned by two readers as increasing the book’s appeal and emphasising the book’s quality.

There are two examples where the praise included in the cover design was considered confusing, inappropriate or even off-putting. The first of these was the Australian version of *Serve the People!*, which stated the book was a sexy, satirical sensation. Some readers,

³² Yang Jisheng’s *Tombstone* was featured with 5 episodes on BBC Radio 4 in October/November 2012.

however, said this headline was “off-putting” and “very unlikely”. The second book causing a negative reaction to praising elements was the UK version of *Dream of Ding Village*, which stated that the author Yan Lianke was a fierce satirist. The readers considered this statement to be clashing with the cover design, saying “Satire again but this isn’t a satirical cover” and “There is also [an] engaging blurb at the bottom, telling us that this is an important author’s work and that his or her work is satirical. However, there [is] a spattering of blood suggesting there might be violent aspects to the book.” One reader was even clearer: “It’s that word ‘satirist’ again. Doesn’t match the cover.”

The case was different for the German translations since only one of them included praise on the front cover: the paperback version of *Für ein Lied und hundert Lieder*. Here, a sticker was added, stating that the book has been awarded *the German Book Trade Peace Prize*. The sticker is placed just above the red box that contains the title and author’s name. It is rectangular, reading “Friedenspreis des Deutschen Buchhandels”, contains the logo of the German Book Trade and is framed. All these design elements and the font are printed in a pinkish-red. The readers’ reactions to this praising paratextual element were mixed. One reader said that the mentioning of the *Peace Prize* makes the book more credible and suggests that the book contains real testimonies rather than propaganda. Two other readers, however, did not like the sticker, mainly for visual reasons:

“Die rote Box [...] finde ich ästhetisch misslungen, das Friedenspreis-Label macht es rein gestalterisch noch schlimmer.“ [I find the red box fails aesthetically, the *Peace Prize* label makes it even worse from an artistic point of view.]

“Beim Cover stört die Farbe rosa des ‘Friedenspreises’.” [On the cover, the pink of the ‘Peace Prize’ is bothering.]

One reader mentioned the *Peace Prize* to be one of the buzz words on the book cover.

7.4.2 Reader-Response Study Results – Appeal of Book Covers

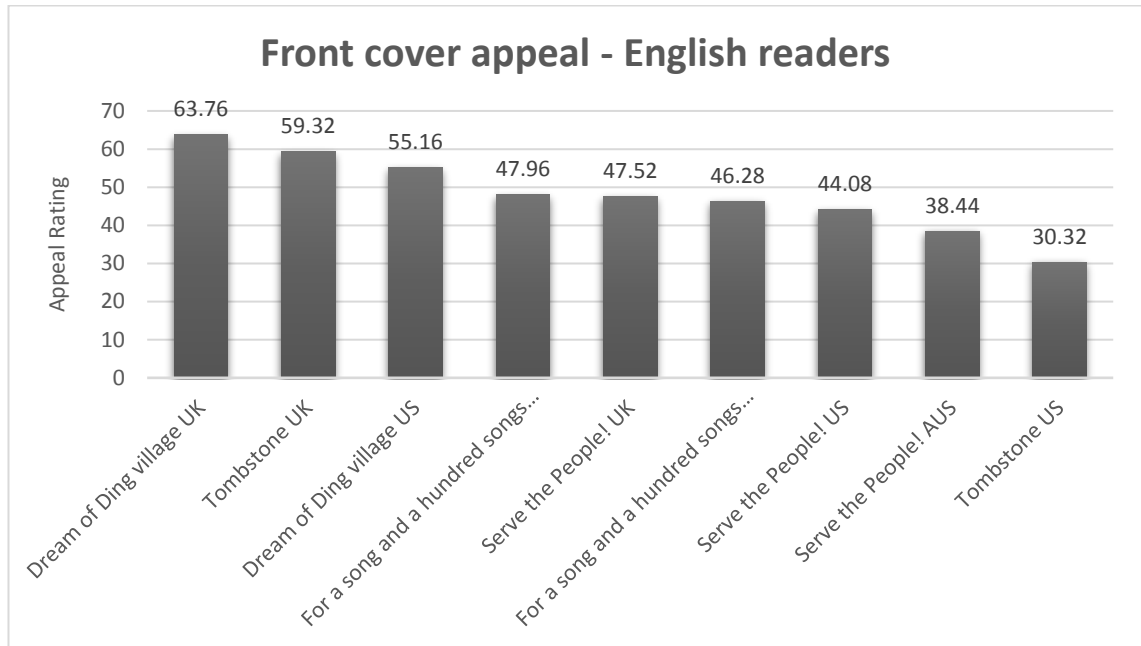


Figure 21 Front cover appeal - English readers.

The analysis of the English reader-response study results has shown that the difference in appeal between the most and least appealing book cover is great. The most appealing front cover is the UK version of *Dream of Ding Village*, which is also more than twice as appealing as the least appealing front cover, which is the US version of *Tombstone*.

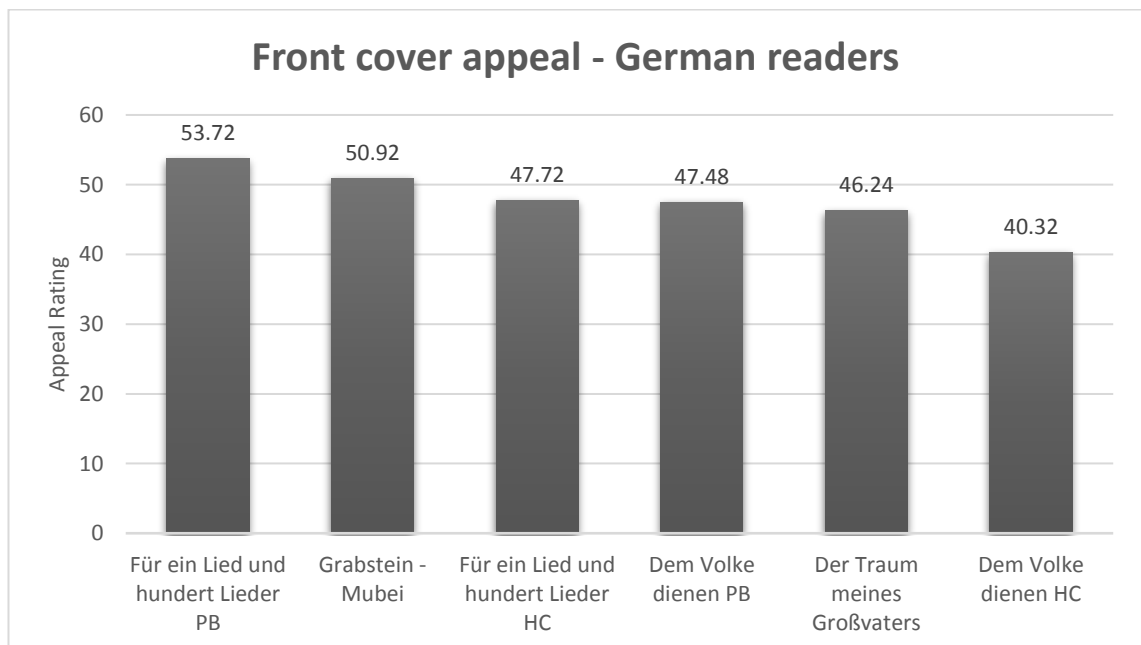


Figure 22 Front cover appeal - German readers.

The ratings by the German readers are much more homogenous than those by the English readers, with the paperback version of *Für ein Lied und hundert Lieder* being the most

appealing, but only by 13.4 points to the hardcover version of *Dem Volke dienen*, which was rated as being the least appealing.

Front Cover Appeal by Gender

Looking at the ratings of English male and female readers, there is only one result which could be described as significant. The cover of the Australian version of *For a Song and a Hundred Songs* appealed much more to male readers than female readers (63.5 vs 34.8). The US version of the same book, in contrast, appealed much more to female than male readers (52.07 vs 41.8). All the other appeal ratings are fairly similar, which shows that many of the included covers do seem to be generally appealing to both female and male readers.

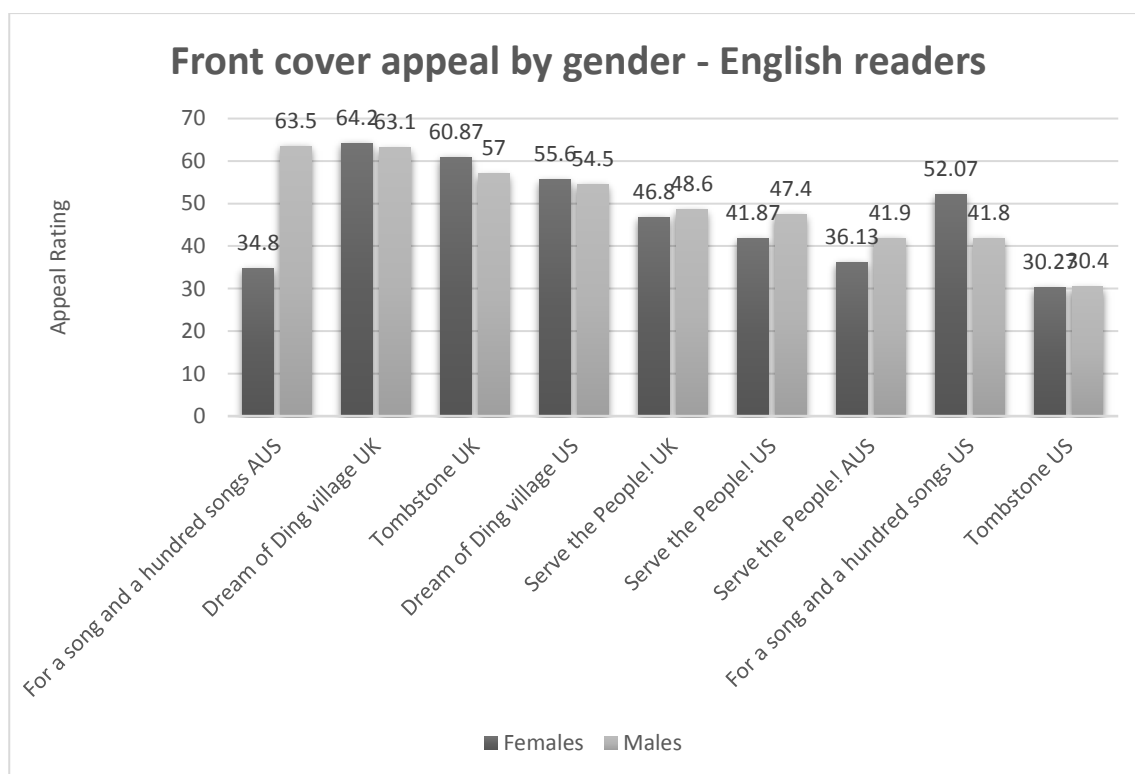


Figure 23 Front cover appeal by gender - English readers.

The ratings of German male and female readers are much less homogenous:

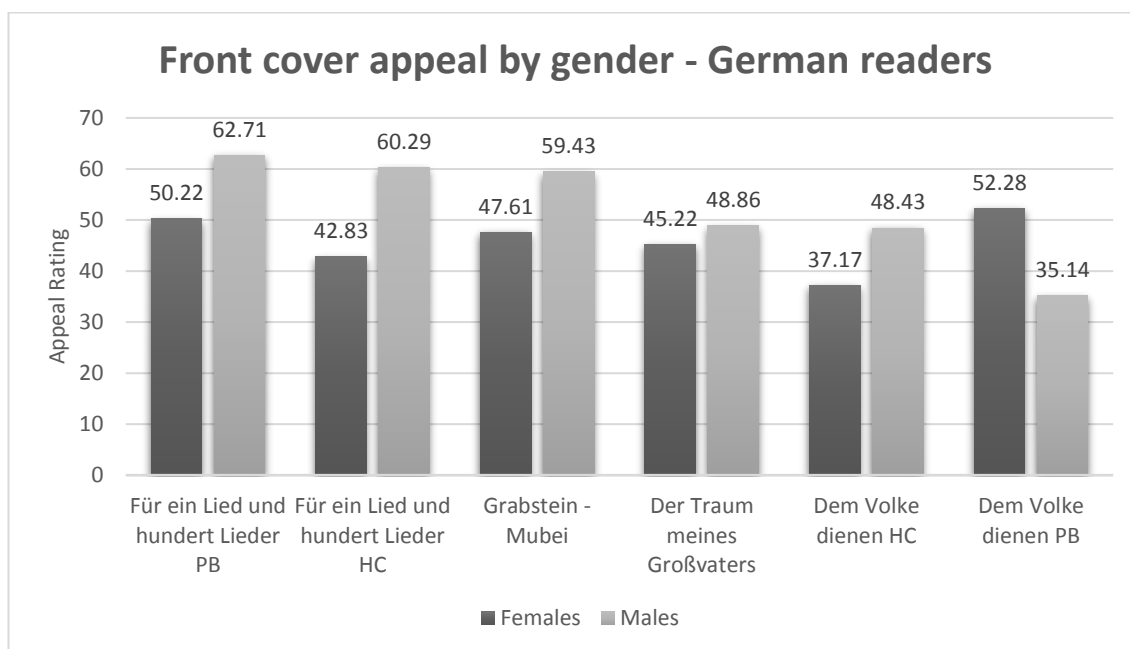


Figure 24 Front cover appeal by gender - German readers.

The biggest difference can be found in the ratings of the hardcover version of *Für ein Lied und hundert Lieder*, which male readers rated at 60.29 and female readers at 42.83, which is an overall difference of 17.46. A similar big difference (17.14) can be found in the ratings of the front cover of the paperback version of *Dem Volke dienen*, which appealed more to female than male readers.

Front Cover Appeal by Age

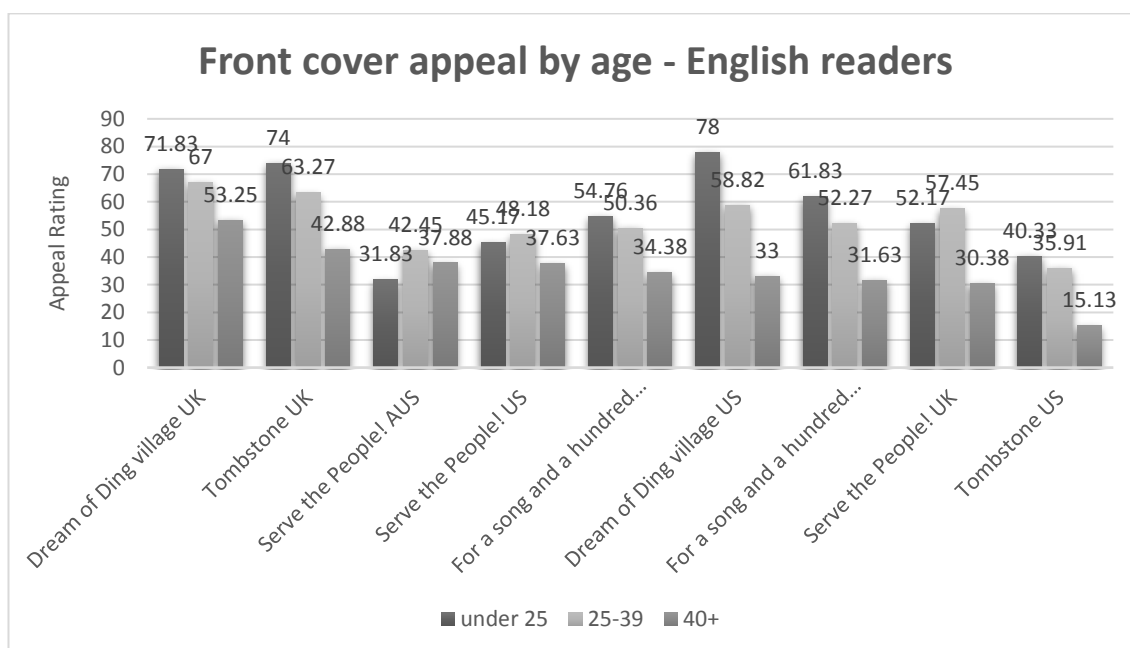


Figure 25 Front cover appeal by age - English readers.

Analysing the results according to the readers' age, it becomes apparent that the appeal of book covers to readers is highly dependent on the reader's age. 6 out of 9 front cover

designs appeal the most to readers under 25, whereas 8 out of 9 covers appeal the least to the readers over 40. The appeal ratings of readers between 25 and 40 are usually in between the older and younger readers, with the exception of the three different covers of *Serve the People!*, which appealed most to the readers in the middle range age group. Whether this is related to design elements on the cover or the topic of the book, cannot be established at this point.

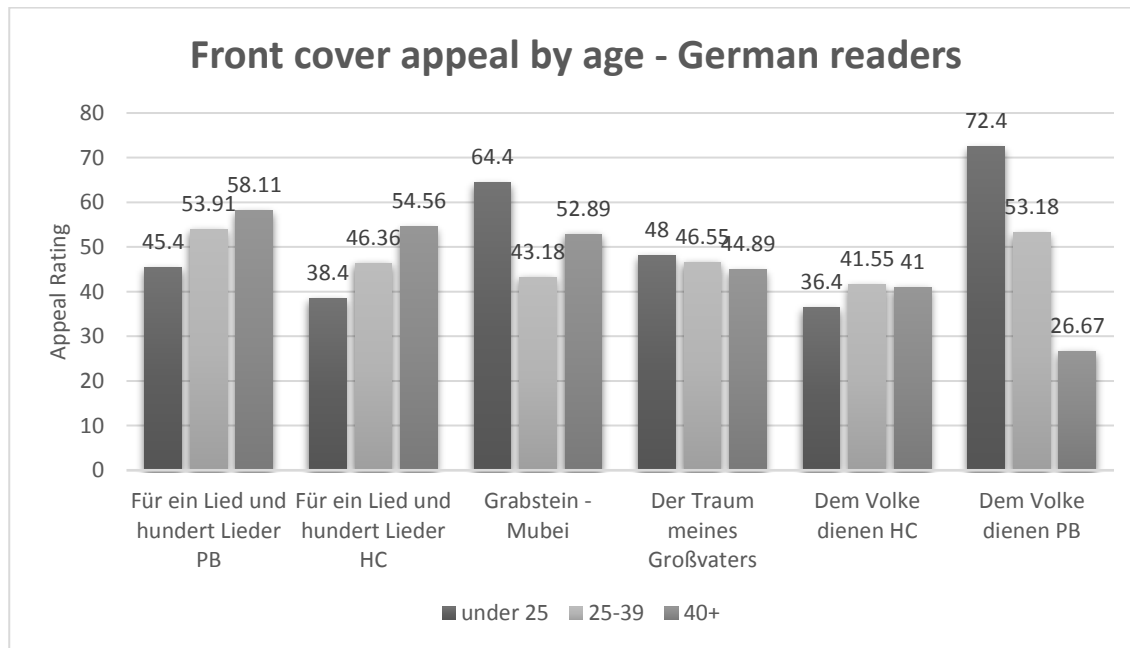


Figure 26 Front cover appeal by age - German readers.

As with the results before, the group of German readers is much less consistent in their ratings and there is no clear trend as to whether the covers appeal in general more to young, middle-aged or older readers.

Possible reasons, for why some book covers are more appealing than others, will be discussed, if possible, in the following section in which the readers' associations and expectations will be analysed.

7.4.3 Associations with the Book Covers

On a deeper level, the reader-response study provides valuable insights into the readers' perception of the different front covers, the expectations they create as well as the influence of paratextual interplay on a cover's appeal. The readers were asked the following questions to each group of translations (e.g. all English versions of *Serve the People!*): "What do you think the book is about?" and "What are the first things or associations that come to your mind when you see the cover(s)?" Furthermore, the questions "How well do you think the title matches the cover design? Please give a reason

for your answer.” often allow a deeper understanding of how the readers perceive the covers. Please refer to Tables 3-6 for the cover images or their description.

Serve the People! and Dem Volke dienen

As discussed in the paratextual analysis and the suggested preliminary study, the three English covers of *Serve the People!* primarily suggest to the reader that the book is about communism and love. However, there are differences in the appeal of the covers.

The UK version appealed to the readers the most, followed by the very similar US cover. The Australian version appealed to readers the least for reasons which will be elaborated later. The almost identical UK and US covers received high appeal ratings. The readers liked the simple, but attractive pop-art style, which reminded some readers of Andy Warhol’s work as well as the “western ‘classics’ designs such as those produced by Penguin” and books by JG Ballard. The case is very different for the Australian cover, which often evoked opposed association:

“It also looks old-fashioned and cheap, looks like it might be pirated.”

“...the overall design makes the book appear less serious / well-written.”

“...the final of the 3 [Australian cover] looks more old-fashioned.”

One reason for the negative perception of this cover is the addition of the headline reading “the sexy satirical sensation”, which did not only contradict the readers’ impression of the book but also was seen as an indicator of low quality, by some described as “off-putting”³³.

The German translation exists in a hardcover and a paperback version, which have different cover designs and therefore created different associations. The hardcover version, with Mao’s portrait on a pair of underpants on its front cover, was perceived as what the book is: a satire. Despite one reader saying the cover looks as if the author attempted to be funny and distract from the content, the majority of readers identified the book as a satire criticising China, its politics or society:

“...ein satirisches Cover, lässt schmunzeln und ist eher regierungskritisch.” [a satirical cover, makes you smile and is rather critical of the government.]

³³ See Section “Reader’s reactions to praise on book covers” for a more detailed analysis.

“Mit dem ersten Cover assoziiere ich eine spöttisch-witzige Aufarbeitung politischer Missstände zur Zeit Maos, bzw. seit Mao.” [I associate a derisive and funny revision of political grievances during or post the Mao-era.]

“Kritische bzw. sarkastische/humorvolle Auseinandersetzung mit der Geschichte Chinas/Maos.” [Critical or sarcastic/humorous examination of the history of China/Mao.]

The paperback version evoked similar associations to those the UK and US cover (which are very similar), such as love story and romance. In addition, many readers deduced from the title and the front cover that the story is not only about love but has also a political background or setting. One reader suspected a propaganda book intending to show how great China is and how obedient its people are. In contrast to the English readers, some German readers were more critical of the pop-art style and called it outdated and boring.

That the decision was right to design new covers instead of keeping the Taiwanese cover, which shows a couple having oral sex, is shown in the results of the preliminary reader-response study, where the English readers rated its appeal as 26.18 (out of 100) and the German readers even lower at only 20.45 on average. The comments show clearly the reasons for the low ratings; the cover was perceived as being pornographic, too sexual, tacky as well as displaying male dominance and female submission. This overall negative impression led to the result that 81.8% of the English readers and 63.6% of the German readers clearly said that only based on the cover design, they would not consider buying the book.

What all the covers of the translations have in common is the instant association with communism and China, mainly evoked by the use of red as one of the main colours on the cover, but also because of the use of stereotypical imagery, such as the star on the soldier's hat and Chairman Mao's portrait, in the cover design.

Tombstone and Grabstein

Readers' reactions to the covers are as diverse as the designs. The UK version, with its grey background and the orange-red typography, appealed to the majority of readers. Many readers stated that the book cover was attractive, interesting and appealing. Especially the Chinese characters written in a smudged font appealed to readers, the fact that most study participants did not understand them made the cover even more appealing

rather than creating frustration. That typography played a major role in judging the covers' appeals became even clearer when analysing the responses in more detail:

"The script [on the US cover] is in capitals which isn't very engaging."

Furthermore, the position of the title influenced one reader's expectations of the book:

"...through having 'tombstone' in the centre, it makes a powerful statement about the tone of the book."

In terms of overall appeal, the readers' comments confirm the ratings: the UK version appeals to English readers much more than the US version (59.32 vs 30.32, see Figure 21). One main finding is the different expectations of the book's content. The US version was categorised as a heavy-read, a factual non-fiction book reminiscent of a university reference book, whereas the UK version was either classified as factual, historical fiction or even a light-read fiction work.

A large variety of adjectives were mentioned emphasising why the book cover design appeals to the readers: intriguing, attractive, interesting, striking, simplistic, exciting, haunting, and soft. For the US version, the adjectives named most often were quite different: dry, uninteresting, ugly, direct, not engaging, boring, too wordy, and not attracting attention. However, the US version was perceived as more authoritative, distinctive and melancholic than the UK version by one reader.

Overall, the readers seem to agree that both covers are simple and effective. The UK version was perceived as an interesting and intriguing book, promising a pleasant read that is either factual or historical fiction. The US cover, on the other hand, alluded more to a dry history book that you only read if you have to and certainly not for pleasure. As with the other books in the study, the red colour of the US version did not fail to remind readers of communism, China and the Chinese flag.

The German version's cover design is close to that of the US version: a typographical cover with a solid red background. The perception of the cover and the judgement of the appeal of these two covers could not be more different. The only similarities are that both books are expected to be fairly dry and factual. In contrast to the English readers, however,

the German readers find the simple cover design with the red background not only appealing but appropriate for the topic:

“Das Design ist schlicht und einfach, erzeugt eine ernste Stimmung, passend zum düsteren Titel.” [The design is plain and simple, creates a serious atmosphere, appropriate for the sombre title.]

“Sachlich-nüchterne Aufmachung, dem Thema angemessen.” [Factual and matter-of-fact design, suitable for the topic.]

“Kein ‘reißerisches’ Cover, das halb verhungerte oder tote Menschen zeigt. Lässt Rückschlüsse auf Sachlichkeit zu.” [No lurid cover showing starving or dead people. Allows to draw conclusions about the book’s objectivity.]

As suggested in the paratextual analysis (Section 6.2.2), the colour red could be perceived as too bright and therefore inappropriate for the book’s serious content. This has been confirmed by some German readers, however, not by the English readers. The German readers mentioned several times that the bright red background evokes associations with China and communism, but that the colour was nevertheless not appropriate for the serious content:

“Das grelle Rot irritiert und ist wenig mitfühlend.” [The bright red irritates and is not very compassionate.]

“Farbe eher nicht so passend, fände schlichtere Farben zum Buchtitel passender, wie zum Beispiel Grau oder Schwarz.” [Colour not really appropriate, I would find muted colours more suitable, for example grey or black.]

However, since the red was reminiscent of blood and aggression for some readers, they described the colour as appropriate to the topic.

For a Song and a Hundred Songs and Für ein Lied und hundert Lieder

In the paratextual analysis (Section 6.2.3) the possible effects of book cover designs of the different versions of *For a Song and a Hundred Songs* were outlined: the photo on the cover puts a face to the author’s name, creates a more personal access to the book and captures the readers’ attention. Furthermore, the Australian cover’s colour scheme (red

and yellow) may indicate China and communism to the readers and could possibly be perceived as stereotypical.

The analysis of the readers' responses about their associations confirm the above-suggested effects. A number of the English readers made positive statements about the US cover, which shows the photograph of the author, mentioning especially that the author has become real and that the cover felt more personal than the colourful Australian cover. For example:

“Eye-contact in the first one [US cover] is good – appealing. Real person. Barriers removed.”

“The first [US] cover is more appealing, it [shows] a picture of a man, this makes him somehow more personal and it would make me think I wonder what happened to this man.”

“The first one [US cover] is more personal as it includes a photograph of a Chinese person who meets the stereotypical image of a poet.”

The more personal access to the work through a photo on the cover is further demonstrated by the German readers, stating that the photo of the author on the cover establishes an instant connection between the reader and the author. One reader expands this further, saying:

“Durch das Foto hat der Leser direkt einen Bezug zum Thema und dem Autor.” [The photo establishes a direct connection between the reader, and the topic and the author.]

However, the reactions from the German readers further suggest that the direction of Liao's gaze makes a difference in how strong the connection is. Some readers described the German cover, on which Liao looks into the distance rather than into the reader's eyes as he does on the US cover, as too neutral, not very expressive and not very intriguing or appealing. The reactions of English readers to the Australian cover, which seems to be an artistic adaption of the German cover photo, confirm this lack of strength in the connection:

“The second [Australian] cover is impersonal and I would move on.”

“The second [Australian cover] image is more powerful although less personal due to cartoon type imagery.”

Furthermore, some English readers commented on the stereotypical red and yellow colour scheme used for this cover. There was no clear tendency as to whether the colours are appealing or not, as the analysis of the results shows:

“The red and yellow again imply a Chinese communist influence.”

“Second one [Australian cover] is reminiscent of a communist poster.”

“Colours imply China and communism straight away.”

Only two readers described the colours used as unappealing, saying:

“I find the second [Australian] cover garish and off-putting.”

“...I don’t particularly like the second [Australian] cover as the colours are not very appealing...”

These responses show that the bright red and yellow remind some readers of China and communism. This confirms the assumed associations these colours evoke in readers, as outlined in Section 2.2. How influential colours are on readers and how important it is that the chosen colours are appropriate to the genre and topic, becomes apparent when analysing the results of the German reader-response study. Two readers praised the monochrome colour-choice on the front cover as being appropriate to the content:

“Schwarz-weißes Cover zeigt es genauso wie es im Gefängnis ist und nicht schön und bunt.” [The black-and-white cover shows what prison is like, and not pretty and colourful.]

“Für das Thema passend gewähltes Coverdesign, schlicht, ernsthaft, bedrückend, monochrome gehaltene Farben.” [Chosen cover design is appropriate for the content, simple, serious, depressing, in monochrome colours.]

Another effect the image of Liao Yiwu on the front cover had on the readers is that it suggested the genre to some readers. One German reader stated that the cover design is factual, and neither tries to be funny nor detract from the topic. Two English participants mentioned they expect the book to be non-fictional and/or autobiographical. What is more, one of them stated that the cover design of the Australian cover was not appropriate for the genre:

“It appears to be non-fiction and to be autobiographical due to the image of the man appearing on both front covers. I prefer the photograph to the drawn image as it is a non-fiction book.”

One reader addressed the issue of Westernisation and Orientalism in book cover design, saying that the US cover was borderline orientalist because of the faded/weathered red of the post-it like notes, whereas the Australian cover looked “fresh, and authentically Chinese”.

Dream of Ding Village and Der Traum meines Großvaters

The analysis of the English readers’ responses reveals several main findings. First, both covers appeal to the majority of readers. Secondly, the two different designs evoked very different associations and emotions in the readers. Thirdly, neither cover managed to indicate the content successfully.

With regards to the first finding, only one reader described the US cover as “off-putting”, all other readers found the two covers more or less appealing, even if they preferred one cover. When analysing the associations, the readers had with the US cover, there seems to be a clear consensus. For eight readers the book cover mainly shows community and cooperation, possibly a village working together for a common goal. Surprisingly, only 5 readers identified the red bow on the cover as the AIDS ribbon. In addition, two readers (wrongly) identified the ribbon as the pink breast cancer ribbon.

The associations with the UK cover were quite uniform. Many readers said the cover expressed a homeliness in a nostalgic and traditional/rural setting. Especially the use of dark tones and the light falling through the window shutters was described as creating a homely and pleasant atmosphere. These evoked positive associations led to the majority of readers preferring the UK cover. Despite the fact that both covers were mostly rated as

appealing, neither cover seems to have translated much of the book's content, which was criticised by some readers:

“Neither of the covers is enlightening about what the book may be about...”

“Neither of them tell much about the story...”

“However, I have no idea what the book is about...”

What appears to be the most intriguing element on the UK cover were the blood drops spanning over it. They formed a stark contrast to the homely and peaceful setting, making the readers wonder what the story was about. One reader stated that despite the absence of people on the UK cover, it was much more suggestive of people than the US cover which included 10 people.

The German cover is very different from the two English covers and therefore evoked different associations and emotions. Readers' first association seems to be marionettes and puppets, perceived as uniform and lifeless. Some readers saw a uniform army, political uniformity and oppression on the cover. Some readers saw something more sinister: hanged people and corpses. On this cover, again, red was used extensively. This suggested a political and communist topic set in China, which, for some readers, clashed with the idea of a grandfather's dream. Overall, many associations tended to be negative, not matching the actual content of the book, possibly explaining why the book rated the second least appealing cover in the study. Therefore, the cover can be described as misleading, which some readers criticised:

“Im ersten Moment ist es schwierig vom Bild auf den Inhalt zu schließen. Man erwartet eher einen bildlichen Traum des Großvaters. Das Cover verwirrt eher im ersten Moment.”
[At the very first moment, it is difficult to deduce the content from the image. One expects more a visual of the grandfather's dream. The cover is rather confusing at the very first moment.]

One association that was mentioned by several readers is revolution, the breaking out of a system or rebellion against uniformity. Even though the cover actually displayed

uniformity, in conjunction with the book title, it alluded to the breaking out of this uniformity, to the grandfather not wanting to be part of the system:

“Vielleicht wollte der Großvater nicht Teil der Armee oder Maschinerie sein?” [Maybe the grandfather did not want to be part of the army or machinery?]

“Verborgene Individualität vor dem Hintergrund politischer Uniformität.” [Hidden individuality in the context of political uniformity.]

7.5 Back Covers and Blurbs

7.5.1 Readers’ Reactions to Praise on Back Covers

All versions include at least one praising quote on the back cover, which caused reactions in readers to a varying degree. Only the translations of one book did not receive any comments on the included praise: the English translations of *Serve the People!*. Overall, the reactions, if present, are positive, with only one critical comment about the praise on *Der Traum meines Großvaters*.

In the responses of the English readers, nobody mentioned the praise on the back cover of *Serve the People!*. The German readers, in contrast, seem to agree that the chosen praise for the back covers of *Dem Volke dienen* creates interest and are a positive addition to the blurb.

With regards to the US version of *For a Song and a Hundred Songs*, one reader said that the quote from Herta Müller on the back cover attracted them since they liked her work. The responses of the German readers to *Für ein Lied und hundert Lieder* show that emphasising the importance of book and/or author sticks in readers’ minds since some of the readers named it as memorable and quoted the praise.

Many English readers reacted positively to the praise and the mention of the prizes Yang Jisheng was awarded which have been included on the back covers of *Tombstone*, with one reader saying that “prize-winning and the New York Times quote are good ‘headline’ material”. Several other readers said that the praising quotes and the prizes made the book more appealing and that it was clear from the back cover that book and author are renowned and important. Although only one of the German readers explicitly mentions the praising quote on the back cover of *Grabstein*, several of the readers quote it when

asked for the most memorable features of the book. The reader who does mention the quote says that it is well-chosen and accurately summarises the book's content.

A number of English readers mentioned the praise from *The Guardian* and *Rolling Stone* on the back covers of *Dream of Ding Village* as a memorable feature which makes the book more appealing for most of the readers, but it was criticised that the colour choice on the UK back cover was not ideal and the contrast was too low, which makes it hard to read. In the responses of the German readers to *Der Traum meines Großvaters*, one reader also commented on the praise included on the back covers, saying that the praise on the hardcover version is not as meaningful as that on the paperback version. The reader stated that the praise on the hardcover version is not bothering them, but that they expect more information from a recommendation than just that it is great literature. The reader expected information on style or content for the recommendation to be influential on the decision-making.

7.5.2 Reader-Response Study Results

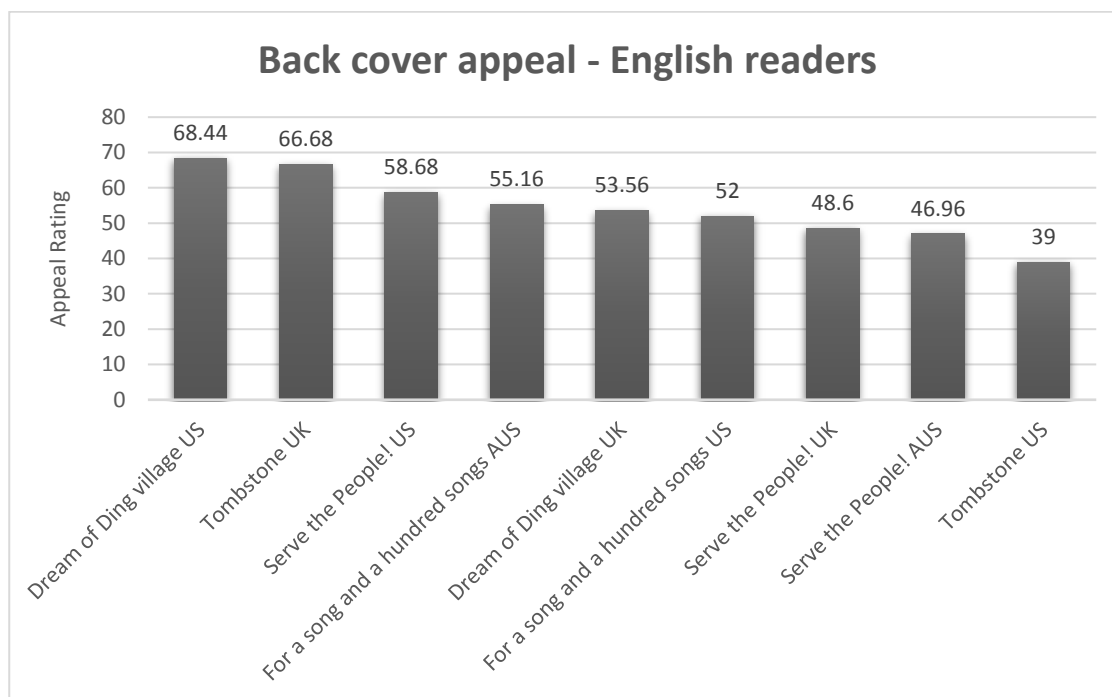


Figure 27 Back cover appeal - English readers.

The results show that there is a great difference between the appeal of the individual back covers to English readers. The most appealing is the back cover of the US version of *Dream of Ding Village* and the least appealing version is also from the US: *Tombstone*. There are a number of back covers which appealed fairly equally to the readers.

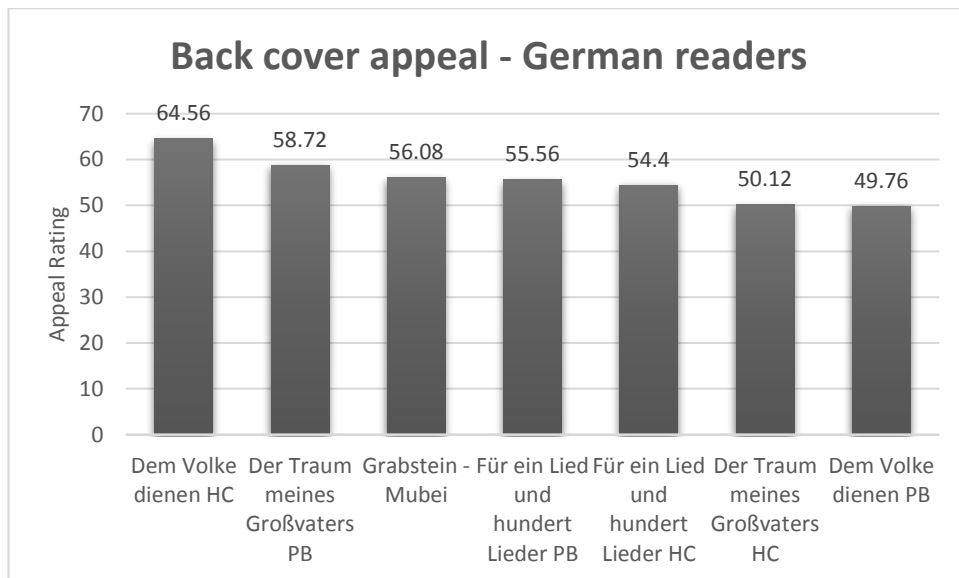


Figure 28 Back cover appeal - German readers.

The difference in appeal of back covers to German readers is less significant. There is only about 15 points difference between the most appealing (hardcover of *Dem Volke dienen*) and the least appealing (paperback of *Dem Volke dienen*).

Back Cover Appeal by Gender

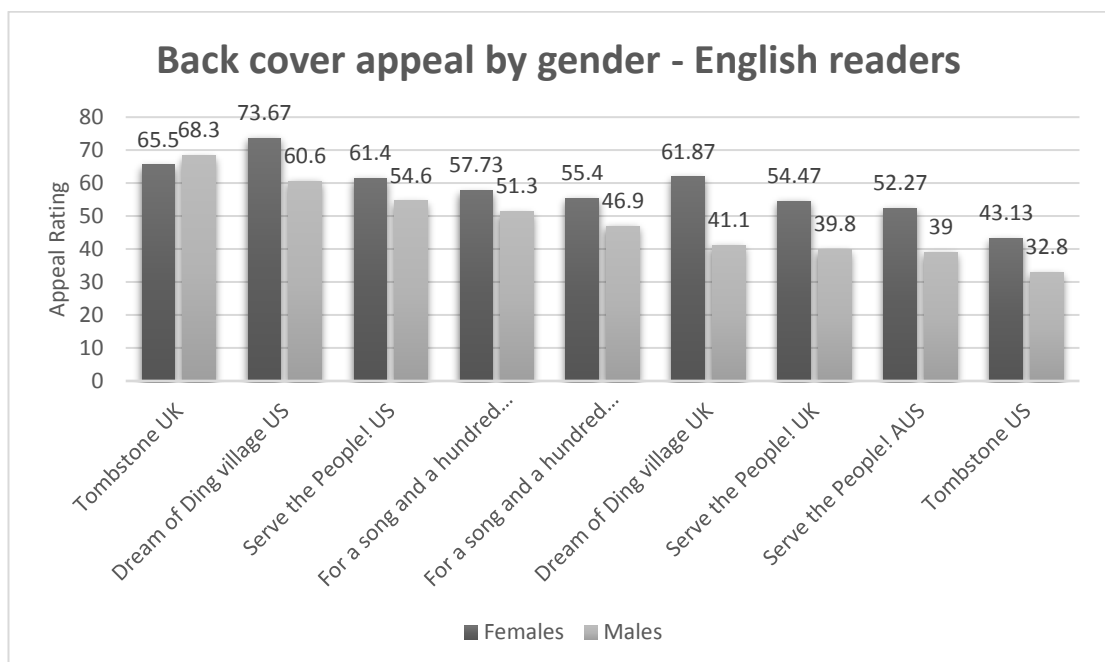


Figure 29 Back cover appeal by gender - English readers.

When analysing the results by gender, it is obvious that female readers usually rated the back covers as more appealing than the male readers did. The only exception is the back cover of the UK version of *Tombstone*, which appealed more to male than female readers. The margin between the appeal ratings of female and male readers is on average 10-15 points, with the only exception being the UK back cover of *Dream of Ding Village*, which was rated 41.1 by male readers and 61.87 by female readers.

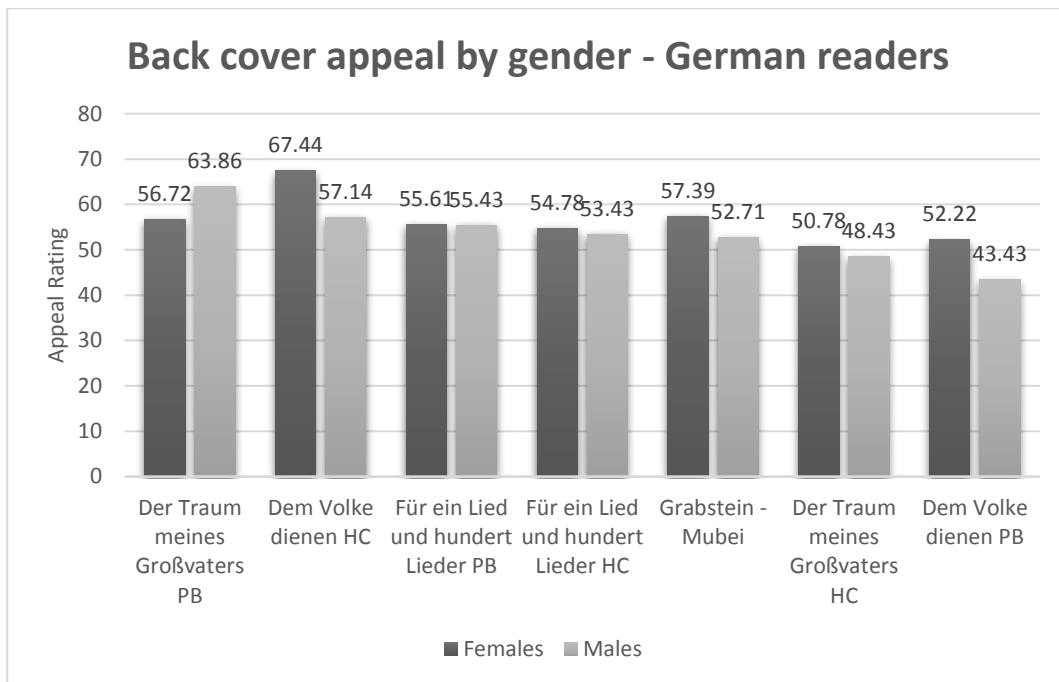


Figure 30 Back cover appeal by gender - German readers.

As in the overall results before, the difference in appeal within the German group is less pronounced than in the English group. As within the English group, the back covers appealed more to female readers than male readers. The only exception is the paperback version of *Der Traum meines Großvaters*, which appealed more to male readers. In general, the appeal ratings by female and male readers are fairly similar, with the average difference amounting to ten points or less.

Back Cover Appeal by Age

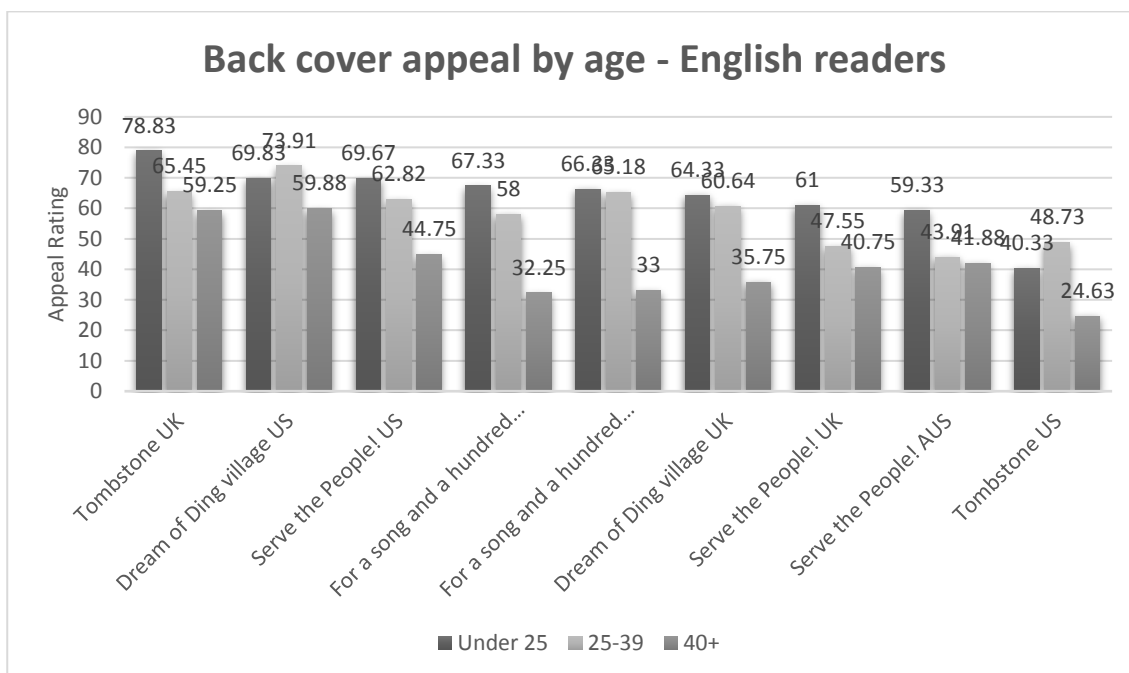


Figure 31 Back cover appeal by age - English readers.

As the diagram shows, the back covers appealed more to young readers under 25 than to readers over 40. The ratings by readers in the middle age group are usually between the (higher) ratings of the under 25 group and the (lower) ratings of the over 40 group. The only two exceptions are the US version of *Dream of Ding Village* and the US version of *Tombstone*, where the readers 25-39 of age gave the highest appeal ratings.

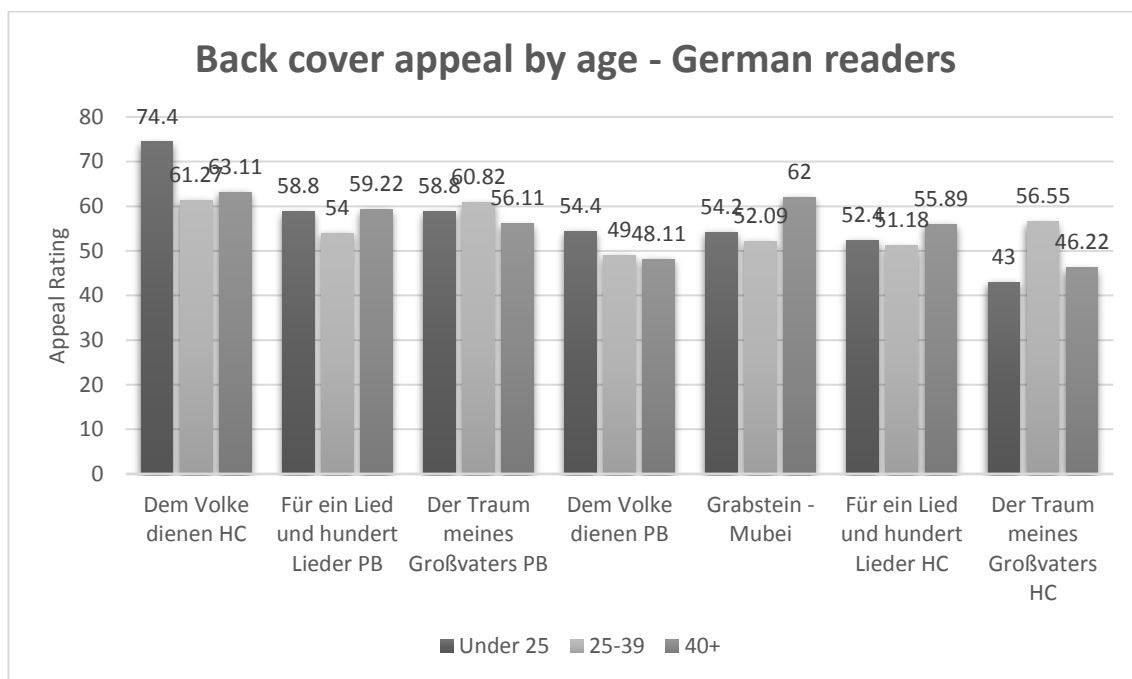


Figure 32 Back cover appeal by age - German readers.

Within the German group, there does not seem to be a pattern as it exists within the English readers group. There are two books which appealed to the youngest readers most, two books which appealed most to readers between 25 and 40, and three books which appealed most to readers over 40. In many cases, the appeal ratings are fairly close together. Only three books appealed to one group much more than to the other two: the hardcover of *Dem Volke dienen* appealed a lot more to readers under 25 than over 25, *Grabstein* appealed a lot more to readers over 40 than under 40, and the hardcover of *Der Traum meines Großvaters* appealed by far more to readers 25-39 than under or over.

7.5.3 Most Memorable Features of the Book

After having rated the appeal of the back cover, the readers were asked for the most memorable features of the book, which could be either in terms of content or keywords that stood out.

Serve the people! and Dem Volke dienen

Since all three English back covers of *Serve the People!* are quite blunt in their word choice, it is not surprising that the words or features that readers found most memorable were: sex(y), erotic, taboo, banned, satire/comedy. These words were named by almost all readers. Other features and key words named relate to revolution/political rebellion, soldiers, and the “three rules of thumb” and the statement from the Propaganda Bureau. Only 3 of 25 readers mentioned “Mao” as a memorable feature. The US back cover was rated as the most appealing by the readers and was also commended for the chosen quotes, which for one reader made the book look more authoritative, and the images, which were described as striking. However, 2 of 25 readers were more critical about the tabloid-style saying that this cover was trying too hard to sell the book as sexy and edgy and that it was too obviously “in your face”. Although many readers noticed that the book was banned in China, only 2 of 25 readers explicitly said that this makes the book more interesting and that it somehow turns it into a secret making it more appealing.

The results of the reader-response study with German readers were fairly similar. The memorable features and key words named most often were: sex, love, banned/censorship, (counter-) revolution, communism and Mao. Two readers also mentioned “cult novel” as a memorable keyword. With regards to the general layout, style and content of the back covers, one reader (of 25) is criticising that the book is heavily marketed under the “sex” label, which was too obvious and in addition not well executed but seemed desperate. One reader (of 25) stated that their expectations to the content were completely different after having seen the front cover and title.

Tombstone and Grabstein

Analysing the readers’ responses, it is obvious that the two different covers were received differently. In general, the colour choice of the UK version seems to please readers more whereas the US cover is described as boring, dull and too scholarly by readers. Furthermore, 2 of 25 readers explicitly said that the first (UK) cover was easier to read than the second (US) cover. What seems to stand out is the fact that both book and author are described as important and the fact that Yang Jisheng has been awarded prizes. In terms of keywords, those most often named are words relating to the book’s content: the famine and the large number of deaths it brought with it. A few readers also noticed that the book is banned in China and mentioned this as a memorable feature. However, for the majority this does not seem to be worth mentioning. Another feature that stuck in readers’

minds was the personal connection of Yang with the famine, i.e. the death of his father. Several readers mentioned this as well that the book is a tombstone for Yang's father.

Given the topic of the book, the key words named most often by German readers were those relating to famine and hunger. Furthermore "umfassende Darstellung/Aufklärung" [comprehensive account/uncovering] and keywords concerning Mao were mentioned by several readers. 3 of 25 German readers found the most memorable feature to be the last paragraph of the blurb, which cites the author Yang Jisheng saying that the book is a tombstone for his father who died during the Great Famine. Apart from memorable features which related to the content of the book, two readers mentioned the red colour of the back cover as memorable, with one pointing out that it makes reading the blurb quite difficult. One reader emphasised that the back cover matches the front cover and title, and thereby fulfilled their expectations. Some of the readers said that the back cover and blurb give the impression of a book which is very emotional, sad or moving but factual at the same time.

For a Song and a Hundred Songs and Für ein Lied und hundert Lieder

The responses by the English readers regarding these back covers focus a lot more on colours, design and layout than the responses to the other back covers. The opinions are mixed, with no clear preference for either of the covers, which was already expressed in the appeal ratings. With regards to the first cover from the US, it was described as messy and the way the reviews were presented as well as the lack of a blurb was criticised. This is supported by the statement of another reader, saying that the back cover is not very clear and the font and colour choice makes it hard to read. To one reader, the first version looked old and not very well presented. However, one reader said that they preferred this cover to the one from Australia and two others praised the nice design and graphics, which made the back cover look interesting for them. The second cover from Australia was criticised for the boring font as well as the colour choice for this: one reader mentioned that white font on a red background was hard to read. One reader also praised this cover for being more colourful and that the key points were more visible. This last point was mentioned by other readers, who commented positively on the useful information offered and the fact that the blurb was much more engaging than that on the first cover. To one reader, both back covers looked unprofessional, however, no further explanation as to why this is the case was given. Apart from praising or criticising the layout and content of the back covers and blurbs, there were a number of keywords which were mentioned several times: massacre, Tiananmen Square and imprisonment.

For the German translations, the keywords which were named several times were: Tiananmen Square, massacre, imprisonment/prisoner and repression. 3 of 25 readers were critical about the style and content of the blurb. One reader said that both blurbs were utterly uninteresting and would not have encouraged them to take a closer look, one reader said they did not even finish reading the blurb because the first words were already uninteresting, and one reader said that the blurb was too long which they found off-putting. With regards to the relationship of front cover, title and back cover, one reader said they appreciated that in these two versions, the back cover matched the title and the front cover.

Dream of Ding Village and Der Traum meines Großvaters

Given the topic of the book, the keyword named by the majority of the readers is AIDS or HIV. Other keywords mentioned by a number of readers: scandal, critique, ruthlessness, well/beautifully written, corruption and reality. Some readers mentioned the banned status of the book in China as a memorable feature. However, 2 of 25 readers criticised the colour choices on the UK cover, with the font colour being dull red against a dark background which lacks contrast and makes them look muted. Another reader criticised that the blurb was so dull that they lost interest in the book by the time they reached the bottom of the page where the praising quote is positioned. The appeal ratings of the back covers are quite different, which is reflected in the comments about the two different versions. About the UK cover readers said that the contrast of praise to the background was not distinct enough, one reader said it was too dark in general and some readers said that the recommendations are appealing but the blurb itself is boring. The readers were more positive about the US cover, stating it looked more modern than the UK cover and it was described as striking by one of the readers. In addition, the blurb on the US back cover was described as better written and more appealing and exciting than the blurb on the UK back cover. One reader specifically stated that the US cover was aimed at Americans.

In contrast to the English readers, only 6 of 25 German readers named AIDS as one of the most memorable features of the book. A third of the readers mentioned “scandal” as a memorable keyword, sometimes in conjunction with AIDS. The majority of the readers got the impression that the book is about sadness and loss as well as love and mentioned this in their responses. 2 of 25 readers talked about the relationship of front cover or title and back cover. One reader said that after reading or seeing the back cover, they better understand why the front cover image was chosen. Another reader was more critical saying that they feel the title was not well chosen for the book.

7.6 Survey of Translators

As explained in the methodology, a survey with the German and English translators of the books included in this study was conducted using an online questionnaire. Out of all the translators, only three started or completed the questionnaire. One of those translating into German and two of those translating into English, one of whom only completed half of the survey. “English” here refers to translators with English as their target language and “German” to those with German as their target language, and not necessarily to the country they were born or live in.

The analysis of the surveys with translators shows that the involvement of translators in the production process of paratext, their opinion on them and Chinese banned books are different for the English- and German-speaking translators. All three translators stated that the fact that a book is banned in China does not influence their decision to translate a book or not. Although they agree that translations of Chinese banned books do not sell better or worse than non-banned books, they disagree on the appeal they have for the readers. The English translators think that banned books appeal more to readers than non-banned books, but the German translator thinks it does not make a difference. This is in line with the findings of the reader-response study, where English readers considered banned books as more appealing whereas German readers mostly said it does not make a difference to them. An equal disagreement shows when they were asked about the general quality of books banned in China. One English translator stated that the books are per se of better quality, whereas the two others said that there is no difference or that they are unsure.

The translators were also asked whether they have a specific readership in mind when translating a book. Here, one English translator said that they had not and one English translator stated that it depends on the book but that they would always aim to make a translation readable for a general reader and not a China expert. The German translator said they always have an educated average reader in mind when translating Chinese literature. This was confirmed when asked about the specific book included in this study. When asked about how well Chinese literature is presented in their local book market, they all seem to agree that it is generally not very well presented, and one translator added that interest seems to be improving.

From question 10 onwards, which focussed more on the paratexts of translations, only two translators (one English and one German) answered the questions. The translators were asked for their general impression of book covers of Chinese literature in translation and were further asked whether they ever deemed a title or cover design of a book they translated from Chinese as unsuitable, inappropriate or misleading. Both translators said that their impression of cover designs is not too good. The English translator said that they think they are ok but a bit stereotyped, which they said might be unavoidable. They also said that they and the Chinese editors disliked a title of one book they translated, but that the publisher insisted on the choice. The reason for their dislike was that they deemed the title to be somewhat stereotyped/sensationalistic. They add that in most cases the title proposed by them gets accepted, maybe with some slight variation. In terms of book cover, this translator said they have made requests for changes to book covers (e.g. a more appropriate shade of colour or a change of graphic for a more appropriate feel) and that their requests have been respected. The German translator said that they do not have any influence on the cover design, elaborating in another response that they are often asked for their opinion on the cover and their opinion is heard, but not taken into account. The only exception is small independent publishers, the translator said. The translator said that they usually make a suggestion for the cover, but it is only sometimes that the publisher even discusses the suggestion with them or alternatives are discussed with the translator. The latter happening only very rarely, they also added that they thought one cover for a book they translated to be extremely ridiculous and misleading.

When it comes to writing the blurb, the experiences of the translators were again different. Whereas the English translator basically wrote the blurb for the translation included in this study, the German translator said that they are only involved in writing the blurb for small independent publishers, but not for large trade publishers. The last set of questions asked about translator's notes, forewords, etc. as well as foot- or endnotes and their involvement in the decision to include them. The English translator said they requested the inclusion of a translator's note and had no difficulty having it accepted. In addition, they provided footnotes (in addition to those in the original) that they deemed necessary. The German translator said that in general the decision to include a translator's foreword/note is sometimes theirs, sometimes the publisher's. In terms of footnotes, they emphasised that they are strictly against them in fiction, unless the author included them in the original in which case they will translate them. If additional information is needed,

they prefer to include it in the text or add a glossary at the end of the book for the interested reader.

Chapter 8. Discussion

8.1 Popularity of Chinese Banned Books

Overall, the results of both the preliminary and the main reader-response study suggest that a large proportion of English readers think that the banned status of a book makes it more interesting, appealing and exciting. For German readers, however, the proportion of readers thinking this is much smaller. For the majority, it does not make a difference. The results answer the question whether the readers consider banned books as being of better quality than non-banned books and show that the assumptions made by Bork (2010) and Siemons (2007) were not confirmed, since the vast majority of readers in both language groups said that a book being banned does not equal better quality. The percentages of readers agreeing that banned books are more appealing, exciting or interesting than books which are not banned increased after the readers answered questions about paratexts. By answering these questions, the readers actively engaged with the paratexts which repeatedly emphasised the banning of the books. This seems to have influenced the readers' perception of Chinese banned books. Therefore, this suggests that marketing books heavily under the "banned book" label might be able to manipulate and influence the readers' opinions on the matter and thereby increase the books' appeal. Therefore, using censorship as a marketing tool seems to be effective, especially in an English-speaking context, and it might be able to create more sales for a book if it is marketed as banned, confirming Lee's claim that "the unfortunate event of literary censorship also turns into a resource that propels it, together with its author, into global circulation" (Lee, 2015, p. 252).

8.2 Praise

8.2.1 Praise on Front Covers

Out of the books included in this study, seven included praise on the front cover. By including praise on the front cover, the publishers intend to increase the credibility of the author and the work, emphasise its quality and show its importance. This shows the important role of front covers as a selling device and its similarities to advertising (Powers, 2001) where slogans aim to target and lure consumers into buying the product. This will help to capture the readers' attention and create interest, making it more likely that the reader will pick the book up to read the blurb. When looking at which of the books in the study include praise on the front cover, it seems that it is more likely to be included on a non-fiction book. Of the seven covers which include praise, only two books are fiction: *Dream of Ding Village* and *Serve the People!*. Possible reasons for this might be that the

titles and front covers of fiction books can be more adventurous and creative than those of non-fiction books and might not need the additional “help” that non-fiction titles do. In addition, the potential readership for fiction is larger than that for a non-fiction book on a very specific topic. Therefore, having praise on the front cover of non-fiction, for example from an expert in the field or a well-known author, will help to target more readers by capturing the attention of readers who otherwise might not have looked at the book. In general, praise on the front cover can be considered as a paratext with a commercial function, i.e. to advertise and sell the book, which Genette considered as unimportant due to its purely economic nature (Birke and Christ, 2013).

The readers’ reactions to praise on the front cover in both groups were mixed. Since six of the versions including praise were English translations, the responses to praise are more extensive in this group. The highest number of positive comments was received by the UK version of *Tombstone*, which states on the front cover that the book was featured on BBC Radio 4. For a number of readers, this increased the appeal and credibility of the book, with one reader explicitly stating that it conveys the idea of importance. This clearly shows that the indirect praise (since not every publication will be featured on BBC Radio 4) increased the appeal of the book and conveyed importance and credibility. Similar to advertising, mentioning BBC Radio 4 could be considered an alpha strategy which uses reasoning, credible sources and added incentives to make a product more attractive (Knowles and Linn, 2004). It seems that the pairing of a non-fiction book about a serious topic and BBC Radio works well. This might be the case since the target readership of the book is most likely well educated and over 35, which is the group which are most likely to listen to the radio rather than using social media. Another version evoking positive responses by including praise is the US version of *For a Song and a Hundred Songs*. However, only one of the two praising paratexts was noted by the readers: the label saying that the book was awarded the *Peace Prize of the German Book Trade*. This fact increased the book’s overall appeal. The other praising quote³⁴, which can also be found on the front cover of the Australian version, went unnoticed by the readers. The other English translations where readers commented on praise were *Serve the People!* (AUS) and *Dream of Ding Village* (UK). However, both books only received negative responses to praise. In the case of *Serve the People!*, the headline praising the book as a sexy, satirical sensation was described as “off-putting” and “very unlikely”. One

³⁴ “One of the most original and remarkable Chinese writers of our time. – Philip Gourevitch”

comment suggests that the reason for the negative response is clashing expectations and two paratextual elements evoking associations that do not match up. A more explicit clash can be found in the reader-responses to *Dream of Ding Village*, which states on the front cover that Yan Lianke is one of China's fiercest satirists, which was deemed to not match the cover design and title. It appears that specific praise which people can easily understand and relate to, such as a book being featured on radio or the winning of a prize, evokes much more positive reactions than less specific, almost generic praise, as seen with the Australian version of *Serve the People!*. The reason for this could lie in a lack of trust of readers in the publishers. In the end, they want to sell books and will choose favourable reviews to feature on the books. Being selected for a prize, or a radio show, might, in turn, appear more authoritative as this decision is made by a third party rather than the publisher which might increase the credibility of the book and therefore also its appeal. This critical distinction and evaluation of different types of praise by the readers seem to confirm the claim by Procter and Benwell (2015) that readers are savvy and self-aware customers.

The reactions of the German readers to the praise informing them that *Für ein Lied und hundert Lieder* had won a prize evoked similar responses to those of the English readers. The prize increased the credibility of the book and for one reader it was a sign that the book contained real testimonies and not government propaganda. For another reader, the prize was only a buzzword on the cover. The sticker did, however, also cause negative reactions, which was due to its visual design. This shows that the content of the praise alone does not guarantee an increase in appeal and attraction. If the readers disapprove of the visual way the praise is presented, they might not even consider the praise as a positive feature and might focus more on form rather than content.

8.2.2 Praise on Back Covers

The paratextual analysis has shown that the majority of the back covers can be categorised as either mixed or praising/advertising, which means that all the versions included in this study feature at least one praising quote on the back cover. The majority of the praise evoked positive reactions. However, the English translations of *Serve the People!* did not cause any explicit responses and *Der Traum meines Großvaters* (hardcover) and *Dream of Ding Village* (UK) evoked negative responses. This demonstrates what Procter and Benwell (2015) claimed, namely that noticing paratexts and marketing elements on a book does not equal approval or appreciation.

The German readers approved of the praise on *Dem Volke dienen* since they found it to increase the interest and said it was a positive addition to the blurb. On the hardcover edition, the publisher compares Yan Lianke to Eugène Ionesco which could mean that the publisher used behavioural variables when choosing the praise (Phillips, 2007). This means that the publisher tried to attract readers who buy books of a specific author or style and who are therefore more likely to purchase a book of a comparable author or style. The same was the case for *Für ein Lied und hundert Lieder*, where the praise was quoted as a memorable feature by some readers. The praise on all versions of *Grabstein/Tombstone* was quoted by many readers and managed to convey the importance of work and author to the reader, so certainly fulfilled its main function. Praise from a famous author can spark interest in a book which is demonstrated by one English reader, who described the praise by Herta Müller on the back cover of *For a Song and a Hundred Songs* (US) as appealing and attractive since they liked her work. This is another case in which the publisher used what Knowles and Linn (2004) describe as alpha marketing strategies by using credible sources to make the book more appealing. The readers' positive reactions to and their approval of praise on back covers show that choosing the right person for an endorsement, whose work has ideally a similar target readership as the book they are endorsing, can be very influential if the potential reader knows and likes their work. The negative reactions to praise on back covers show that it is important to choose content, style and visual representation to praise carefully. Praise lacking vital information but instead only generically stating that the book is great does not seem to appeal to readers. This is also the case for praise using unappealing font or when the font and the background are lacking contrast (See Section 7.4.1).

The responses to the praise of *Dream of Ding Village* were mixed. Some readers quoted the praise from *The Guardian* and *The Rolling Stone* as a memorable feature, whereas others did not like the visual design of it on the UK edition. The red colour on the dark background was described as too dark and lacking contrast, which made it unappealing. In contrast to the negative reactions evoked by the sticker on the German paperback of *Für ein Lied und hundert Lieder*, the visual presentation did not seem to bother the English readers so much that it overpowered its positive content. The version only receiving negative comments for its praise was the hardcover version of *Der Traum meines Großvaters*. One reader described the quote as not bothering them but lacking vital information to be influential on their decision-making process. For them, just stating that the book is great was not sufficient and they said they would expect more from a

recommendation, for example information on style or content. As with praise on front covers, a similar pattern seems to emerge. The most effective praising elements are those which come from a well-known, authoritative third party rather than the publisher. Generic praise, whether this is coming from the publisher or well-known newspapers, does not seem to be very appealing. Readers prefer concrete praise, the mention of radio or a prize which might indicate that they are not only savvy but also potentially seeing through the marketing strategies of publishers.

8.2.3 Conclusion

In general, there does not seem a significant difference between how English readers and German readers perceive praise. In both language groups, the mentioning of prizes, which have been awarded to the author or the book, made the book more appealing to readers. The same was the case for any quotes that emphasised the author's or book's quality and importance, either from an individual or a well-known newspaper or magazine, such as *The Guardian* or the *Rolling Stone*. On the back covers of *For a Song and a Hundred Songs* and *Für ein Lied und hundert Lieder*, endorsements by Herta Müller are included. The quote on the US back cover (direct endorsement) was mentioned positively by one reader, but no reader mentioned Herta Müller's name (indirect endorsement) in the German reader-response study. It is likely that a too indirect endorsement, and the fact that she wrote the afterword should definitely be treated as such, might pass the readers' attention and not be perceived as "true praise".

To conclude, the results from the reader-response study show how influential praise on the front and back cover is. For publishers, it is a tool to manipulate the readers in order to influence their opinions on the book. They show a clear trend: praise is influential on the readers' decision-making process when it fulfils some or all of the following criteria. First, the praise needs to match title and genre and the associations evoked by the cover design and title. Secondly, ideally, it includes concrete information on the book rather than a generic label saying it is great. Thirdly, it needs to be visually appealing. If it is not, the positive message in it might remain unnoticed. Fourthly, the praise should ideally come from a credible, authoritative third party rather than the publisher. And lastly, praise targeting a specific target readership (e.g. listeners of BBC Radio 4 or readers of Herta Müller's works) can create very positive reactions. Especially the latter two could be classified as alpha strategies, using reasoning and credible sources to increase attraction (Fennis and Stroebe, 2010). This influence on the readers' decision-making process can

be regarded as a form of manipulation: praise on a book cover can act as a stimulus and the endorsement by a famous author or the mentioning of, for example, BBC Radio 4 could draw on patterns of relevant past behaviour (Foxall and Goldsmith, 1994, p. 26) thereby making this stimulus meaningful. This past behaviour could be that the reader read a book by the endorsing author or is a regular listener of a radio show that featured this particular book. The readers are manipulated into thinking that the book is of very high importance and quality (which at that point they can probably not judge for themselves) and that they want to take a closer look. This suggests that praise might have the potential to create a need to buy the book in readers in the same way as advertisement can create needs in customers, as suggested by Handelman (2009). It is possible that without the praise the readers would not pick up the book, which can be deduced from the readers' comments that the praise was what drew them in. Therefore, praise on book covers can be classed as a highly manipulative paratext influencing the readers' opinions and thereby the decisions they make. In a way, praise has similar functions and seems to work in similar ways as advertisement does. It could even be regarded as a component of advertisement for a book. The creation of a need to read the book and the potential of praise acting as a stimulus and thereby influencing the readers' decision-making is similar to general consumer psychology (Foxall and Goldsmith, 1994). A previously non-existent need for this book (unless the reader already planned to buy it) can be created by well-chosen and well-placed praise. In general, praise on the covers of the book usually seems to cause positive reactions and in most cases it seems to fulfil its function of creating interest, making the book more appealing, credible, and emphasising its quality and importance. Overall, the publishers' strategy to include praise on the back covers seems to have been successful, judging by the consistency with which it was named by readers in both the English and the German group.

8.3 Titles

Finding the right title for a book, and especially for a translation, is not easy, as it should not only identify and designate the book but also inform the reader of the book's content (Genette, 1997b), arouse interest and bridge the Otherness (Landers, 2001). Translating the title of the original work might seem the most obvious and easiest strategy but imposes many challenges. First, the original title might refer to something, which is unknown to the target readers, such as historic events or culture-specific items (Watts, 2000). This would mean that the target text reader might not be able to understand what the title is referring to. Secondly, the title of the original might be polysemous. Polysemy is often

impossible to translate, forcing the translator to choose which meaning to keep and translate (Sánchez, 1999). Thereby, however, the title loses much of its identity and connotation.

The analysis has shown that all titles were either literal or partial translations of the Chinese original title, with a varying degree of loyalty. The titles of fiction books are more loyal translations than those of the non-fiction books in this study: *Tombstone* and *For a Song and a Hundred Songs*. These titles only contain the translation of a few words of the original title but contain additional information to overcome the average Western readers' lack of background knowledge. *Tombstone* clarifies the years of the Great Famine in the German and US version, to enable the reader to place the book temporally. The UK version, in contrast, uses a catchier title (*The Untold Story of Mao's Great Famine*), undoubtedly to lure the reader into wanting to find out more about and to claim the book's exclusive insights into the so far secret piece of history. Some readers might be inclined to construe the implication of China being secretive and closed or the more dramatic word choices as anti-Chinese. This might attract readers who have a critical or negative opinion of China (as they expect a book to reinforce their impression) but could also repel readers who think positively of China or prefer more neutral paratextual elements which do not display a strong opinion.

General Appeal of Titles

Looking at the results of the two reader-response studies, in both language groups the titles appeal more to females than males. Despite the claim that women tend to process information through more detailed and substantial elaboration than men, who, in contrast, process information by schemas and themes (Meyers-Levy and Maheswaran, 1991), the difference in appeal between women and men is relatively small. A possible reason might lie in the fact that none of the titles clearly states the content of the books and therefore required the study participants to analyse the titles in a more detailed way than an obvious title would require. This would be in line with the claim by Meyers-Levy and Maheswaran (1991) that the differences in processing information content between genders disappear when both genders are required to engage in detail-sensitive processing. A title requiring the same type and level of processing from both genders could lead to a similar appeal whereas a title suited for the processing strategies of one gender might potentially result in a larger difference of appeal between genders. This might be especially the case in this study, where the participants were confronted with the titles on an isolated basis, without the actual cover, which meant that more interpretation and analysis was required than if

they had been presented with cover and title at the same time. Generally, the titles appealed most to English readers under 25, closely followed by readers between 25 and 39. In two instances, the titles appealed significantly less to readers over 40 than the other groups. The appeal ratings within the German group were fairly homogenous with no clear trend in terms of appeal to a specific group of readers. Therefore, the results of the reader-response study suggest that when judging by the title, the likely target readers of English translations of Chinese banned books are younger readers under 40, with a slight tendency towards female readers. For the German translation, the potential target readership is female readers of any age.

Exclamation Marks in Titles

Generally, the exclamation mark functions as a tone indicator (Nunberg, 1990) and gives a reader clues about the sentence prosody (Crystal, 2003), making the statement much stronger. That exclamation marks greatly influence the readers' perception of a title becomes apparent when analysing the results of the preliminary reader-response study. The results show that the title (*Serve the People!* and *Dem Volke dienen*) sounds almost aggressive and very demanding to English readers, whereas the German readers associated it primarily with politics, patriotism as well as communism, and for them the connotation of servitude makes the title sound more idealistic and a choice citizens are free to make. Since none of the German readers named associations relating to aggression or demands, the results of the preliminary study strongly suggest that punctuation in titles, as marginal as they may seem, confirm the effect of exclamation marks as suggested by Nunberg (1990) and Crystal (2003). Therefore, they have a great influence on the readers' first impressions of the book and creates certain expectations of the book's content.

8.3.1 *Serve the People! and Dem Volke dienen*

When looking at the general appeal of the title, the results suggest that the target readership of *Serve the People!* is under 39 and potentially female. For *Dem Volke dienen*, there is a slight tendency towards male readers over 40, which could indicate the potential target audience. The direct translation of the Chinese title into English and German shows that in this case the publishers do not seem to assume the function of a mediator (Alvstad, 2012) but seem to rely on the readers to interpret and understand the title on their own.

The main reader-response study produced interesting results for *Serve the People! / Dem Volke dienen*. Here, none of the English readers named associations relating to "demand/order/aggression" which were the second most often named associations in the

preliminary study. Interestingly, within the German group the second most named associations with *Dem Volke dienen* in the main study relate to Hitler, dictatorship or National Socialist ideology. Unfortunately, the results do not allow for a definite answer to the question why in two of the age groups well over a third of the readers made this association, while in the 40+ group, less than 10 per cent made this connection. None of the participants are old enough to have experienced the Third Reich themselves and therefore would have gained the majority of the knowledge in school or through the media. The most likely reason for triggering this association is the word choice of the title, which includes “Volk”, a term which was one of the key terms during the Third Reich as well as during the communist dictatorship in the German Democratic Republic (GDR). However, it is possible that none of the readers are from the former GDR which could explain why “Volk” might have reminded readers more of NS ideology rather than communism. Although the title appealed most to readers under 25, 40% of whom associated it with the NS ideology, the high number of association of the title with the Third Reich (which will for the majority of participants be a negative connotation), might be the reason for the title being perceived as not very appealing. It seems that the German publisher did not consider that they are translating the title for a “culturally-specific readership” (Watts, 2000) and underestimated the associations the use of the word “Volk” would or could evoke. It is likely that the publisher did not invest the necessary resources to establish the potential readership for this book and therefore created paratexts which addressed an imaginary, anonymous, average reader and by this “placed the text within an ‘averaged’ interpretative framework” (Berger, 2013). This carries the risk of repelling a potential readership who might be put off by the negative association and the topic the title might indicate. Here, taking the readership’s cultural and educational background into account when choosing a title could have resulted in different, and possibly more accurate, associations with the book’s content. This, in turn, might have made the title more appealing and therefore increase the likelihood of a potential reader taking a closer look at the book, increasing the chance of a purchase.

In general, and apart from the associations with the Third Reich, the readers’ associations with the title in both language groups are fairly similar. In both groups, a third of the readers associated the title with communism, socialism or Mao Zedong, which is the most often named association in the German group and the second most often named one in the English group. In contrast to the preliminary study, in the main reader-response study the readers saw the title first before they were shown the cover for the first time. Therefore,

influencing the associations readers make with the cover on the associations evoked by the title can be ruled out. However, a quarter of the English readers and more than half of the German readers said that they have heard the title/phrase before. It is possible that the readers have seen the book or read about it before, but it is equally possible that they have heard the phrase in a historic context and therefore made the connection with communism, socialism and/or China. Only a separate, more in-depth study on these two titles could provide a definitive answer to this question. Overall, the title evokes associations that broadly match the book's content, with the exception being the associations with National Socialist ideology. This shows that the title is the first important piece of information about the book's topic or content and that, when chosen carefully, the readers' associations match the actual content. This illustrates that the title, in this case, is indeed the point where the text begins to indicate itself to the reader (Brookes, 2009). Some of the English readers even deduced that the book might be a satire or criticism, which shows that a title, however short, can indicate a book's genre. Therefore, it seems that it is possible for readers to "tell" not only the front cover but also the title on its own by categorising as suggested by Kratz (1994). This is an important finding as this means the creators of the paratextual package need to not only look at the front cover as a whole when trying to convey the genre but also at the title as an individual paratext. Furthermore, the readers' associations with Mao show that the setting can be deduced to a certain degree because it can be assumed that readers who know who Mao Zedong was, would be able to place him and the book within China. Judging by the reader-responses, the title managed to convey some important aspects of the book. However, these aspects mainly relate to the story's context and background. The main element of the book, the relationship between the orderly and the general's wife, was not conveyed by the title. Therefore, the readers might expect a much more political book than it actually is, and readers with these expectations might be disappointed when they find out the book is actually a satire and about a sexual relationship. However, the titles should not be categorised as "bad titles" (Landers, 2001) since the titles mainly evoked associations which match the content of the book and therefore fulfilled their main function.

8.3.2 Tombstone and Grabstein

The results from the reader-response studies show that the potential target readership of *Tombstone – The Untold Story of Mao's Great Famine* is under 40 and female, whereas that for *Tombstone – Great Chinese famine, 1958-1962* is equally female but under 25.

The results for *Grabstein* are, as with *Dem Volke dienen*, not very significant, but there is a slight tendency towards female readers under the age of 25.

The book titles across the translations of *Mubei* in both English and German show a high consistency. They all translate 墓碑 *mubei* into English (Tombstone) and German (Grabstein). However, the English translations contain different subtitles: *The Untold Story of Mao's Great Famine* (UK) and *The Great Chinese Famine, 1958-1962* (US). All books included in this study have been published within a short period of time, i.e. translations in the different languages have been published in the same year or only one year apart and paperback versions were usually published one year after the hardcover edition. It is possible, however somewhat unlikely, that at future reprints the book might be published under a different title, for example the US edition could include a subtitle which is similar to the more appealing UK subtitle. Changing the title of a book post-publication is very rare but does happen as seen with Karen Dionne's *The Marsh King's Daughter* which was entitled *Home* when published in paperback. The reasons for changing the title of a work could be that the sales of the hardback edition remained below the publisher's expectations and they hope that a different, more gripping or suitable title will help the sales of the paperback edition. The reader-response study results of both reader groups show that the title is very telling and does not leave much room for interpretation and imagination. Since the book is a historical non-fiction book, leaving room for interpretation was probably not intended by the author or publisher. All three titles fulfil the three title functions named by Genette (1997b): identification, signifying the content and making it stand out. Although the last function is hard to measure, the lack of a book in the same field or area with a similar title could suggest the book will stand out against its direct competitors. Overall, the title emphasises for the reader that the book is a historical heavy-read, and for some English readers that it was probably published outside China, i.e. banned in China. This shows that even without openly mentioning that a book is banned in China, this notion can be indicated by certain word choices in the title, e.g. "the untold story". The responses of the English readers show that in terms of marketing, the title of the UK version was chosen wisely. The title made the book more intriguing for readers (because the story is told for the first time), indicated the book's setting (due to the reference to Mao) and that the book is most likely banned in China. Furthermore, it clearly indicated the book's content. Since the title was also rated the second most appealing title in the study, one could consider this title as successful and suitable for the book. The titles of the US and German version were

successful as well, however, not as comprehensively as the UK title. Both titles managed to convey the book's content and setting. Especially the last aspect, setting, can be seen as a given fact, although none of the German readers and none of the English readers mentioned it as an association since the titles clearly state "Chinese famine". Although the titles were successful in conveying these two aspects, they were not rated as very appealing by the readers and their direct and clear subtitles failed to create the same level of intrigue that the UK title evoked. In both cases, the subtitles are clearly indicating the topic and content which means that the decoding of the title, which Marín-Dòmine (2003) suggests takes place after the reading has finished, most likely takes place before the reader has started reading. In the case of the UK title, which gives less information about when the famine takes place and focuses more on the famine's story being untold, some of the decoding is likely to take place after the readers finished the book as they will have to decide why the story has not been told before. This would, at least partially, confirm Marín-Dòmine's (2003) claim. The example of these three titles suggests that a successful title should both inform and intrigue the reader.

The analysis of the readers' associations with the two titles of the English translations of *Tombstone* shows that the categorisations are mainly based on the visual paratexts, influenced by the chosen font. The title and subtitle of the US version were perceived as wordy, probably emphasised by the long praising quote beneath it. The title of the UK version, however, despite being longer than the US version in terms of word count, was not mentioned as being particularly wordy. Here, the difference in perception might lie in the font; the title and subtitle of the US version are printed in large capitals spanning most of the cover. Using the same font and capital letters for both elements visually almost merges them into one element which emphasises the length of the title and subtitle. Furthermore, the plain sans-serif font emphasises the seriousness of the topic and gives it a scholarly feel. This means that the typography seems to support the content or topic of the book which should always be its aim (Williams and Hildebrandt, 2013). On the UK version, in contrast, only the title is printed in a large font whereas the subtitle is printed in a much smaller font, visually breaking the verbal paratexts up and giving the impression of being two separate elements which therefore appear to be shorter. This shows how small differences, such as different font sizes, capitalisations and line breaks can change the perception of a title and also its appeal. In addition to this, another reason for the discrepancy in appeal lies in the visual design of the verbal paratexts on the cover: the combination of different colours, fonts and symbols used in the UK edition's cover

design making it look less scholarly and more accessible and mass-market. In both cases, typography is used to indicate the style of the book as well as to place it in the market. The chosen styles and forms contribute to the meaning-making of the typography, as suggested by Van Leeuwen (2005) and indeed the title and whole book. The typography is in both cases an important mode of visual communication, especially since the covers are typographic, supporting the meaning expressed in the titles.

8.3.3 For a Song and a Hundred Songs and Für ein Lied und hundert Lieder

When solely looking at the appeal ratings of the reader-response studies, it seems that the English translation appeals slightly more to female readers under 25 and over 40. The German translation has a quite similar potential target audience, which has a slight tendency towards females and readers under 25.

Overcoming the knowledge gap by changing the book title was the main strategy used for titles of the translations of *For a Song and a Hundred Songs – a Poet’s Journey Through a Chinese Prison* and *Für ein Lied und hundert Lieder – Ein Zeugenbericht aus chinesischen Gefängnissen*. Both translations keep keywords from the original title (testimony, prison or poet) but apart from that use a poetic phrase (for a song and a hundred songs/*Für ein Lied und hundert Lieder*) as the main part of the title. “June 4th”, which is the main title of the Chinese original, has been omitted in both titles, as many Western readers without in-depth knowledge of China would probably not know what this date refers to. These examples from the reader-response study show that titles can be kept if they refer to something which can be considered common knowledge in the West but should be changed if they refer to culture-specific items or historical events the average Western reader does not know of. However, the publishers could have “translated” the unfamiliar culture-specific item (4th June) into something many readers would understand: Tiananmen Massacre or Tiananmen Protests. That way the culture specifics could have been preserved but at the same time made more accessible for the Western reader. Omitting information which is difficult to understand for the reader and simultaneously adding information can help to make the access to the work easier and bridge the Otherness gap (Landers, 2001). Catchy or dramatic words in the title can help to ensure attention. In both cases, the publisher acted as a mediating agent (Alvstad, 2012) who adapted the paratexts to address a culturally-specific readership (Watts, 2000).

The analysis of the reader-response study shows that the title was perceived slightly differently by English and German readers, despite only marginal differences in the titles and subtitles. The title mainly aimed to convey the content of the book, which it did successfully, judging by the readers' responses: The readers clearly identified the topic and setting of the book. Therefore, this title has successfully fulfilled its function of designating the book's content or topic (Genette, 1997b). As with the title of *Tombstone*, the direct reference to China was not reflected in the responses, but it is possible that the readers thought this information to be either too obvious or too marginal to mention. Comparing the responses from the German and the English readers shows that the German readers seem to interpret more into the title leading to more associations that relate to things not overtly said in the title. These included overcrowding and bad conditions as well as suffering and pain. Although the title talks of Chinese prisons, it does not give overt information about the conditions within them, nor does it state that the prisoner was tortured. It is therefore most likely that these associations are influenced by something the readers have read, heard or seen about Chinese prisons or Liao Yiwu. The reason might lie in the fact that Liao Yiwu is fairly well known in Germany, and received extensive media coverage when he sought refuge in Germany and received the *Peace Prize of the German Book Trade*. This means that the German readers are more likely to have been confronted with the book, the author and the author's story than the English readers which would impact on their associations with the book title. These differences in background knowledge and exposure to a certain media narrative indicate a different demographic and possibly psychographic segmentation of the two different target markets (Phillips, 2007) which emphasise the need for adapting the paratext to the specific readership, i.e. a cultural translation of the paratexts (Watts, 2000).

8.3.4 Dream of Ding Village and Der Traum meines Großvaters

Judging by the appeal of the title, the potential target readers of *Dream of Ding Village* are male (only slightly more than female) and under 25. For the German translation, *Der Traum meines Großvaters*, the target readership appears to be female and either under 25 or over 40.

As outlined earlier, the English title is a direct translation of the Chinese title, whereas in the German title, 'Ding Village' is replaced by 'Großvater' (grandfather). This change prevented trivialising or belittling the village (since "Ding" means "thing" in German) and resulted in a perception which differed from that of the English readers. Furthermore,

changing the title prevented creating a polysemous title for the translation. Polysemy is one of the difficulties when translating titles, as described by Sánchez (1999), however, here the focus is on polysemy in the source rather than the target language. For English readers, the title mainly conveys a setting in rural China, an impression conveyed by ‘village’ whereas the German readers mainly associated family-related words with the title. Both the English and the German title stimulated the readers’ imagination and created mainly positive associations. This is reflected in the appeal ratings: the German readers found this title to be the most appealing in the study, and for the English readers the title was the third most appealing title out of five. Only a few readers in both groups had negative associations with the title. In the English group, for example, some readers associated the forceful removal from a village or the destruction of a village (to create space for a city) as an association. These were most likely influenced by media coverage in the past years of people having to leave their villages to make space, e.g. for the Three Gorges Dam or modern housing. If we expand the functions of book covers defined by Sonzogni (2011) to titles, these titles would have fulfilled the third function named by Sonzogni, namely to remind the reader of what they already know about the text, or what they assume they know. This assumed knowledge will have informed the associations the readers have with the title, whether these be positive or negative. Despite the slight differences in the translation of the title, the strategy chosen by the publishers is similar. In both cases, the publishers decided to focus on the setting and the style (since parts of the book are narrations of the grandfather’s dreams) rather than the actual topic (a blood and AIDS scandal). This means that these titles fulfil the first and possibly the third function of a title named by Genette (1997b), namely to identify the book and make it stand out, but not the second function which is that of identifying its content. The reason for choosing a less direct and topic-designating title could be to try to avoid confusion of this book with a non-fiction title. Choosing a more poetic and less descriptive title would prevent this and the associations of the German readers prove that this strategy was successful: a quarter of the German readers correctly identified the genre of the book (fiction) just by reading the title. In the English group, in contrast, none of the readers commented on the book’s genre which, however, does not mean that the readers perceived the book as non-fiction. It might have been too marginal or too obvious to mention. These two titles are good examples of the fact that a paratext, especially a title on its own, is not always and necessarily able to translate the full scope of a book’s content. In this case, the emphasis was put on style as well as content (the dreams of the grandfather) rather than the main topic of the book (the blood scandal). It seems that this strategy was

successful and the balance of giving the reader enough information about the book without “disenchanted” it (Adorno *et al.*, 1991) was achieved as it attracted the readers’ attention and created correct associations that dreams play an important role in the book and that the book is a fiction title rather than narrative non-fiction. If the title had focussed more on the blood scandal, the effect might have been completely different, for example readers might have mistaken the book to be non-fiction or the associations might have been a lot more negative.

8.3.5 Conclusion

The readers’ responses to book titles show that one title generally does not appeal to readers (*Dem Volke dienen/Serve the People!*) whereas others seem to find more approval in both groups: *Für ein Lied und hundert Lieder/For a Song and a Hundred Songs* and *Der Traum meines Großvaters/Dream of Ding Village*. There does not seem to be a general trend as to whether titles which clearly state the topic of the book or titles which leave more room for imagination are more appealing to readers. The results of the reader-response study show that titles generally appeal more to female readers than male readers, although the differences are generally small. The readers saw the titles before the front covers, which means that most titles required a fair amount of detail-sensitive processing in order to understand or interpret the meaning of the title. This could have diminished the differences in information processing between females and males, as described by Meyers-Levy and Maheswaran (1991) which could have in turn had an effect on the appeal of the title to the readers.

The results show that cultural and social influences, as well as background knowledge, will impact on the readers’ associations with paratexts. Ignoring these can easily lead to incorrect associations with a title and if these are negative associations, this can lead to a title being perceived as not very appealing. What is more, the study has demonstrated that readers can introduce existing knowledge of a book or author into their interpretation of the title which therefore also influences the associations with this paratext. This is an aspect which would be very hard to predict by the publisher, as they can only assume the previous knowledge of the average target reader. It is possible that these interpretations were influenced by what Lee (2015) calls reading habitus. In this case, this would mean the readers have a particular disposition towards the Chinese culture which would have been influenced by their education and socialisation but in addition also the media narratives about China. In addition, the results have shown that using an exclamation

mark in a title can indeed indicate a certain tone and evokes different associations in readers than a title without an exclamation mark. This demonstrates the importance and influence of punctuation in a title which the translator or publisher has to take into account.

In general, the analysis of the results suggests that the imagination is sparked more by titles which do not overtly state the topic of the book, but that even then the associations are often limited. It is possible that the title is more powerful in terms of creating associations when it enters an interplay with the cover design than when it is considered as a stand-alone item. These results indicate that the title alone might not be as powerful as a tool to manipulate readers as other paratexts might be when regarded as a standalone item. However, the associations with it have shown that a title which is not chosen carefully, might give the readers completely wrong ideas about the content of the book which could cause the readers to put the book down or to not pick it up in the first place. In this case, the title could be described as a bad title because it influenced or even changed the readers' perception of the book and its meaning (Landers, 2001). Therefore, a title usually manipulates the readers' opinions on the book and its content but is probably not as successful in manipulating the reader's decision to buy the book as the front cover might be.

8.4 Front Covers

General Appeal of Front Covers

The analysis of the English reader-response study results shows that there is no clear tendency whether the front covers appeal more to female or male readers. This is different in the German group, where the front covers generally appealed more to male readers than they did to female readers. When looking at the results by age, the front covers appealed to English readers more the younger the readers were. Especially some front covers appealed significantly less to readers over 40 than they did to readers 39 and younger. The results do not allow to draw a conclusion as to why this is the case but possible reasons could be that the younger generations are more cosmopolitan, learned more languages or that the school syllabus has changed. In any case, these results indicate a strong demographic segmentation (Phillips, 2007) of the target market for this book which should be taken into account by the publisher. For German readers, there is no clear tendency visible. Some front covers appealed more to young readers, some to readers aged 25-39 and some to readers over 40. To conclude, when judging from the front covers

alone, the results suggest that the target readership for English translations of Chinese banned books is a younger readership under 40 with no gender tendency. For the German translations, the results suggest a possibility of the publishers targeting a male readership of any age. These results are interesting because of the similarities between some of the covers in the two language groups, mainly *Serve the People!* and *Tombstone*. This could suggest that similar covers appeal to a different audience in different countries, which should become clearer in the analysis of the individual covers.

(Non-) Universal Appeal

Publishers of translated literature have to cater to the needs or expectations readers in the target market have (Alvstad, 2012). Therefore, the results raise the question of whether book covers are or can be universally appealing to readers from different language groups. Although only one cover design is used in exactly the same form for both an English and a German translation, many of the other book covers share similarities that allow a general comparison. When looking at the identical covers of the UK and German paperback version of *Serve the People!*, the cover appears to appeal to readers from both English- and German-speaking countries to a similar extent and it evoked similar associations. A similar conclusion can be deduced from the readers' responses to the English and German covers of *For a Song and a Hundred Songs*, where readers preferred monochrome colours and liked the author's photo on the cover. These two examples could indicate that despite a clear geographic segmentation, the psychographic segmentation for some books might be similar as the covers evoked similar reactions, associations and emotions (following Phillips, 2007). In contrast, the results from the similar German and US cover of *Tombstone* showed large discrepancies in book cover appeal, which questions whether a universally appealing book cover can exist. These three examples illustrate that there is no definite answer to the question of whether a book cover can be universally appealing. In some cases, using the same or similar designs seem to work, however, in some cases this strategy clearly failed. Similar appeal might be possible if the books fall into similar market segmentations, especially psychographic segmentation. Generally, these results suggest that the adaption of book covers is not only necessary but also has to be specific to every cultural context which confirms Watts (2000) taking into account the segmentations of the target market (Phillips, 2007). Creating a cover appealing to a general "Western readership" might be cost-efficient, it may fail, however, from a marketing perspective in some cases. It would therefore be necessary to research and analyse the potential readership as well as the cultural context the book will be situated in to ensure a suitable cover is chosen. These results show that there is a need to create

covers specific to the target market and shows that contrary to what Webby (2007) stated, not all publishers seem to be aware of the importance of a (cultural) adaption of a book's cover to the new target market.

Colours and Stereotypical Images

The paratextual analysis of the book covers has shown that publishers appear to use a range of common strategies when translating a book cover into a new cultural context. The most obvious of these strategies is the use of colours and imagery that indicate a stereotypical viewpoint. Red seems to be the colour of choice for a cover of a book translated from Chinese, either as background or in font and illustration. The use of red does not appear to be influenced by the book's content and does not always match it. The associations the publishers attempt to create are probably China and communism, which could be achieved in other ways, but using red on the cover seems to be the simple way to achieve this result. In addition to this, red is also often associated with love and lust in the Anglo-Saxon language group (Aslam, 2006) as well as love in German-speaking countries (as pointed out in section 2.2.1) and is therefore an obvious choice for the cover of *Serve the People!* The results from the preliminary study show that love and romance have been a common association for covers which featured red (for both English and German speakers). Although this was certainly enforced by using the image of a kissing couple on the front cover, at least subconscious association of red with love is highly likely. Adding yellow to the cover seems to be based on the same stereotype aiming at evoking similar associations. Red and yellow together will most likely remind the reader of the Chinese flag. Adding yellow or using yellow as the main colour on a cover could be considered risky depending on the book's content when looking at the associations with the colour, which are, according to Aslam (2006) happiness and jealousy (Anglo-Saxon) and envy and jealousy (Germanic). The covers which use yellow extensively are the German hardback edition of *Serve the People!* and the Australian edition of *For a Song and a Hundred Songs*, in neither of which jealousy could be considered to be an important or overarching emotion in the storyline. This means, using yellow as one of the main colours on these covers could give the readers a wrong impression of the content or emotion of the book even if it creates correct associations with China (especially when used in combination with red).

The use of stereotypical colours helps readers to make first assumptions about a book's content and settings, which is confirmed by the main reader-response study. The associations with red that readers named when looking at a cover that contained red

backgrounds, illustrations or writings were: China, the Chinese flag, communism, socialism, chairman Mao and patriotism. In these cases, the readers clearly stated the association with red, rather than with the entire cover design (e.g. "...the red seem to be significant in all three [covers] and associated with communism."). The colour choices which translate the setting and content, despite or because they are stereotypical, can be seen as a form of intersemiotic translation, as they translate text by using a non-verbal sign system (Jakobson, 1959). In this study, colours on covers seem to translate the setting, which Sonzogni (2011) names as the third most important intersemiotic translation of the book. Nevertheless, some of the German readers who named one of the above associations, also said that the use of such a stereotypical colour was too blunt ("zu offensichtlich") and not very appealing. How influential the choice of colour and images is on the perception of the book is illustrated by the readers' comments on the Australian version of *Serve the People!*. The responses show that the cover design of a book can also indicate (rightly or wrongly) the quality of the book, to some readers it may suggest a quality read, or it may look like a trashy, cheap book. The reader-response study revealed that readers disapproved of the choice of stereotypical colour that mismatches the content, for example the red used for the German and the US cover of *Tombstone* was too bright and cheerful for such a serious topic. One reader mentioned that a grey or black cover would have been more suitable.

The results revealed that the bright red and yellow cover of the Australian version of *For a Song and a Hundred Songs* was not perceived as stereotypical, orientalist or even racist, but was described as typically Chinese by one reader (in contrast the US version was described as borderline orientalist by that reader). As Eco (1996) points out, culture conditions the perception of colour which means that there is no universal effect of colours on people and therefore colours can evoke the opposite emotion or reaction in a person than in the majority of people. Taking into account that the Australian cover heavily uses stereotypical images and displays the Chinese author with bright yellow skin colour, this reaction is somewhat surprising. Following the paratextual analysis, it seemed more likely that the Australian cover would evoke more adverse reactions and would be described as at least stereotypical, if not racist by the readers. It is possible that the use of bright, primary colours distracted the readers somewhat from the actual illustrations which could have led to the readers not making any negative connotations.

Stereotypical imagery is used on some covers in this study: traditional Chinese pottery, Chinese soldiers, stars or the communist red sun are included in several covers. The publishers' aim here is obvious: by using these images or symbols, the readers will make an instant connection to the book's origin and setting, labelling it clearly as coming from China. Thereby, the current beliefs and perceptions of Chinese literature and its attendant culture by the target readership are confirmed or strengthened, as mentioned by Lee (2015). It has to be noted, however, that in these cases, in contrast to many book covers you can find in a book store, these stereotypical images did have a connection to the content in most cases and were not just added to mark the book as "from China". Taking into account to what extent stereotypical colours and imagery were used, it is somewhat surprising that only two covers use Chinese characters and one cover uses Pinyin as a means to exoticise the cover. Since the majority of the potential readership will not be able to read the characters or understand the meaning of the Pinyin, it was interesting to see whether the readers in the study find the addition of Chinese characters and Pinyin interesting and intriguing as well as frustrating because they cannot read them. In any case, using Chinese characters on a book cover will enable the reader to make a connection with China or East Asia in general. Some of the English readers described the Chinese characters on the UK version of *Tombstone* as mysterious, interesting and intriguing and therefore very appealing and mentioned that they would like to know what they meant. Not being able to understand the Chinese characters did not seem to frustrate them. In this case, the Chinese characters seem to fulfil their function of attracting readers by creating a more exotic, and thereby intriguing, book cover. In terms of making a book appealing, the results of the reader-response study suggest that including Chinese characters in the cover design might be a valuable tool.

Praise

Another paratext often employed on the covers is the inclusion of praise. This can be in the form of a praising statement from a well-known author or newspaper, as well as mentioning that the book or the author has been awarded a prize. As mentioned previously, using quotes from famous authors, mentioning a prize or a radio appearance could be considered an alpha strategy (Knowles and Linn, 2004) which aims to influence the approach motivation of a consumer or reader (Fennis and Stroebe, 2010). The main function of praise on the front cover is to emphasise the quality and/or importance of author and/or work. The results have shown that praise on front covers is a double-edged sword: if the praise fits the overall impression the readers have, runs in tandem with the associations evoked and matches the overall cover design, the readers consider praising

headlines and statements to be appealing. In cases where any of these clashed, the readers found the praise irritating and decreasing the appeal. The mention of a prestigious and credible prize can furthermore enhance the credibility of the book (as seen in the responses to the paperback edition of *Für ein Lied und hundert Lieder*) and can function as a proof of quality. If the praise, however, does not match the overall impression of the cover and clashes with the associations it evoked, the readers regard the praise as off-putting and decreasing the appeal of the book. In addition, the reactions of the German readers suggest that visual appeal of the praise is an important factor and choosing the wrong colour, position or font could bother readers and impact on the cover's overall appeal. Here it is possible that both the colours and the typography evoked associations which did not match the readers' associations with the cover. It is therefore important that the publishers consider the overall theme of the book and the content, and tone of the quote or phrase to be used. A headline saying the writer is an acclaimed satirist clashes with a sinister cover that includes elements alluding to blood spatter and makes the book cover therefore generally less appealing as seen in the responses to the UK edition of *Dream of Ding Village*. In the worst case, the readers' expectations could be disappointed and they could decide not to take a closer look. This suggests that the harmonic interplay of different paratextual elements is more important than the strength or attractiveness of the individual paratexts.

Intersemiotic Translation

The analysis and the reader-response study show that most of the books included in this study use intersemiotic translation on book covers to a varying degree (see Section 2.1.1 for intersemiotic translation). The strongest intersemiotic translation in terms of content and setting were those covers of *Serve the People!* which show the kissing couple. Strong or weak intersemiotic translation refers to how close or distant the visual is to the book's content, genre, etc. which Sonzogni (2011) describes as integrity between book and cover. That is, a strong intersemiotic translation closely represents the content and genre of the book in the cover design, whereas a weak intersemiotic translation represents only partially or not at all these aspects. The preliminary and main reader-response study show similar results: the expectation that the book is about a romantic love story, mainly created by the kissing couple on the cover illustration of the UK, US, Australian and German paperback versions. However, the book tells the story of a sexual affair, an aspect which the publishers tried to indicate by adding the catchy headline on the Australian cover. For all readers, this cover did not translate the genre correctly but appeared more like a romantic novel with possible political influences. The associations of German readers

with the hardcover version of *Dem Volke dienen* show that the genre of a book can be successfully translated into the cover design: the majority of the readers identified the book as a satire. Other covers in this study were also successful in translating the book's genre into the cover design: these are all versions of *Tombstone* in both languages and all versions of *For a Song and a Hundred Songs* in both languages.

The covers of *Dream of Ding Village* represent the weakest form of intersemiotic translation on the book cover because they did not translate the content consistently (only a few readers could gather from one of the covers that the main topic is AIDS in China). It did, however, translate the setting in one case (the UK version). Based on the study results, whether the readers gathered from the information provided by the paratexts that the book is fictional, cannot be said for sure. However, the positive reception of the UK cover shows that for readers it is not always necessary to have a clear indication about the content on the cover since a lack of this information can make the book more appealing. Overall, if the book cover creates a certain expectation of the book, which then cannot be confirmed by the content could lead not only to disappointment in the reader but also, in the worst case, to a general dislike of a certain author or publisher.

Typography

Typography seems to be important for readers, because several of the readers who participated in the reader-response study praised the typography, whereas others explicitly said that the typography made the book cover look less appealing. Both language groups mentioned the typography. In general, readers appeared to be influenced by the colours and typography used as well as the emotions and atmospheres the covers evoked. The readers' comments on the choice of typography on the front covers of *Tombstone* back up the suggestion by Williams and Hildebrandt (2013), that typography can convey the message in a subtle manner. In the case of the UK version, the cover implied the tone of the message, not through words but through the chosen typography. The US version, in contrast, uses a sans-serif capital typography, which was certainly aimed at matching the genre and content of the book. Although it might be successful in this aspect, readers' comments show that this matching was achieved at the expense of appeal, which is an aspect not to be disregarded since attracting readers is the main function of a book cover. This is a very important finding since only 4 out of 25 English readers and 3 out of 25 German readers stated at the beginning of the reader-response study that the cover design influences their decision to buy or read a book. This could suggest that readers subconsciously decide whether to take a closer look or not based on

visual appeal, associations and emotions, which are probably evoked unnoticed by the reader, rather than making this decision based on the author's name or title, for example. The typography could be a significant contributor, since it, as Van Leeuwen (2005) states, can create meaning with the form of the letters as well as with colour, texture or three-dimensionality. In other words, readers could be manipulated into taking a closer look at a book by a compelling paratextual framework, while they believe they do this by their "illusory free choice" (Handelman, 2009, p. 6)³⁵.

8.4.1 Serve the People! and Dem Volke dienen

Looking only at the appeal ratings from the reader-response studies, the potential target readership for the Australian version might be males over 25, for the US version males under 40 and for the UK version readers under 40 with a slight tendency towards males. For the German hardcover edition, the target audience could be males of any age, and for the paperback edition females under 25. A possible reason for this disparity, despite the identical title and the same content of the book, might lie in the themes emphasised in the cover design. The hardcover version shows underpants with Mao's portrait on them, which seems to appeal particularly to male readers. The paperback version shows a couple in love, which generally indicates a genre and topic that appeals more to women than men. Before reading the book, the readers might suspect that the book is about a love story and at this point the cover will still be an icon for them. As soon as the readers read the blurb, they will understand the connection between cover and content which means the front cover will then turn into a symbol (Edwards, 2003). It is interesting that the (fairly) similar front covers of the UK, US and German paperback version appeal to different genders. The English versions appeal more to male readers, but the German version appeals more to female readers. This is especially significant, because the title, which could potentially influence the overall appeal of the front cover, appealed most to female English readers and male German readers. Therefore, it appears that the interplay of title and cover design can change the appeal of the title itself. It is possible that the title isolated from the cover did not make much sense to the readers (and was therefore rated as unappealing) but was then combined with a complementary cover design which led to an overall appealing cover. In turn, an appealing title might have been added to an unappealing or deemed as contradictory cover design which then led to a decrease of the overall appeal. The preliminary study already showed that the appeal of the title does not seem to influence

³⁵ See Section 3.1.1 for a more detailed discussion of psychological manipulation.

the appeal of the cover. It is more the associations the two evoke that influence the appeal of the other. The fact that the title does not appeal to all readers further emphasises that “western” cultures are not all the same, nor are their readers, and that male/female stereotyping is unreliable.

The analysis of the readers’ responses to the three English covers shows a clear pattern which explains the lower appeal ratings for the Australian cover. A number of people explicitly stated that the Australian cover looked cheap, unappealing and trashy, and less serious or well-written. One reader compared the cover to those published by Mills & Boon, with the addition that *Serve the People!* would be set in a totalitarian regime. In contrast to this, the UK and US covers were compared to “classics”, published for example by Penguin. The reader said that this reminiscence was what initially drew them in. Both these associations were probably made instantly or within a few seconds which demonstrates that covers can provide visual information enabling the readers to choose either to take a closer look or not within a very short time frame (Sonzogni, 2011). This statement shows that a specific style can not only stand for or remind readers of a specific publisher, but it can also indicate the style of the book and its potential quality or the lack of it. These readers’ comments could also be an indication of “behavioural variables” (Phillips, 2007) indicating the readers’ preferences for books published by a specific publisher (in this case Penguin) or avoidance of books published by a certain publisher (in this case Mills & Boon). The fact that the readers have been attracted by the book because they thought it was published by Penguin could also indicate brand loyalty. Furthermore, by indicating the quality of the writing to the reader, the cover fulfils one of the functions a good jacket should do, according to Salter (cited in Hansen, 2005).

As mentioned above, covers are not necessarily universally appealing. This is demonstrated by the different reactions of English and German readers to the pop-art style of the *Serve the People* cover: English readers found it appealing whereas German readers were divided and described it as modern and appealing as well as boring, dull and outdated. This example demonstrates that finding a universally appealing cover is not only difficult for readers from different countries but even for readers from the same country. An interesting aspect emerges when comparing the readers’ associations with these three very similar covers. German readers associated politics or a political background to the story more often than the English readers did. These associations are what Kratz (1994) describes as “telling as allegorical narrative” which involves

highlighting issues and topics of politics and power, among others. It is possible that the reason for this difference lies in the different education systems and the education levels of the individual participants, i.e. the “culturally-specific readership” (Watts, 2000) of the books. An additional study investigating the social and cultural setting of the readers in more detail, in addition to their associations with the book covers, could potentially indicate reasons. The readers’ responses to these four covers show how the style of the front cover design can indicate (in this case wrongly) the content of the book and how they can create expectations of the book’s style and quality. Furthermore, a similar design does not necessarily appeal the same to readers from different countries and cultures and “reusing” a design which was successfully selling in one country does not mean that it will do so in another.

8.4.2 Tombstone and Grabstein

When thinking of a potential readership for the translations, both English translations appeal almost equally to female and male readers, with the difference that the UK version appeals most to readers under 25 and the US version most to readers under 40. The German translation, in contrast, appeals most to male readers either under 25 or over 40. This is interesting, especially since the US version of the book and the German version are very similar in design (both are red with black typography). From the results of the reader-response study alone, it is not possible to answer the question as to why this is the case. Follow-up interviews could potentially have provided an insight into the readers’ reasoning. Possible explanations could be the groups’ demographics, the readers’ educational or cultural background, etc.

The discussion of the titles in Section 8.2 has shown that many of the associations with the front covers of *Tombstone* and *Grabstein* actually relate to the titles, subtitles and typography. This does not come as a surprise since the US and German cover are typographical covers with no other design elements. The UK cover, in contrast, includes the Chinese title in Chinese characters, which has triggered additional associations with China. The smudged writing of the Chinese characters was reminiscent of blood and a symbol for death for several readers, which further emphasises Van Leeuwen’s (2005) claim about how texture and colour can influence the meaning-making of typography.

The background design reminded one reader of an actual tombstone, which matched the title of the book. As before, following Edwards' (2003) theory, the cover will at this stage still be an icon and will only turn into a symbol once the reader finds out that the book is meant to be a tombstone for the author's father. As shown in Section 8.4, the fact that the readers were not able to read/understand the Chinese characters did not impact on the appeal, but had the opposite effect: The readers were intrigued by its meaning. Adding the meaning of the characters, possibly with some background information on one of the pages before the title page might be a valuable additional paratext that could help to bridge cultural differences between book and reader. It could further help to create a deeper understanding and more interest in the readers.

The analysis of the associations of German readers with the cover of *Grabstein* shows that there does not seem to be a general consensus as to whether bright red is appropriate for a serious topic, especially if the book is set in China. Some readers considered the colour to be matching the topic because it was reminiscent of blood and aggression. Other readers criticised the choice of colour, saying that despite the fact that they associated China and communism with this colour, it was too bright for such a serious topic. These different perceptions might have their grounding in the associations with colours which can be positive or negative, as demonstrated by Aslam (2006). For red, the common associations are both anger and love, which are very opposite feelings. Therefore, the red cover might have evoked a negative association which matched the general topic of the book whereas for readers who associated a more positive emotion with red, the colour would have appeared inappropriate. The English readers did not criticise the red colour when looking at the US cover. They merely commented on the reminiscence of China and communism. Here again, for most Western readers communism would probably a more negative than positive association which would match the topic of the title. As with the covers of *Serve the People!* before, similar cover designs can be perceived very differently even within a group of readers who share many cultural and social values.

The appeal ratings suggest that German readers prefer a simple, more textbook-like cover design for *Tombstone*, whereas English readers prefer a more visually diverse and less typographic cover. This becomes evident in the fact that *Grabstein* was the second most appealing in the study for the German readers, whereas the US cover appealed least of all front covers to the English readers. The UK cover, in contrast, was rated as the second most appealing front cover by the English readers and generally described as attractive,

interesting and appealing. One reason why the English readers disliked the typographic cover of the US version might be the use of capital letters for the title and subtitle. One reader clearly stated that this is very unappealing. Although the reader(s) did not clearly say it, it is possible that the general lower readability of capital letters impacted on the overall appeal of the covers. It would be interesting to retest the cover with the title printed in an upper/lower case font and compare the readers' responses to those of the original cover.

In all cases, the book cover fulfilled more or less the function of indicating genre and content. Only the UK version evoked in a few cases wrong expectations to the genre, because many readers expected a historical fiction book, or even a light-read, rather than a historical, serious non-fiction work. In terms of sales and marketing, on the English market, the UK cover would be more likely to attract more readers, potentially resulting in higher sales than the US version if both were sold in the same market. The cover would therefore fulfil its most important functions, namely to attract readers and encourage a purchase (Phillips, 2007). It has to be noted, however, that the higher appeal of the UK version is mainly based on a misperception of the book's genre and style resulting in expectations the book will not be able to fulfil, which could potentially lead to a number of disappointed readers. The German readers appeared to be overall satisfied with the cover design, however, since it is the only version on the market, they did not have other designs to compare it to. It would therefore be interesting to see how they would judge the UK cover and whether this would influence the appeal of the existing German cover. Given the choice, German readers might, as the English readers, prefer the less serious design of the UK cover. These covers are another example of the lack of universality in book cover designs and colour choices. This emphasises the importance of the translation of paratexts not only from a Chinese cultural context into a generic "western" one but into the cultural context of each individual language the book is translated into, as suggested by Watts (2000).

8.4.3 For a Song and a Hundred Songs *and* Für ein Lied und hundert Lieder

Judging by the results of the reader-response studies, the potential target audience for the Australian version is significantly male and under 40. For the US version, in contrast, the target readership seems to be female, but equally 39 and younger. For the German translation, the covers of both editions appealed most to male readers, however, the hardcover version appealed more to readers over 40 and the paperback versions more to

readers under 25. It is surprising that the two German book covers appealed to different age groups, because they are similar with only one difference: the paperback edition features a sticker saying “Friedenspreis des Deutschen Buchhandels” [Peace Prize of the German Book Trade], which could suggest that young readers are more attracted by books that have won prizes than older readers.

As suggested in the paratextual analysis, the photo of Liao Yiwu on the front cover might be able to establish a connection between the reader and the author and prevent the author from being an abstract and faceless name. This was confirmed by the reader-response study and especially for the US cover where Liao looks directly at the readers. This resulted in a more personal and direct connection with the readers which removed the barriers between reader and author. That a photo or illustration of the author on the front cover alone is not enough to establish such a connection is shown by the readers’ comments on the German and Australian cover, where Liao looks into the distance rather than at the reader. This was perceived as too neutral, impersonal and neither very expressive nor intriguing. These findings are very interesting because they show how influential the direction of gaze of the person displayed on the cover is and how this might impact on several aspects. If the gaze is directed into the distance rather than directly at the reader, the connection between book and reader is much weaker than if the gaze is directed at them. Therefore, in order to capture the reader’s attention and create intrigue, publishers should aim to choose photos and illustrations on which the person looks directly at the potential reader. This is probably most important for biographies and autobiographies, where there is a direct connection between the story and the person on the front cover. In contrast to the previously discussed front covers, this cover is likely to be perceived as an icon, since it’s a clear depiction of the object, which is unlikely to turn into a symbol once the readers have read the blurb or even the entire book. Therefore, as per Berger’s matrix (2014), this front cover would be and remain an icon to the readers since it does not require a learned connection which would make it a symbol.

The examples in Section 7.4.3 illustrate that colours and images evoke specific emotions and thereby create expectations. In the case of the German translation of *For a Song and a Hundred Songs*, the monochrome cover gave the readers a feeling of depression and seriousness, which was perceived as appropriate to the book’s content. This is probably linked to the general association of black with grief (Aslam, 2006) which will probably impact on the perception of monochrome colour. The Australian version with its bright

colours, in contrast, alluded more to fiction writing, which was deemed unsuitable for the testimony of a former prisoner by some readers. As with *Tombstone*, readers might have made positive associations with red (such as love and lust) and yellow (happiness) (Aslam, 2006) which would not have matched the topic of the book. The analysis of the reader-response study results shows a possible conflicting paratextual framework of the Australian version of *For a Song and a Hundred Songs*: the title and the image of the author suggest a serious autobiography, whereas the brightly coloured cover designs suggest the opposite. This conflict is indicated by the statement of a reader saying that the image on the cover indicates an autobiographical non-fiction book. What the Australian cover did achieve, however, is establishing associations with communism and China, which was mentioned explicitly by readers. This shows that there seem to be established associations, apart from emotions, with certain colours, especially if they appear in a specific setting. The readers were aware that the book was written by a Chinese author (indicated by both the author's name and the book title), which probably influenced the triggering of associations with communism and China. Nevertheless, from an intersemiotic point of view, the cover translated successfully the setting of the novel (Sonzogni, 2011), whether it was deemed consisting of unsuitable colours or not. Therefore, choosing colours that match the general atmosphere of the book's content as well as the genre, seems more important to readers than an eye-catching design with stereotypically Chinese colours.

The most surprising finding is that only one reader has reacted to the extremely stereotypical depiction of Liao on the Australian cover. It was expected that at least some readers might deem this illustration of a Chinese author with bright yellow skin as inappropriate. However, the only response to this aspect was the complete opposite. One reader commented on Westernisation and Orientalism, stating that the US cover was borderline Orientalist because of the faded red post-it notes. The Australian cover, in contrast, was described by the same reader as fresh and authentically Chinese. The reader's comments do not give any further information that would allow a conclusion as to why they perceive the US cover as borderline Orientalist. When looking for indications why readers did not perceive the Australian cover as too stereotypical or inappropriate, a possible reason emerges: the two bright colours (red and yellow) might trigger instant associations with China and communism, which then might lead to the readers not questioning the cover design further. This might be especially the case in a reader-response study, where the time the readers spend looking and considering a book cover

is very short. Furthermore, the fact that red and yellow are often used on book covers of translated Chinese literature might have led to readers not considering these colours as stereotypical, but typically Chinese instead. This could be influenced by the readers' reading habitus, i.e. their particular disposition towards the Chinese culture (Lee, 2015). It is possible, for example, that the readers have seen or read translated Chinese literature before which had similar colours in which case the reader would consider this colour choice as normal for this type of literature. This can be classed as a form of manipulating readers' perceptions and opinions.

To conclude, the most important aspects are that the colour choice for the front cover can not only be suggestive of setting and content but also, when ill-chosen, be off-putting and confusing for the readers. In addition, a photo of the author alone is not necessarily enough to establish a personal connection with the readers, since this is highly dependent on the direction of gaze. The results also show that a reader-response study might only be able to survey instant associations with covers or colours and that a more in-depth study, which gives the readers more time to look at the covers, would be needed to allow for deeper interpretations of cover designs. In addition, conducting follow-up interviews after the readers filled in the reader-response studies would offer the opportunity to gain a deeper understanding of the readers' answers and their reasoning behind them.

8.4.4 Dream of Ding Village and Der Traum meines Großvaters

When analysing the reader-response study results, there does not seem to be a significant gender difference for the two English versions of *Dream of Ding Village*. Generally, female readers found the covers slightly more appealing than male readers. The age ranges to which the versions appeal are different: the UK version appeals most to those 40 and older, whereas the US version appeals most to readers under 25. However, there is generally no clear indication as to what age the target audience could be. The same seems to be the case for *Der Traum meines Großvaters*, which appeals slightly more to males than females and generally to readers of all ages. It is possible that all three covers favour neither female processing through detailed elaboration nor male schema-based processing but instead might motivate readers to engage in detail-sensitive processing strategies (Meyers-Levy and Maheswaran, 1991). If this were the case, the required processing strategy might have influenced males and females to a similar extent and it might be possible that if the title favoured either the male or the female processing strategies the cover might have appealed more to one gender than the other.

The low number of people identifying the red AIDS ribbon on the cover of the US version correctly as well as the misidentification of the ribbon as the pink breast cancer ribbon by some readers is surprising. Thinking about the presence of the red AIDS ribbon in the media on/around World AIDS day, a higher score was expected. As a paratextual element, the AIDS ribbon was probably meant to fulfil both a navigational and an interpretive function, guiding the readers when approaching the book as well as suggesting a certain way of reading and interpreting the text (Birke and Christ, 2013). These examples show the difference of meaning the AIDS ribbon has to the readers. Following Peirce and Buchler (1940), for those who did not recognise the AIDS ribbon at all, it simply was an icon showing a red ribbon. For those who recognised it, it was both an icon and a symbol (for World Aids Day). In addition, for those readers who said it reminded them of the pink breast cancer ribbon, it remained an icon. It is possible that once the readers know that the book is about an AIDS epidemic, they are able to recognise the ribbon as a symbol for AIDS. This requires, however, that the readers have come across the ribbon and its meaning in the past, and just needed a reminder of its symbolism. Therefore, it is likely that the red ribbon just remains exactly that to those who have never come across it in an AIDS-related context.

That a cover can have a high degree of suggestiveness is shown by a reader's response to the UK cover of *Dream of Ding Village*, which was perceived as suggestive of people. This can possibly be traced back to the homely feeling created by the cover design and imagery used, indicating human presence without actually showing a person on the cover. The case would have probably been different if the kitchen and the kitchen object on the cover had been covered in a layer of dust, which might have only suggested a human presence in the past. In contrast, the US cover, which shows 10 people, was not perceived as suggestive of people. It is possible, however, that this response was too "obvious" for the readers and therefore did not spring to mind or was named directly. Some of the associations, however, show a degree of suggestiveness and relate to human presence, such as cooperation and community triggered by the 10 people on the cover. This shows that a book cover can not only evoke emotions and associations with concrete places, objects or historical events but also values. Depending on whether the values match the values of the potential reader considering the cover, this can make a cover either more or less appealing, indicating the importance of psychographic segmentation of the market the book will be sold into (Phillips, 2007).

Taking the different associations and the paratextual analysis of the different translations of *Dream of Ding Village* in both languages into account, the most successful book cover in terms of creating interest and intriguing readers is the UK version. Most readers perceived the cover as pleasant and appealing, creating an emotional atmosphere that matched the impression they got from the title. The contrast between the peaceful, homely setting and the blood spatter especially was described as making the book interesting. Less successful was the US version, which was described as fairly appealing by most readers, but was not as intriguing as the UK cover. Furthermore, the displayed AIDS ribbon was only identified by one fifth of the study participants, which means that this paratextual element failed to indicate the book's content in most cases. Since the AIDS ribbon is the only paratext on the cover that indicates the content (but fails to do so) the whole cover could be considered to have failed one of its main functions, namely to represent the content (Sonzogni, 2011). However, those readers who successfully identified the AIDS ribbon were able to perceive the cover as allegorical narrative which the publisher used to "tell a particular kind of story, highlighting issues urgently relevant in the wider political context of our times" (Kratz, 1994). The German edition had the least successful book cover in terms of indication of the book's content since many readers did not consider the cover as indicating the content or matching the title very well. Although some readers did find the cover appealing and alluding to the book's content, since they are a minority, the cover should be judged as overall having failed to fulfil its main function, which is to attract readers (Phillips, 2007).

The results of the German reader-response study show that most of the associations evoked by the cover design were negative, which was possibly the reason for rating this cover as the second least appealing. Some readers noticed that the cover design and the title evoke different associations, which was commented on as misleading and confusing. This illustrates how mismatching associations impact on the appeal of the packaging of a book and further emphasise the importance of a working paratextual framework. For some readers, however, this seeming clash of associations sparked creativity and imagination, which can be seen in some of the comments. For some readers, the clash might symbolise the grandfather's wish to break out of uniformity or to not be part of a machine; that it symbolises individuality in the context of political uniformity. These two comments are very important because they show that clashing associations with individual paratexts do not always and necessarily lead to confusion and a less appealing cover. They can also be a source of imagination when the readers try to make sense of

their meaning. It does, however, equally show that the paratexts work together since only their combination sparked ideas the individual paratext would not have done. Therefore, it seems that choosing paratextual elements which evoke potentially clashing associations can be a double-edged sword: it might repel some readers while attracting others. Here, the publisher has to estimate which groups are potentially larger or whether it might be worth losing some potential readers while attracting others.

8.4.5 Conclusion

Both the analysis and the reader-response study results demonstrate how influential and manipulative front covers can be. They encompass a number of functions and fulfil them more or less successfully. If they are successful, the reader gets an idea of the topic and setting of the book, as well as possibly style and genre. If they are not successful, the readers are unsure of the topic, setting and style, or even misidentify the book as something it is not (e.g. mistake serious non-fiction for historical fiction). This can work in both ways: it can increase the appeal and intrigue the readers, but it may be possible that the readers approach the book with a completely wrong impression, which could lead to disappointment. In this study, the book at most risk of disappointing readers is the UK version of *Tombstone*, which some readers expected to be a historical novel, fiction or light-read, which is very different from its almost academic style and serious topic. The results of some books show that the mismatch of associations evoked by cover and title can have different effects. On the one hand, it can confuse readers and can therefore be judged as misleading making the cover overall less appealing. On the other hand, it can spark ideas and new associations during the meaning-making process the readers go through when considering the title and the cover together. Nevertheless, both cases illustrate the importance of paratextual interplay, i.e. the interaction of paratexts and their impact on each other (see Section 8.6), and its possible impact on the readers' opinions. From a visual point of view, most of the covers remained icons for the readers, since they are yet to read the books, which would allow the covers to become symbols for them. In terms of individual elements, the AIDS ribbon was an icon to most readers, but for those recognising it, it was also a symbol. Another icon, which remained as such for all readers, is the Chinese characters 墓碑 *Mubei* on the UK cover of *Tombstone*. None of the readers spoke Chinese, which means that none were able to read the characters and understand that they mean "Tombstone". Therefore, they only remained an icon (Chinese characters). Finally, a biography or autobiography depicting the author (or the subject of the biography) on the cover means that the cover is most likely to be, and remain, an icon for

the readers. An icon, as per Peirce's definition (1940), is a clear depiction of the object which does not require the viewer to learn what the icon depicts as a symbol does. The only time where a cover like this would become a symbol would be when a reader would not make the instant connection between the person on the cover and the subject of the book and would only learn later on that the person on the cover is indeed the one the book is about. However, since the connection between a person on the cover and the subject of the book should be very obvious, the occasions when this cover turns into a symbol are expected to be limited.

The results of the studies also show how front covers can be used to manipulate readers. They can make a book look intriguing and exciting and interest readers in a topic or genre they are normally not interested in. This shows that a book cover can be as influential as advertising which has a strong persuasion function aiming to change the responses of the consumers (Fennis and Stroebe, 2010). In this context, the covers changed the readers' responses to a certain genre or topic which would have previously been negative and is now positive illustrating that a persuading paratextual framework might be able to broaden the readership for a book. When compared to praise on covers, a front cover might not be as able to manipulate the reader as praise is, since its appeal is highly dependent on the readers' preferences for colour, style, etc. However, if the reader finds the cover visually appealing, a cover could manipulate the reader and make them think they want to read or buy the book, even if the content might not be very appealing. This is further proof that the cover would almost fulfil the function of an advertisement, which creates a need in the reader which they were not aware existed (Handelman, 2009). To conclude, the analysis of the reader-response study results relating to front covers suggests that paratextual interplay is of great importance for the appeal of a book cover. Praise not matching the impression of a book seems to decrease the overall appeal as much as a colour being deemed inappropriate for a genre or topic does. Furthermore, as explained an effective paratextual interplay is able to manipulate and persuade readers, possibly as much as advertising does.

8.5 Back Covers and Blurbs

The paratextual analysis of the blurbs has shown that many blurbs contain similar information and that there seem to be differences in terms of content between fiction and non-fiction books. As outlined earlier in Section 6.3, language in advertising has the tendency to be value-expressive and efficient (De Mooij, 2011), and the same tendency

can be seen in the blurbs. Many blurbs use memorable and expressive words, emphasising quality aspects of the works. By using language with these attributes, the content is more likely to stick in readers' minds and makes it easier to remember.

General Appeal of Back Covers

In general, most back covers in this study appeal more to female readers than to male readers, which is visible in both language groups. Whereas the difference in appeal in the German group is only marginal, the difference in the English group is more significant. The trend of greater differences in appeal in the English group is also present when analysing the results by age. Most back covers appealed most to readers under 25 and readers between 25 and 39. Especially the difference in appeal between readers under 25 and over 40 is significant for some of the back covers. As with the analysis by gender, the German group is much more homogenous than the English group. There does not seem to be a general trend and the differences are not particularly significant: some back covers appeal most to young readers, some to readers aged 25-39 and some to readers over 40. From these results, it seems that the English target audience for Chinese banned books in translation might be young females between 25 and 39, whereas the German back covers appeal to a larger target audience, with only a slight tendency towards female readers. These results give an indication of the demographic segmentation of the target markets (Phillips, 2007) as well as of the readership publishers might be, or should be, targeting.

When analysing the results of the reader-response studies, there is no clear evidence as to why some back covers are much more appealing than others. One influential factor could be the choice of background colour. For the English readers, the three most appealing back covers all use light background colours (e.g. white, beige), whereas the three least appealing back covers are all red. There are, however, three covers between these, which are red, black, and blue and red. The colours are almost reversed for German readers, where the three most appealing covers are yellow and red (twice), followed by two white, one black and another white back cover. These results could suggest that there is a general trend in preference of background colours, but the sample in the reader-response study is too small to make a definitive claim about this. Since colours are certainly only one of the many factors influencing the appeal of the back cover, it is probably not determining the overall appeal, but can, in addition to verbal paratext, influence the attractiveness of a back cover.

In addition to colours, a possible correlation of front cover appeal and back cover appeal could have been suggested. However, when analysing the results, such a correlation does not seem to be present. Therefore, it is more likely that the influence of the front cover appeal on the appeal of the back cover is minimal. The same seems to be the case for titles and back covers, where the results equally do not support the theory of correlation.

Praise, Importance, Quality and Genre

The analysis has shown that all works include words or phrases that praise the book's or author's quality or importance and many blurbs also include information on the book's style or genre. The reason for this praise is obvious: even if the reader has never heard of book or author before they take a look at the book and its blurb, they should instantly get the impression that this book is of high quality and worth reading. An equally popular content in this category was the style or genre of the book. Giving indications of the book's style and genre helps the reader to decide whether the book might interest them. For example, if an author is referred to as the Chinese Eugène Ionesco and the reader knows Ionesco's style, the reader gets a clear indication about the style of the book enabling them to make a more informed decision. This applies equally to information on the book's genre: the reader might buy the book because they like to read books of a certain genre, but equally might also refrain from buying it because they do not. As mentioned previously, the publishers might in this case also be using behavioural variables by trying to attract readers who usually buy and read books of the referenced author, style or genre (Phillips, 2007). The least popular category was information on the importance of book and/or author. Emphasising the importance of an author takes one of the main functions of a back cover, namely to introduce the author (Kovala, 1996) further as it exceeds a simple biography. Noteworthy here is the fact that the importance of work and authors is especially emphasised in the non-fiction works but is also mentioned in some versions of Yan Lianke's *Dream of Ding Village*, which is a novel based on a true story. This might suggest three possible reasons. First, for marketing fiction, the importance of work and author is less important than other factors, which is why it is scarcely mentioned or not at all. Secondly, the importance of work and authors is mentioned on fiction works if the topic is problematic or serious, as seen in *Dream of Ding Village*. Thirdly, Liao Yiwu and Yang Jisheng are not primarily writers, but also human rights activist (Liao) and journalist (Yang) and might therefore be regarded as having more influence or as being of greater importance than novelists.

Communism, CCP and Power

Half of the versions in the study contain words of the groups ‘censorship’ (8 out of 16) and more than half contain words on ‘Criticism of the CCP’ (9 out of 16). Both can be found primarily on the back covers of translations of Yan Lianke’s books, which are the two fictional works in the study. This suggests that the banned status is of more importance as a marketing tool for fictional works, probably because the non-fictional works are on very serious and brutal topics which already imply criticism of the CCP without the need of actually verbalising it. For example, the fact that Liao Yiwu is in exile already implies that his writing, or his opinions, do not conform to the Communist Party’s views and the reader can assume that the book is banned in China. Therefore, the results seem to suggest that the explicit mentioning of a book’s banned status in China is only mentioned where the topic and the overall content of the back cover copy does not already imply that the book is banned. On the one hand, mentioning that a book is banned in addition to emphasising that the author is in exile, the book is revelatory or criticise a period of history of a communist country might not only be unnecessary but could also risk of being considered as superfluous by readers. On the other hand, not explicitly mentioning that a book is banned could mean that the readers, when only quickly skimming the back cover, might miss the implicit references and therefore censorship would not work as a marketing tool. In short, a publisher has to decide whether the back cover already conveys the idea of criticism and censorship clearly enough that explicitly mentioning that the book is banned is unnecessary, or whether the criticism and censorship are too implicit that they could be missed by readers in which case censorship should not be used as a marketing tool.

Moral and Awareness Raising in Blurbs

The paratextual analysis has shown that the use of words in this category is highly dependent on the book’s content, e.g. the translations of *Liu si – wo de zhengci* (*For a Song and a Hundred Songs/ Für ein Lied und hundert Lieder*) primarily use words relating to the content rather than the raising of awareness, whereas the translations of *Ding zhuang meng* (*Dream of Ding Village/ Der Traum meines Großvaters*) use words which can be categorised into two sub-categories (“death” and “strong adjectives”). In these cases, the content of the blurbs constitutes an indirect criticism of the system, the government, the Party, etc. making the reader aware of the book’s controversial and critical content, which indirectly suggests that the Chinese leaders might not have allowed the book to be published. Furthermore, some readers might consider these books sources of information on China’s cultural geography, its social conditions and history, whether

this was the intention of the publisher or not, and this might increase the readers' general interest in it (Alvstad, 2012).

Capturing Attention

When analysing the blurb for the publishers' attempts to grab the reader's attention, a wide variety of words is used. Words which belong to the group "Death" can be found in eight blurbs, those about sex or love are present in seven blurbs but more than half of the blurbs (9 out of 16) include words or phrases which can be allocated to the group of strong adjectives (e.g. sensational). Overall, most blurbs use words which fall under the category of attention-grabbing, most likely in order to make the blurb fulfil its function: to persuade the reader to purchase the book as well as giving them the impression that the text speaks to them (Waring, 1995). This is reminiscent of Kratz's concept of telling as lure which she applied to front covers (1994) but possibly also applies to back covers.

Interestingly, the blurbs of the different translations of the same source text are fairly homogenous, i.e. their word choice is fairly similar across the different versions. One example is the different versions of *Serve the People!* where all blurbs use words like sex, sexy, erotic, etc. This could mean that they intend to target a similar audience, however, as the results of the reader response study have shown, the target audience of the English translations could be different to the target audience of the German translations.

8.5.1 *Serve the People! and Dem Volke dienen*

Judging solely by the appeal rating for the back covers and blurbs from the reader-response studies, the potential target readership of both *Serve the People!* and *Dem Volke dienen* could be female. In general, the tendency towards females is more pronounced in the English group. However, the age ranges to which the individual back covers appeal differ. The UK, AUS and German hardcover versions' back covers all appeal most to readers under 25 and that of the US versions to readers 39 and younger. The only version that appeals quite equally to readers of all ages is the German paperback version.

All translations of *Wei renmin fuwu* comment on the book's style or genre but simultaneously omit any information on the book's and author's quality or importance. Due to the topic of the book, there is a strong emphasis on communist jargon, mentions of Chairman Mao and the CCP in the blurbs. Despite the banning of the book, only some of the versions mention the book's banned status in the blurb. However, it is clear that some publishers highlight censorship to actively market the book and create more interest

in the potential readership. The extensive labelling of the book as “banned” stuck in the readers’ minds, however, since only two readers commented on the increased appeal and interest, it cannot be conclusively said how successful this marketing strategy really is. In this case, censorship could be considered an alpha marketing strategy influencing the readers’ approach motivation (Fennis and Stroebe, 2010).

Apart from mentioning the book’s banned status in China, grabbing the readers’ attention is mainly achieved by the use of strong adjectives (especially in the German versions) and the repeated use of words relating to love and sex. Catchy words and communist jargon are therefore the main means to create interest in potential readers. The results of the English reader-response study were not surprising: It seems that none of the blurbs failed to sell it as “sexy satire banned in China”. Some readers in both language groups criticised this strategy of marketing the book as sexy, which they found too desperate. This could indicate that the publishers might have used this strategy too extensively and instead of making the book more appealing and intriguing, actually created the opposite effect. In addition, one English reader said they preferred the “tabloid-style” to the more traditional back covers of the other two versions but admitted that some readers might not want to be seen in public reading this book. This could indicate a possible dilemma some readers might find themselves in: they might be interested in the book and find the back cover appealing but at the same time might not want to read the book in public. In this case, the overall packaging would need to be so strong and convincing that the readers buy the book regardless of their doubts. These doubts can not only be observed with covers some people might find offensive but also with books which are for a different target readership. This is why the Harry Potter series is published in different editions, and with different jackets, for children and adults.

What stands out for all translations is that only a few readers actually mentioned memorable features that did not directly relate to the blunt word choice, such as that the book offers an insight into Chinese language and culture. This shows that the link between geography and literature (Alvstad, 2012) is present but that the blurbs with their overt advertising of the book as banned and sexy, might have left little room for this link to be dominant or generally for further associations and interpretations. It almost appears as if this message “overpowered” underlying and more subtle messages. The strong and captivating words stuck in peoples’ minds and will strongly influence how they will approach the book and therefore have an interpretive function (Birke and Christ, 2013)

suggesting a specific way of reading the book. This means that if the book is not as sexy, sensational and satirical as repeatedly emphasised in the blurbs, the readers might be disappointed. Therefore, word choice in the blurb is crucial as it creates expectations which the book needs to fulfil in order to not cause disappointment.

The importance of colour choice and design becomes apparent when looking at the Australian back cover, which was criticised for the colour choice which makes it hard for the readers to read the blurb and the dull design. This shows how influential the design aspect is on the overall appeal of a blurb and the importance of legibility which ends when the reader has to focus on deciphering (Williams and Hildebrandt, 2013). Readers might not necessarily notice or emphasise a pleasing and readable design and typography, but they clearly do notice when the design impacts on legibility and appeal. From a sales and marketing perspective, the UK cover seems to appeal more to readers looking for information on the content, whereas the US cover appeals more to readers looking for something sensationalist, possibly indicating different target readerships and psychographic segmentation (Phillips, 2007).

In general, the reactions to the back covers were mostly positive, and the marketing strategy to label the book as banned and sexy was successful in terms of attracting attention and could therefore be considered a relatively successful alpha strategy (Fennis and Stroebe, 2010). Whether it is successful in making the readers buy the book, cannot be answered at this point. The fact that two readers mentioned that the back covers did not confirm the expectations created by the title and the book cover will be discussed in more detail in section 8.6. Overall, both English and German readers elaborated what caught their eye or what they found most memorable before pointing out that they disapprove of the paratext. The reasons for disapproval were diverse, for example they disliked the colour choice or typography, considered the message as too blunt or unappealing or simply disliked the used style and language. The responses to the blurbs of these translations illustrate what Procter and Benwell suggested, which is that readers noticing a paratext does not automatically mean that they also approve of it (Procter and Benwell, 2015).

8.5.2 Tombstone and Grabstein

According to the results of the English reader-response study, the potential target readership for *Tombstone* could be described as being under 40 of any gender, whereas

the results of the study suggest that the potential target readers of *Grabstein* are female readers over 40. This is quite a significant difference for the two different translations and shows how the choice of different verbal and visual paratexts on the back cover of books with identical content can change the appeal to certain groups of readers and thereby might influence the potential target audience. These results could be a strong indication for the geographic and demographic segmentation of the two different target markets (Phillips, 2007).

When comparing the different blurbs of the translations of *Mubei*, there is a clear pattern visible: the emphasis in the blurbs is on the importance of work and author and further on grabbing the reader's attention by using a vast number of words referring to death and starvation. The US version, in addition, has another strong emphasis on communism. Therefore, it seems that the publishers' marketing strategy, on the one hand, tries to attract readers by emphasising the importance of this work and on the other hand emphasises the enormity of suffering caused by the Great Famine. Connecting this with communism, which most likely has a negative connotation for many Western readers, creates a very strongly worded, political back cover. Furthermore, it will create a strong link between geography (China) and literature (the book), giving the readers information on China, its culture, history and politics and by mentioning Mao and communism, and possibly catering for the "assumed needs or expectations" of the target readership (Alvstad, 2012, p. 87).

The significant difference in the appeal ratings for the back covers of the two English versions is clearly visible in the comments regarding the most memorable features. Many readers commented that the US version with its solid red back cover is too scholarly, dull and boring. This could indicate that this blurb might have failed to persuade the readers to buy the book, a crucial function of the blurb (Waring, 1995). Both the German and the US back cover are red, however, in contrast to the English readers, the German readers did not complain about the readability of the blurb, which is very interesting. The reason for this lies most likely in the choice of font and font colour. The German version uses a fairly large serif font in white for the blurb and in yellow for the praise. The US version, on the other hand, uses a rather small sans-serif font in black, which results in a low contrast with the red which impacts on legibility as the readers will have to focus more on deciphering (Williams and Hildebrandt, 2013). It is also likely that the dense text, separated into several paragraphs, is what made the US version look too much like a

scholarly book. Furthermore, the shades of red might be slightly different which makes the German back cover easier to read than the US one, but it could also indicate preference as we have seen that German readers generally preferred the bright back covers over the more muted ones the English readers preferred.

The aspects that both versions emphasised, which was noticed by many readers, was the importance of book and author. Especially the mention of prizes Yang was awarded and the quotes from well-known newspapers attracted the readers' attention. Both back covers fulfilled their informative function (Squires, 2007) by including blurbs, giving the readers information about the content, setting and the personal relationship of Yang with the topic. These were mentioned by the readers in their comments, usually without saying whether this makes the book more appealing or interesting or not. A few readers picked up that the book is banned in China, either in a neutral way by just adding "censorship" as a memorable feature or, in one case, by emphasising that the author must have been at risk just by publishing the book. This shows that implicitly conveying that a book is banned does work and it is not always necessary to explicitly label a book as "banned in China",

Many readers remembered that the book was written as a tombstone for Yang's father which will have been the point when the readers made the connection between title and content and this shows that the meaning-making of one paratext can be highly dependent on another. The overall impression many readers got from the blurb was that that book was emotional, sad and factual at the same time.

In general, the German and the UK version were perceived as pleasant and interesting, whereas the US version did not manage to encourage the readers to read the book. What the German and UK version have in common is that they contain a fairly short blurb and praise with a personal quote from Yang Jisheng. It is possible that this personal quote created a more personal approach of the readers to the book, making the book look less scholarly written from an outsider perspective, but rather like a personal account of someone personally affected by the famine. This means that the quote fulfils an interpretive function (Birke and Christ, 2013). Despite the fact that Yang was indeed affected by the famine, the book is actually a scholarly account using documents and data rather than a personal history. This could mean two things. First that only readers who are interested in a scholarly book will buy the US version but would probably be satisfied with their purchase because it matches their expectations. Secondly, that readers who buy

the UK and German version because they expect a more personal approach to the topic could be disappointed when discovering that the book is actually a heavy, non-fiction read. Therefore, the blurbs of the UK and German versions appears to be more successful in persuading the readers to buy the book and possibly creating sales (a main function of a cover (Phillips, 2007)), but might lead to disappointed readers who might be more wary the next time they see a book from the same publisher. In this case, in terms of behavioural variables, the book would have failed to create or even destroyed brand loyalty (Phillips, 2007). The blurb of the US edition, in contrast, is less likely to attract a large readership, but those deciding to buy the book might be satisfied with their decision. Interestingly, the book was mistaken twice for something it is not. The first time was when English readers thought the book was historical fiction and an easy read based on the UK cover and again here based on the back cover. Therefore, this incorrect impression created by the UK edition's front cover is now backed up by the back cover completely misleading the reader. Therefore, both failed to indicate the genre of the book, which means the cover failed in one of its main functions (Sonzogni, 2011). Despite the relatively high appeal of this packaging and the successful creating of interest in the potential readership, the packaging is selling the book as something it is not, which almost certainly will disappoint at least some of the readers.

8.5.3 For a Song and a Hundred Songs *and* Für ein Lied und hundert Lieder

When looking at the appeal ratings of the English readers, these could suggest that female readers between 25 and 39 are the target readership of *For a Song and a Hundred Songs*. Interestingly, the back covers did not appeal to readers over 40, no matter of which gender. For *Für ein Lied und hundert Lieder*, the potential target audience is very broad, i.e. of either gender and any age, since there are only marginal differences in the appeal ratings of females/males and the different age groups.

The different translations of *Liu si*, with the exception of the Australian version, focus on the quality of work and author in their blurbs, as well as mentioning Liao's imprisonment several times. In all versions, another significant number of words refer to the brutality of this imprisonment, whereas there are surprisingly few words that can be attributed to grabbing the readers' attention. It appears that the publishers seem to try to convince the reader to read the book by praising the work and despite not using catchy phrases and strong adjectives, the repeated mention of Liao's brutal imprisonment will undoubtedly fulfil an attention-grabbing function. When analysing the responses of the English readers,

one aspect becomes apparent. The US cover with its red sticky notes on light blue background appeals visually more to the readers than the solid red back cover of the Australian version. This is also reflected in the appeal ratings, however not as much as one would expect judging by the comments. The reason might lie in the content of the back covers. The US version only contains recommendations, whereas the Australian version features a blurb. One reader said they would flick through the book after looking at the US back cover, although the back cover does not tell anything about the book's content. The praise seems to have captured the reader's attention and the lack of information, which other readers might dislike, created more intrigue. Many other readers, in contrast, expressed disappointment about the lack of information on this cover and praised the Australian cover for including a well-written blurb. So, to summarise, the readers found the US cover visually much more appealing, whereas the Australian back cover generally convinced with its blurb. These results suggest that reviews alone, no matter whether from a Nobel Prize winner or a famous newspaper, are not really sufficient to capture the interest of the majority of readers and fails to encourage them to have a look inside the book. The results also suggest that content alone is equally insufficient to achieve this because readers might be put off by unappealing designs or colour choices that impact on the readability of a blurb (as emphasised by one of the readers with regards to the version from Australia).

The responses of the German readers mainly related to the book's content, but there were a few comments which are of interest. The most important is that the perceptions of the blurb were divided. Whereas some readers explicitly said that they liked the blurb and especially the second paragraph (which uses emotionally loaded language), some readers found the blurb less appealing. One reader said that it was too long, which they found off-putting. Furthermore, three readers emphasised that they found the blurbs on both versions extremely boring. Of these two, one did not finish reading the blurbs because they found the first few sentences already too boring to be engaging. The other reader said they finished reading the blurb but would not have done so in a book shop. These comments are crucial feedback for the publishers as these blurbs seem to have failed all of their main functions. They failed to inform the readers of content and setting since some did not finish reading the blurb. Furthermore, they completely failed to engage the reader and therefore would not have persuaded the readers to buy the book. It is possible that the blurbs did not give the readers the feeling that the book speaks their language which, according to Waring (1995) is crucial to a blurb's persuading function. What many

readers seem to agree on is that the praising headline on the paperback version increased the appeal of the book.

The results from both studies show how important it is for the publisher to strike the right balance between blurb and praise and further giving enough information but still being concise enough to keep the readers' interest. Ideally, the back cover would combine a blurb of medium length with a selection of praise giving information, emphasising importance and creating interest.

8.5.4 Dream of Ding Village and Der Traum meines Großvaters

As with the other three books, the potential target audience for the English and German translations are different. For *Dream of Ding Village*, the results of the reader-response study suggest a potentially female readership aged 25 to 39. For *Der Traum meines Großvaters*, however, the readership is also aged 25 to 39 of any gender.

In the blurbs of the translations of *Ding zhuang meng*, emphasising the quality of author and/or work is the dominating theme compared to most other categories. Therefore, praising book and author are the main means to convince the reader to take a closer look at the work and possibly buy it. In addition to the expected keywords relating to the content of the blurb, some readers noticed that the book was banned in China, and a number of readers commented on the colour choices of the dark UK version. The comments stated that the back cover was too muted, too dull, having too little contrast between background and font and being in general too dark. This is something that English readers remarked on other back covers in this study which further emphasises the importance of colour choice, typography and contrast for the appeal of a back cover. Whereas a good design might not be able to disguise a dull, unappealingly written blurb, a bad choice of colours can certainly negatively impact on the perception of the blurb. In addition, the blurb was rated as dull by some readers, one emphasising that they lost interest in it before they reached the bottom where the praising quote from *The Guardian* was placed. This is indeed significant, as it demonstrates that the blurb may not only have failed its function of persuading the reader to buy the book but potentially also failed to inform the reader of content or setting if the reader stopped to finish reading the blurb or only skimmed it. The US version, in contrast, was perceived as more modern and interesting, and some readers commented that its blurb was better written, more exciting and much more vivid than that of the UK version. One reader correctly identified the US

version as being published for Americans but since they do not give a reason for this perception, it is not clear whether it is the word choice, design or maybe the publisher information which gave the reader this impression.

As for the other books in this study, the responses from the German readers are less varied and in-depth than those of the English readers. Many comments related directly to the content of the book which shows that the blurb managed at least the function of informing the reader. What becomes apparent when analysing the responses is that the two German blurbs seem to give the readers a feeling of sadness and loss and love at the same time. This is probably due to the emotional and personal language chosen for the blurb of the paperback version which seems to have fulfilled its purpose in evoking emotional reactions in the readers. Creating an emotional bond between the reader and the book might help to persuade the reader to purchase the book. The blurb of the hardcover version, in contrast, is written much more factually and less emotional, which one reader noticed and described as not very appealing. Although both versions contain some praise on the back cover, only one reader commented on them, saying the two quotes on the hardcover version were too general and lacked specific information about the style and content of the book, which is an important factor when deciding whether to buy a book. This shows that praising quotes need to be well chosen and that just generally emphasising that the book is great is not enough to persuade readers. This might be an example of the awareness of readers of the marketing strategies employed by publishers, as described by Procter and Benwell (2015).

Comparing the results of the English and German reader-response studies shows that the perception of colour choices seems to be different. This was already indicated when analysing the responses to the back covers of *Tombstone* and *Grabstein*. English readers seem to disapprove of too dark back covers with too little contrast, which is something that does not seem to bother the German readers. None of the German readers commented on the low contrast, especially on the paperback version, which uses yellow font on the mainly red illustration, which was also used on the front cover. Whether these preferences are rooted in the readers' cultural background or coincidental due to personal preference of the readers included in this study cannot be established at this point. This is only a first indication and further research would need to be done in order to confirm or disprove it.

8.5.5 Conclusion

The analysis has shown that the most often used category of words used on covers is ‘work and author’, followed by ‘Grabbing attention’, ‘Moral and awareness’ and ‘Communism, CCP, power and criticism’. This suggests that the publishers, on the one hand, try to convince the reader that book and author are of high quality and importance and on the other hand try to grab the readers’ attention by using catchy words and strong adjectives. The latter two categories are about equally relevant in the analysed blurbs and the use of words belonging to these groups is dependent on the book’s content. The word choice is in general fairly consistent within the different translations of the same source text, i.e. there is no indication that the publishers within the Anglophone or German book market prefer different word choice categories for the translation of a specific book. Overall, only some versions mention the banned status of the book, which means that censorship is only used as a marketing tool and alpha strategy (Fennis and Stroebe, 2010) in some cases. In the blurbs of the more factual books, the banned status is conveyed implicitly, where the reader can assume the book is banned, e.g. because of its controversial topic or the author being in exile. This suggests that although banning seems to be a decisive factor for publishers when buying translation and publication rights, it may not be a decisive factor for readers due to the lack of or implicit mentioning of the book’s banned status.

The results seem to suggest that readers from a specific cultural background prefer certain colours as background colours for back covers indicating the importance of adapting covers for different markets and a culturally-specific readership (Watts, 2000; Webby, 2007) For the English readers these seem to be light colours, for the German readers, in contrast, these are bright signal colours. However, these results might be influenced by the general design, or the content, of the back cover, which would make these results coincidental. Therefore, a wider study investigating the influence of base colours on the general appeal of back covers could answer the question as to whether these results are coincidental or a general trend. The paratextual analysis already highlighted the different emphases of the blurbs, such as grabbing attention, emphasising importance, etc. That this influences the readers’ perception of and associations with the blurbs is further demonstrated by the results of the reader-response study. Even when readers did not agree with what is expressed in the blurb, it would nevertheless remain memorable for them. This corresponds with the observations by Procter and Benwell (2015). Responses show that it is important for the publisher to strike a balance between keeping a blurb concise

but providing enough information since both a too lengthy blurb and a back cover lacking a blurb were criticised by readers.

Overall, the blurbs and back covers in most cases managed to influence the readers in terms of associations, emotions or expectations. Emotionally loaded language gave the readers the impression of an emotional read, the extensive use of buzzwords stuck in people's minds and emphasising the importance of work and author seemed to be memorable information. This shows how highly manipulative blurbs and back covers can be. For example, emphasising the personal connection of Yang Jisheng with the topic of the Chinese famine seemed to give the readers a more personal approach to the book and increase the interest in it. Equally, by emphasising how sexy and satirical a book is will make it impossible for the readers to approach the book neutrally, whether they approve of the labelling or not. Written and used wisely, the blurb can draw the readers in, create interest in a topic they might not usually be too interested in, i.e. manipulate the readers' opinions and preferences. These examples emphasise the interpretive and navigational functions of this particular paratext (Birke and Christ, 2013). These results show that the back covers and blurbs are a very powerful tool in manipulating readers. They can create emotional attachment, make the readers believe that this book is the most important they will ever read or that it is a scandalous read they should not miss. Finally, the results have further shown that many readers seem aware of the intended functions of a paratext (for example selling a book as overly sexy) and that they notice individual elements does not mean that they approve of them. This is in line with Procter and Benwell's study results which showed that readers are savvy and self-aware customers who are often able to identify paratexts which are solely aimed at marketing the book (Procter and Benwell, 2015).

8.6 The Interplay of Paratexts

The interplay, or interrelations, of the individual paratextual elements on a book cover can be described as its syntactic properties, expanding Crystal's definition of syntax (2008) to book covers (see Section 3.4.3). For readers, looking at a book cover where the paratexts do not complement each other, or clash, might be like reading a sentence whose syntax is confusing, if not incorrect. The fact that paratexts interact and impact on one another was already noted by Birke and Christ (2013), however, without researching the reaction of readers to this interplay.

8.6.1 Interplay of Front Cover and Title

The results in Section 7.1 show that the majority of the book covers lost in appeal after the title was added to the cover, raising the question as to why this is the case. There are three possible reasons for this loss in appeal.

First, the readers may dislike the title which may in turn impact on the overall appeal of the cover. However, the analysis of the results shows that liking or disliking the title does not lead to equally liking or disliking the cover. Therefore, it seems that liking or disliking the title and the judgement of the book cover's appeal do not run in tandem.

The second possible reason could be that the readers are dissatisfied with the visual design of the cover, e.g. typography, colour or positioning of title, author or publisher logo. The typography on the book cover is an important multimodal paratext which creates meaning with the typeface, its texture, colour or three-dimensionality as well as its style, tone and form (Van Leeuwen, 2005), as discussed in Section 2.2.2. It is therefore an important element on the book cover and will not only influence the meaning-making of the title but also contribute to the overall appeal of the book cover. When analysing the typography on all book covers of *Serve the People!* and *Dem Volke dienen*, it appears that it generally matches the individual book's overall cover design. Three of the versions included in the preliminary study even use the same font and colours: the German paperback, the UK and the US versions, which all have identical or very similar covers. Since the font colours are matched to the colours used in the cover designs, the overall design looks harmonious. Furthermore, the contrast on all covers can be described as sufficient to prevent the title from becoming illegible, which should be avoided according to Lewis (1956). In most cases, the title and author are printed in capitals, the only exception is the author on the German paperback version. The German hardcover and Australian version use a serif font, whereas the German paperback, UK and US versions use a sans-serif font. The Australian version is the only one not using a standard font: the font is bold and looks like it was painted or sprayed on the cover using a stencil. Overall, the typography appears to match the covers in terms of style, design and genre, which makes it unlikely that the typography had a great influence on the overall appeal of the different covers.

The third possible reason is that the book cover design may have created specific expectations and associations which did not match the associations evoked by the title.

That this is, judging by the results, the most likely reason becomes more apparent when comparing the readers' associations evoked by the cover at stage one (which did not include the title) and the associations evoked by the book title at stage two.

Associations with book covers and titles

As the results of the main reader-response study already suggested, book covers are not necessarily universally appealing and do not evoke the same associations in readers from different countries. Book covers with (almost) identical designs not only evoke different associations in readers from different countries, but also in readers sharing a native language, as the results show. Although the cover designs of the US and UK version are only marginally different, they evoked different associations in English readers. Communism was ranked third for the US but was not in the top three associations for the UK cover, which means that only for some readers the communist symbols (the star and the sunrays) used on the cover, suggested a communist setting. The reasons for English and German readers having different associations with similar covers can be varied and possibly show the influence of societal and cultural imprints, which differ between countries and can stem from different policies, media coverage, international relations, prevailing stereotypes, etc. Here, the fact that parts of Germany have either been under communist rule in recent history or have experienced this regime from close proximity might be of importance and could explain why Germans associate these covers more often with communism than English readers. These factors will influence the readers' perceptions of and associations with both visual and verbal paratexts as well as colours used for the cover design and typography. This example shows that it is crucial for the publisher to analyse the segmentation of the target market and in this case especially geographic segmentation, taking into account the different characteristics of the readers living in this geographic segment, and demographic segmentation which further breaks down the market into socio-economic groups (Phillips, 2007). By doing so the publisher will get a better idea of the target readership enabling them to target the readers through tailored paratextual packaging of the book as well as marketing and publicity campaigns.

As discussed in Section 8.3, the English edition of *Serve the People!* includes an exclamation mark, whereas the German title does not. The inclusion of an exclamation mark in the English title functions as a tone indicator (Nunberg, 1990) and gives readers clues about the sentence prosody (Crystal, 2003), making the statement much stronger. Therefore, the cover design for the English translation should be equally strong and match the impression created by this strong, imperative title whereas the German cover design

can be softer and less strong. With this in mind, the almost identical cover designs could suggest that for at least one translation the cover design might not match the title. When thinking about the meaning of the title, it instantly evokes associations with communism, Chairman Mao or the Cultural Revolution if someone is familiar with China in general or Chinese history in particular. However, readers with limited knowledge of China might not be able to place the title *Serve the People!* into a communist, let alone Chinese, setting. Although the results seem to suggest that some of the participants associate communism with this title, it should not lead to the assumption that all readers will make this connection without former priming. The reason for this is that in the preliminary study, the readers saw the book cover designs without the title first, and many readers associated the cover with China, communism or Maoism. This perception was probably still present in the reader's mind when confronted with the title, which may have influenced the readers' perception of the title itself.

Clashing or matching associations

In most cases, the Australian version of *Serve the People!* was rated as the least appealing at the initial stage of the preliminary reader-response study but gained in appeal when title and author were added. The same trend can be seen in the ratings of the German paperback version of *Dem Volke dienen*, which almost always gained in appeal at the third stage. When comparing the associations readers have with the different book covers and the title, it becomes apparent that only the cover of the Australian and German paperback version created similar associations and expectations to those created by the title. In both cases, both title and cover design were reminiscent of communism or politics for the readers. Following on the observation about the (almost) identical covers and the titles with/without exclamation mark, it seems that the cover design suits the German title (without exclamation mark) better than the English title (with exclamation mark). Overall, the results strongly suggest that there is a correlation between associations evoked by cover and title and that readers, even though they might not state clearly that their associations match, seem to notice when the associations of these two paratexts are harmonious rather than clashing.

The cover designs of the UK, US and German hardcover version, in contrast, did not evoke associations and expectations that match those evoked by the title. These three versions almost always lost in appeal when the title and the author were added to the book cover design. The cover of the US and UK versions created the expectation of a romantic love story while the title reminded them of a communist demand, which is not very

romantic. The German readers were faced with a similar clash: The hardcover version's cover shows a pair of underpants bearing Mao's portrait which suggested a satire and a possible critique of the Chinese Communist Party to the readers while the title alluded to patriotism and servitude rather than a satire. This means that the cover design translated the genre (a satire), but the genre was not translated in the title. In the cases of the UK, US and German hardcover versions, where title and cover design created clashing associations and thereby gave conflicting information, the book covers were judged as overall less appealing at stage three when the title was added to the cover design. This strongly suggests that the associations and expectations created by cover design and title need to match in order to create a compelling paratextual framework which is necessary to make a book appealing to readers. In those cases where harmony was not achieved, the expectations and associations clashed, and the book lost in appeal. Syntactically speaking, the paratextual elements need to create a logic and coherent syntax in order to be compelling and make sense for the readers, just like syntactical elements in a sentence. According to Zaltman (2003), the semantic memory is more important in terms of marketing books, since it allows the reader to attribute a meaning to the book cover and helps publishers to create recognition value. However, syntactic analysis of book covers can be used to analyse the appeal of book covers to readers as well as the importance and interaction of different paratextual elements on a front cover. Analysing book covers syntactically offers a new perspective and allows for a more in-depth analysis of the relationship between the individual paratexts rather than treating book covers as one paratext.

Overall, the results of the preliminary study strongly suggest that book covers where the cover design and the title evoke the same or at least similar associations and create comparable expectations, seem to appeal more to readers than those covers where this is not the case. Whenever the expectations created by the different paratexts do not broadly run in tandem, the book covers lost in overall appeal when the title was added to the cover design. This is an important finding since it shows that the interplay of book cover design and title may affect how readers perceive a book. In terms of marketing and sales, this could mean that book covers which create clashing associations or expectations might sell less than book covers with a harmonious paratextual framework. If the readers consider the paratexts to be confusing or misleading and therefore consider the cover to be less appealing, they might be reluctant to take a closer look. In the worst case, the readers might completely lose interest at the initial stage and decide not to look at the

book's back cover or inside flap to read the blurb. This would mean that a potential reader would have been lost not because of the book's or the translation's quality, but because of an ineffective or conflicting paratextual framework.

In the main reader-response study some readers commented on clashing cover designs and titles. A number of the German readers stated that they cannot establish any connection between the front cover and the title "Der Traum meines Großvaters" [My grandfather's dream], leaving them confused and disappointed. The fact that the readers stated this explicitly, further strengthens the suggestion of the importance of paratextual interplay and also that the publishers might have failed in this instance to create a logical and coherent visual syntax. However, the examples of readers' reactions to the covers of *Der Traum meines Großvaters* in Section 8.4 also show that even a clashing cover design and title does not always and necessarily confuse the readers but can also spark creativity and imagination. This was demonstrated by the comments of those readers who used this clash and interpreted it in a way that made sense to them. Furthermore, they did not mention the mismatching paratext as irritating or unappealing. Overall, the readers that commented on the clash of book cover and title were in the majority which shows that, despite a small number of readers who found this clash inspiring, publishers should aim to create a coherent, harmonious paratextual framework in order to appeal to the majority of readers.

8.6.2 Interplay of Front Cover, Title, Back Cover, Praise and Blurb

When looking at a higher number of paratextual elements, their syntactical interrelationships are of even more importance than when just looking at two, because the complexity increases with every element. This makes it even more important that elements work well together and complement each other, to prevent a confusing visual syntax for the reader. The reason is that a confusing visual syntax might impact on the semantics of the book cover as a whole, and thereby its meaning to and interpretation by the reader. As the responses from the English readers to *Dream of Ding Village* have shown, praise, no matter how positive or powerful, can be perceived as inappropriate or irritating if it does not match the genre and content of the book. This shows the importance of the interplay of paratexts and is one aspect that might be easily overlooked since praise is generally perceived as a paratext beneficial to increasing the reader's interest in the book. The fact that the content of the praise might not match other paratexts or the content

or genre of the book, might not even be considered when it is chosen to be printed on the book cover.

In the reader-response study, some readers from the German language group commented on the relationship between front cover and title, and back cover and blurb of all four versions. These comments were both positive and negative. Readers noticed and commented positively when the expectations created by the front and back covers matched and therefore created a harmonious paratextual framework. One reader seemed relieved that front and back cover matched, which could indicate that they considered the front and back covers of other books in this study as not matching (this book was number 3 of 4 in the study), or could even express a more general dissatisfaction with the paratextual frameworks of books. One might expect that a clash of these expectations inevitably leads to negative comments and a loss in appeal of the book for the reader. However, the reader-response study results suggest that this is not always the case. When analysing the readers' comments to the back covers and blurbs of *Dem Volke dienen*, it becomes apparent that a mismatch of expectations created by front cover and title with those created by the back cover is not necessarily a disappointment but can also be a pleasant surprise and create intrigue. These examples suggest once more that the mismatching expectations created by individual paratexts are not necessarily off-putting for all readers but can indeed create appeal for some. However, as with previous examples, the majority of readers do seem to prefer harmony over clashing. For the publisher, this could mean that a deliberate clash could create intrigue and potentially sales, but they would need to take the risk of repelling a large number of potential readers as the results suggest that readers generally prefer matching expectations and associations.

When asked about the back covers of *Der Traum meines Großvaters*, two readers commented on its relationship to front cover and title. One reader said that the back cover helped them understand why the front cover design/imagery was chosen. This is an example of how some paratextual elements can help the reader with the meaning-making of other elements. Another reader was less positive, saying that after seeing the back cover they think the title was not very well chosen for this book. The reader making this comment was not one of those stating that they did not see the connection between front cover and title. This is surprising, since the word choice in the statement ("langsam stellt sich mir die Frage..." [I started to wonder...]) implies a longer thought process which is unlikely to be provoked by a single trigger. It is therefore possible that the reader did

already slightly question the title choice when considering the front cover design but did not voice this in their response. At this point, this feeling of mismatching paratexts might not yet have been strong or bothering enough to comment on it. Only when they saw the back cover, they realised that the individual paratexts do not match each other.

8.6.3 Conclusion

This section illustrates the importance of a paratextual interplay for making a book appealing to readers. So far, this is the first study providing data from reader-response studies investigating how individual paratexts interact and form a framework. The readers' comments show that for some readers a book's paratexts form a framework rather than being individual paratextual elements that do not interact. This can work both in favour of and against the book. If the front cover and title matched layout, style and content of the back cover, the readers expressed satisfaction, relief and praise, and one reader even emphasised that their expectations had been fulfilled. However, the comment of one reader shows that the back cover can change their attitude towards the title: after the reader considered and read the back cover and blurb, they got the impression that the title was badly chosen, indicating a clash of associations and/or expectations. These examples show that there is a relationship between and an interplay of paratextual elements located in different spaces and of different semiotic types. If the expectations created by front cover and title match those created by the back covers, the interplay is located on the front cover of the book. If the expectations of the paratexts on the front cover do not match those of the paratextual elements on the back cover, the space of the interplay shifts to the back cover of the book. Looking at the book cover syntactically, those covers where the expectations match are like complete and grammatically correct sentences, whereas those where the expectations clash are like confusing, incorrect and incomplete sentences which confuse the reader. This illustrates how important a working interplay of paratexts on book covers is in order to make sense and appeal to the readers.

The results of the main reader-response study show that a paratextual framework containing paratexts which enter a seemingly unsuccessful interplay is a double-edged sword. In most cases, as the reader-response studies have shown, it will impact on the overall appeal of the book and will make it less appealing. In some cases, however, it sparks the readers' imagination and leads to a more creative way of interpreting the paratextual framework. Generally, the number of readers expressing their preference for a harmonious paratextual framework and their dislike for clashing ones is higher than the

number of readers who find clashes thought-provoking and appealing. This suggests that publishers would take a risk to lose large numbers of potential readers when they create a mismatching paratextual framework, be it intentional or not. Therefore, to attract the largest possible number of readers, the aim should be to create a clear visual syntax on a cover where all elements evoke similar, or identical, associations which would be considered harmonious and appealing by the majority of readers. The results from both the preliminary and the main reader-response study strongly suggest that readers not only perceive individual paratexts as part of a larger framework but also that this framework and the paratextual interplay within it, are highly influential on the book's appeal. The influence can manifest itself subconsciously when the individual paratexts create associations and expectations that ideally match as well as consciously when the readers notice that paratexts do not match each other. This last aspect can apply to all verbal and visual paratexts on a cover, from colour choice and images to titles and praise. In the field of paratext research, this is an important finding that highlights that paratext should not always be researched as stand-alone items but as a framework. Furthermore, it highlights the importance and usefulness of reader-response studies in paratext research constituting an important contribution to the field.

8.7 Interviews with Translators

The surveys with translators showed that some experiences and opinions are shared between English and German translators. They all said that the fact that a book is banned in China does not influence their decision as to whether to translate the book and they all agreed that Chinese translations sell to an equal level, no matter whether the original has been banned in China or not. In some cases, the translators' responses reflect the readers' opinions expressed in the reader-response study. This is the case when the translators were asked whether they think readers find banned books more appealing than non-banned books. Here the English translators said readers would find them more appealing and the German translator said that they think it makes no difference for the readers. This matches the results from the reader-response study, where English readers generally found banned books more appealing than German readers. Despite these different opinions, the translators do not think that banned books sell any better than books which are not banned. In terms of quality, the translators have different opinions. One translator said that Chinese banned books are per se of better quality, whereas the other two translators said it makes no difference or they are unsure whether it makes a difference.

The response of the latter two matches the general opinion of the readers, which mostly agree that the banned status of a book does not indicate higher quality.

Target Readership

The translators' responses as to whether they have a specific readership in mind confirm the suspected target audience. Two translators said that they translate for a general audience, who are not necessarily China experts. The German translator emphasised that they translate for a fairly well-educated audience. This indicates that both translators have an understanding of the demographic and psychographic segmentation of their target audience since they seem to translate for readers with certain interests or knowledge, or lack thereof (Phillips, 2007). The paratexts of the books, especially the praise used on the back covers, confirms this target readership, because it is unlikely that readers with low education levels will know who Eugène Ionesco, Herta Müller, etc. are. This suggests that both the translation and the paratexts are aimed at a similar target readership forming a cohesive and consistent paratextual and textual package. Interestingly, one translator stated that they do not translate for a specific audience. This can be interpreted in two ways. Either the translator actually does not consider who might read the translation or they translate for a general readership which they consider as too generic to mention them specifically. If the former, the translator might risk creating a not reader-friendly translation. If the latter, the translator will most likely have a generic reader in mind and aims to create a good, readable translation.

Chinese Translation in the Market, Book Covers and Titles

One aspect all three translators agreed on is that Chinese literature is not too well presented in either the German or English market. However, one translator said that the interest in Chinese translations seems to be improving, possibly indicating a change in reading habitus (Lee, 2015). When asking for a more specific opinion on titles and book covers of translated Chinese literature, the two translators who answered the question agreed that the designs are generally not too good. The English translator said that the covers are often stereotypical, but that they consider this as being possibly unavoidable. The covers in this study confirm the impression of stereotyping, since many use red and yellow, stars or Chinese characters and objects. The German translator has a more negative impression of the book covers of translated Chinese literature saying that they find it often difficult to comprehend why the cover was chosen and that they are in some cases directly misleading. This is mainly due to the lack of connection to the actual content of the book, the translator said. In this case, the book covers would have failed its

second function which is to summarize the text in images and words in order to inform the reader (Sonzogni, 2011). This is something mentioned by readers when they said they cannot understand why a particular cover was chosen after having read the blurb. There are several possible reasons for the misleading, too stereotypical or mismatched covers. First, sensationalism and attracting attention might have dominated the design choices and concerns over mismatching or stereotyping might have been overruled. Secondly, the stereotypical imagery might have been intentionally chosen in order to create instant associations in readers when they see the cover. Thirdly, a lack of understanding of the source culture, (unconscious) bias and stereotypical thinking could have led to unintentionally creating stereotyped covers. In any case, the book covers reveal, to some extent, the cultural assumptions the publishers make about China and its literature and furthermore those the publishers think the readers will make (Sonzogni, 2011).

In terms of having an influence on the cover designs, the translators' experiences are quite different. The English translator said they are usually consulted about the design and that their input and opinions have been respected in the past, for example when they suggested changes to the hue of the chosen colour or to the graphics used in the design. This suggests that the publisher that the translator is working with trusts that the translator's knowledge of text and source culture will benefit the creation of cover designs. The case is very different for the German translator, who stated they usually make suggestions but that only smaller independent publishers take their opinion on the cover design into account, whereas large publishers often ask for and hear their opinion, but eventually do not take it into account. This suggests that these publishers do not value the translator's knowledge and experience as much as the publishers the English translator worked with do. Furthermore, it might suggest that the smaller independent publishers focus more on representing the culture and content of the book in the cover design, whereas big publishers focus more on grabbing the attention of potential readers in order to increase sales even if this means that the book cover could be considered as misleading. In this case, the smaller publishers appear to consider the "culturally-specific readership" (Watts, 2000) to a larger extent than the big publishing houses do. Another possible reason for this phenomenon might also be that smaller independent publishers are less likely to have a large marketing, design and editorial departments, as big publishing houses do, which means that they might be more dependent on the input from the translator.

When asked for their opinion on titles, only one English translator responded. They named one case where they and the Chinese editor considered the title chosen by the publisher as too sensational and stereotypical, but the publisher insisted on keeping the title. This could suggest that the publisher weighed up the risk of stereotyping and potential sales that come with a more sensationalist title and considered the latter as more important. Here, it can almost certainly be ruled out that the sensationalist and stereotypical title was chosen unconsciously since the Chinese editor pointed this out to the publisher. In general, they said, their proposed title usually gets accepted, maybe with some slight variation. Here again, the publisher seems to trust the input from the translator and their in-depth knowledge of the text as well as the source culture, emphasising their role as mediating agent between source and target culture (Alvstad, 2012).

Blurb

The experiences of the translators with regards to writing of or providing input for the blurb were similar to those of the book cover design. The English translator said that in the specific case of the book included in this study, they basically wrote the blurb themselves. The German translator, in contrast, said that they have only ever been involved in writing the blurb when their translation was published by small independent publishers. As before, big publishers did not consult them on the blurb. For this study, this means that the translator was not involved in writing the blurb since all German translations were published by big publishing houses. Here again, it might be another indication that smaller publishers rely more on translators to help with the packaging of a book because of smaller editorial, design and marketing teams which probably also comes with smaller budgets. Therefore, the input of the translator who knows both the source and target text extremely well might be a valuable and gratefully received resource.

Translator's Notes, Prefaces and Forewords

Publishers seem to be very open to prefatorial material created by translators, which the responses from the two translators show. The English translators said that they considered a translator's note to be necessary and their request was accepted by the publisher without difficulty. The German translator said that it could be either themselves or the publisher who decides to include a translator's note/preface/foreword in the translation. Although none of the translators mentioned the positioning of these additional paratexts, it is likely that the positioning would be in line with the conventions of the target culture and genre (Kovala, 1996). In general, the responses seem to suggest that the publishers trust the

judgement of the translators and are willing to include prefatorial material if the translator considers it as beneficial for the reader.

Foot- and Endnotes

When it comes to foot- and endnotes, the opinions of the translators are divided. This might be down to general preference or because the translators might generally translate books of different genres. The English translators said that they included footnotes whenever they considered them necessary for the target reader and also translated the footnotes of the author as found in the original. The German translator emphasises that they are strictly against the inclusion of footnotes into works of fiction unless they are present in the original in which case they will translate them and include them in the translation. In general, however, they state that their preferred method is to include the information necessary for the reader's understanding into the main text. They add that a glossary might be a compromise and could be included for interested readers. It seems that the translators' opinions on foot- and endnotes reflect the general standards for the different genres. In fiction, footnotes are very unusual and most publishers would be reluctant to accept them in a translation. When the translation is a non-fiction work, however, including footnotes is much less problematic or unusual.

Conclusion

When analysing the responses of the translators, it seems that the English translators are much more consulted, and thereby influential, over the creation of paratexts than the German translator. However, this generalisation is difficult to maintain, since there are several factors that could impact on this impression. First, since for the German translator the size of the publisher decided their influence, it is possible that the case is the same for English translators. Although the English translation in question was published by a big publishing house, the translators answered many questions in general which means it is possible that they often work with small publishers. Secondly, it is possible that translators are less influential when the translation in question is that of a work of fiction, which is much more aimed at the mass market than translations of specialised non-fiction works. And finally, their opinion might also be influenced by the type of publisher that published their translations. For example, if the majority of their translations are non-fiction titles published by an academic publisher, their experiences might be very different and their suggestions might be much more taken into account than if they mainly translate fiction titles which are published by a trade publisher. Overall, the concerns and opinions of the translators show what they focus on when creating or advising on paratext: the

readers. They criticise too stereotypical and too misleading paratexts, whether they have influence on them or not. This criticism probably stems from a very high cultural and intercultural awareness which is crucial for a translator. In publishing, it is possible that many people might not have learned a foreign language and have not done a year abroad as most language students both in Germany and the UK have, since the “standard degree” in publishing is to this day English Literature. The publishers do not always take the recommendations the translators give into account, which may show that their focus is more commercial than that of the translators, aiming more to attract attention, stand out from the crowd and drive sales, even if this can only be achieved by stereotypical and sensationalist paratexts.

As outlined in Section 5.4, the low responses and nonresponses for the surveys with translators and publishers are examples of data collection issues which are a common challenge in social science research. Overall, while the low responses to the translators’ surveys were disappointing, the impact on the overall argument of this thesis was limited. As no sophisticated statistics were used to analyse the responses, or the lack thereof, even the limited number of responses for the translators’ survey still gave a valuable insight into their work, perceptions and opinions.

Chapter 9. Conclusion

The aim of this thesis was to investigate paratexts in translations of Chinese banned books and it will contribute to the field of paratext in Chinese-English and Chinese-German translation. So far, research on paratexts in English and German translation of Chinese literature is very limited, which means that this thesis is an important contribution to the expansion of this field of research. Expanding on this area is especially interesting and important in the case of translations of Chinese banned books, where the paratexts are not only subject to general cultural influences but also ideological influences, both through the paratexts of the original and the marketing strategies employed by publishers.

Furthermore, this thesis provides an in-depth analysis of paratextual strategies used to package and market translations of Chinese banned books, changing the narrative of paratext research. Publishers' perspectives, their intentions and marketing strategies are as much taken into account as academic research in the field of paratext studies. This allows for a more comprehensive and realistic analysis of paratexts and their effect on readers.

This thesis has provided both expected and surprising results. As shown by the paratextual analysis, the majority of the book cover designs of the translations studied were highly stereotypical, primarily using red and/or yellow as their main colours. One version took it one step further and printed the author in bright yellow on the front cover, which could almost be interpreted as racist, especially when taking into consideration that the book was published by a western publisher. One aspect which did not come as a surprise was the fact that praise in particular proved to be highly influential and manipulative and was the most successful paratext in getting the intended message across, which emerged in the analysis and discussion of the reader-response study results. Finally, contacting publishers and persuading them to participate in my research proved to be difficult.

It was surprising that readers are much more aware of paratextual and marketing strategies than they are often given credit for. Several readers identified red covers as being chosen for the colour's stereotypical identification with China, which they disapproved of. Furthermore, they were often more aware of the paratextual interplay than expected and criticised praising headlines for not matching cover designs, for example. These findings are similar to Procter and Benwell (2015), who discovered in their research that readers are much more and self-aware than often given credit for and that taking notice of

paratexts does not mean readers approve of them. However, psychological manipulation, such as emotionally loaded language, usually went unnoticed (as required to be classed as psychological manipulation). Another surprise was that none of the readers picked up on the cover with Liao Yiwu printed in bright yellow and that in addition one reader described it as “typically Chinese”.

As pointed out, overly stereotypical designs are often chosen for translated Chinese literature. These stereotypical covers would then become the reading habitus of readers and reinforce their cultural preconceptions of China (Lee, 2015). This might have influenced the readers’ perception of what is stereotypical and what is authentically Chinese. In fact, this can be regarded as a form of manipulation by influencing readers’ perceptions and opinions using paratexts.

Is There a Western Reader?

One of the main findings of this thesis is that there is no such thing as “the Western reader” or even “the reader”. The results have shown that there are sometimes huge differences in cover design, choice of title and content of back covers and their reception by readers. This illustrates that translations into different languages are presented and marketed differently, which would not be necessary if there were a definable Western reader. Furthermore, the results have also shown that no book manages to appeal to all readers at the same time. Some appeal more to men, as the English translations seem to do, and some more to women, like the German translations. It is possible that covers favouring information processing strategies of a certain gender will appeal more to this gender.

Furthermore, it is possible that covers which favour neither female processing through detailed elaboration nor male schema-based processing, but instead motivate readers to engage in detail-sensitive processing strategies might be appealing to an equal extent to both genders (Meyers-Levy and Maheswaran, 1991). The present thesis cannot answer this question but instead gives an indication for possible future research on the subject of how processing strategies influence the reception of paratexts.

In addition, there seems to be an age divide as no individual paratexts and no whole paratextual framework I researched appeals to readers of all ages to the same degree. This shows that there is no generic reader, especially not a Western one, which indicates that publishers should research the demographic, psychographic and geographic segmentation of the target market as suggested by Phillips (2007) in order to create an appealing and

successful packaging. The results further emphasise the need to adapt the paratext to the specific readership which was established through market segmentation. This could be based, for example, on gender but at the same time, the publishers could aim to create a paratextual framework which appeals to a wider readership, e.g. across genders and age groups. Therefore, this thesis can offer a basis for further research into market segmentation and aid publishers to determine more appropriately who the target readership of a book is, and how they are most successfully targeted.

Censorship as a marketing tool

The use of censorship as a marketing tool to make books more appealing to readers is not uncommon in translations of Chinese banned books, as Lee (2015) already discussed, which was confirmed by the paratextual analysis. However, it was expected that all of the versions I researched would use the banned status of the books as a marketing tool, which was not always the case. Only some books mention censorship explicitly whereas others imply the banned status of a book in the paratexts. Censorship does not always have to be explicitly stated in the paratexts to be noticed by readers. The results of the reader-response studies have shown that the readers not only notice that a book is banned, but also say that it makes it more appealing, exciting and interesting. This effect, however, is greater on English readers than on German readers. Therefore, censorship seems to be a successful and powerful tool to manipulate a certain proportion of readers in thinking the book is more appealing or interesting and thereby increasing sales.

This study offers implications for further research, investigating why banned books are perceived differently, e.g. whether German readers are more aware of the book's actual quality or English readers are more attracted by the sensational. It suggests, however, that the general representation of Chinese banned books in German media as being of particularly high quality and importance (see Bork (2010) and Siemons (2007)) does not seem to reflect the German readers' perceptions of these books.

Paratexts as a Means to Manipulate Readers

The investigation of the front covers, titles, praise and back covers has shown how influential and manipulative they can be. Praise, if chosen wisely, can convince the readers that they should buy and read the book, for example by illustrating that the book is so important and of high quality. Cover designs influenced the readers' expectations of the content, grabbed their interest by using loud colours and stereotypical images and created interest and intrigue even if the readers would normally not be interested in a

certain book. The back covers and blurbs further tried to convince the readers to read the book, sometimes manipulating the readers into thinking a book was of a different genre (one that is more mass market and an easier read) than it actually was.

Of all analysed paratexts, praise is probably the most manipulative, and it can be used by publishers to target readers and influence their decision-making process. The reader-response studies have shown that well-chosen praise is highly effective in manipulating readers. Titles, in contrast, when researched as an individual paratext, only evoke a limited number of associations. Therefore, it can be assumed that titles are not as useful as a tool to manipulate readers unless they enter an interplay with another paratext, such as the cover design. Front cover designs, which contain the title and often praise, are situated between these two paratexts as they are much more manipulative than titles, but probably not as manipulative as praise. They influence readers by creating intrigue and interest in a topic, author or genre they were not interested in before. The reason why front covers are less able to manipulate and influence the readers than praise is that the appeal of cover designs is highly dependent on the readers' personal preferences, whereas statements like "one of the most important authors of our time" are more universally appealing.

When it comes to back covers, this thesis has shown that the publishers use a variety of strategies, ranging from informing the reader to almost aggressively trying to grab their attention. How these strategies influence the perception of and associations with the back covers was reflected in the readers' comments. An important aspect emerging from the results was the importance of striking a balance between content and length of the blurbs. Readers complained about blurbs which were too lengthy and also about blurbs which did not contain much information, a fact which has previously emerged in research on book clubs (Spackman, 2017a). Therefore, to make a blurb compelling it should be both concise and informative. In general, most blurbs were successful in influencing the readers' emotions and associations. Blurbs using emotionally loaded language made the readers expect an emotional book, buzzwords stuck in the readers' minds when used often and constantly emphasising the importance of work and author was memorable to readers. Overall, blurbs are a useful manipulation tool for publishers, they are able to create an emotional bond between readers and book, making them believe a book is a must-read or simply that they would enjoy reading it.

Besides the manipulative power of paratexts, this thesis has also shown that different paratextual elements create expectations of the book. These expectations can range from content and setting to style and genre.

This thesis has shown that paratexts are the key influencers for the readers when deciding whether a book is appealing, and whether to take a closer look. Therefore, they are extremely important in guiding the readers in their approach to a translation and will most likely influence how the readers perceive a book when reading it. For publishers, they are the key tool to manipulate readers into thinking that the book cannot be missed and is a must-read, or at least in creating an interest in the book. Without effective packaging, a book will not be able to stand out from the masses and create interest in the readers. This manipulation can be on various levels, for example psychological by evoking certain emotions, in an advertising sense by creating a previously non-existent need in the readers or in a translation sense where paratexts are translated in a way that transports a specific meaning or cultural image. This fact has already been suggested in previous paratext research, but this thesis has now provided some evidence to back up the claims that paratexts influence, or even manipulate readers.

The Interplay of Paratexts

This thesis underpins the suggestion by Birke and Christ (2013) that paratexts interact with each other as well as impact on each other with responses from readers. As one of the very few studies using data from reader-response studies, this thesis has demonstrated the importance of paratextual interplay for the appeal of a book and thereby made an important contribution to the field of paratext research. The comments by readers have shown that paratexts are not perceived as individual elements but as part of a larger framework. Therefore, if a paratext creates expectations and associations that do not match those created by other paratexts within the framework, there is a high likelihood that the book loses in appeal to the reader. Although in some cases these clashes created intrigue and sparked the readers' imagination, they are the minority and the general trend is that a clash makes a book less appealing. It seems that book covers are almost like jigsaw puzzles where only pieces matching one another create a perfect picture. A missing or mismatching piece will render the puzzle, or the book cover, incomplete and unappealing.

Another aspect highlighted by this thesis is the interaction of paratexts located on the front cover with those on the back cover, emphasising the spatial relationship of

paratextual elements. Readers apparently do not see the front and back cover as two different spaces but as one, which was demonstrated by comments which link different paratexts in different locations, such as the title and the back cover. This means that the interplay of paratexts on the two different covers is as important as that taking place on one cover alone.

Finally, the perception of the paratextual interplay can be both subconscious and conscious. The first is the case when the readers are unaware that the associations and emotions evoked by individual paratexts do not match, although it might still impact on how appealing they find a book. The second is the case when the readers actively notice and comment on paratexts that do not match.

Research Questions Revisited

With regards to the main research question, which investigated to what extent, for what purpose and by what means German and English publishers and translators might use the paratexts of German and English translations of Chinese banned books to manipulate readers, this research has shown that paratexts are not only a tool intended to manipulate readers but that they are used for that purpose and that they are effective in changing readers' perceptions, expectations and opinions. By using specific imagery, emotional language or bright colours, publishers arguably aim to manipulate the readers' expectations and opinions of the book, and are at times successful, as this thesis has shown.

Furthermore, this thesis has answered the second research question by illustrating that paratexts create and change expectations the readers have to a book. In addition, this thesis showed how the interplay of paratextual elements impacts on the overall appeal of the book: a conflicting paratextual framework might make the book less appealing while a harmonious paratextual framework can increase the appeal and make the book more intriguing.

In addition, the findings of the paratextual analysis and the reader-response study answer the third research question, researching whether censorship is used as a marketing tool in Western countries and if so, how it is perceived by readers. This thesis has shown that censorship is used by publishers to make a book more intriguing and interesting. However, the reader-response study has illustrated that it is not always an effective tool to influence readers, especially not German readers who generally did not consider banned books to be more interesting, appealing or exciting than non-banned books. Therefore, this thesis

has demonstrated that in both German- and English-speaking countries, publishers use censorship as a marketing tool, but the effectiveness of this tool varies.

Finally, with regards to the fourth research question investigating how and to what extent paratextual elements influence one another and how this influences the appeal of the book, it can be summarised that there seems to be an interplay of paratexts on book covers and that the harmony or clash of expectations created by individual paratexts impacts on the appeal of the book. The individual paratexts within this interplay or framework further possess semantic and syntactic properties and are interacting with each other.

Implications for Future Research

This thesis has provided a basis for future research on reader-responses to paratexts in translated literature and gives indications for future research. The combined approach of paratextual analysis and reader-response studies has proven to be a fruitful approach: the paratextual analysis provides a basis for the reader-response study, while the reader-response study diminishes the subjectivity of the researcher visible in the paratextual analysis by providing actual reactions by readers to paratexts. This reader-response study faced some technical constraints, for example the limitation of image sizes by the survey platform, which means that some verbal paratexts in small font might not have been clearly visible to the readers, which may have led to them not commenting on this paratexts. However, these would have only applied to a small number of covers in this study, which is why the impact on the findings will be limited.

As mentioned, this thesis provides implications for further research:

1. A similar study with a larger group of readers would allow more certain assumptions about the effects of paratexts on readers than the relatively small sample used in this study allows. This is especially the case for the preliminary study. Here, conducting a similar study with a significantly larger group, or one which focusses on different genres or source cultures, would provide results allowing for more generalised assumptions. A study of a larger scale might also indicate whether English or German language publishers target a specific audience (e.g. female) for specific types of books since such an indication emerging from a small-scale study might be coincidental.
2. An interview-based study on paratexts and reader-responses to paratexts would add useful qualitative insights which a study based on questionnaires cannot provide.

3. Further studies could indicate whether some results, for example the colour preference on back covers, are coincidental or informed by the cultural and social situating of the readers.
4. An interesting question is how paratexts influence the reception of a translation. Another reader-response study investigating the reception of the main text without paratexts and the translation including its paratexts could provide new insights into the relationship between paratexts and reception of translations.
5. Paratexts, their interplay, as well as their importance and hierarchy in comparison to one another, could be investigated more in-depth using an eye-tracking study. Here, it would be interesting and useful to explore the concept of syntactical properties of paratexts, which I have discussed briefly, in more detail. This would enable the researcher to find out where readers look, for how long, and when, allowing a more detailed analysis of the interactions between paratexts.
6. It would be interesting to research the impact of processing strategies of men and women on the perception of book covers and how this influences the appeal to the different genders. Results of such research could inform the decision of publishers when creating paratexts especially when the target market of a book is mainly male or female.
7. Overcoming the challenge of nonresponses to surveys with translators and publishers would offer valuable insights this thesis was not, or only to a small extent, able to provide. Increasing the number of responses could potentially be achieved by increasing the sample size, offering an incentive or reaching out on social media. A mixed mode approach of online survey and face-to-face/telephone interviews (either in addition to or instead of the online survey) would probably be the most promising approach especially when combined with a larger sample size.

Contribution

This thesis contributes to the field of paratexts in general and of paratexts in translation in particular in two ways: by showing a new approach to researching paratexts and to show a potential way forward in paratext research.

New Approach to Researching Paratexts and Paratexts in Translation

This thesis is one of the first studies using reader-response studies to investigate the effect of paratexts on readers, how this influences their opinions on the books and the appeal of the books to readers. It thereby provides evidence on the actual effects rather than a

theoretical discussion of paratext as it is still prevalent in the field. This approach allows for a more objective investigation of the subject, since it is not solely based on the subjective opinions of the researcher but takes the responses of potential and actual readers into account. Furthermore, this thesis provides a categorisation for back covers, which is a valuable contribution to paratext theory. The categorisation can be applied and adapted during a paratextual analysis and the research of back covers, regardless of whether the book is a translation or the original publication, the genre of the book or the language of the publication.

The Way Forward

This thesis does not focus on one individual paratext but on several, which are all contained in a book's packaging. In particular, the interplay of paratexts, an important part of this thesis, has been, to the best of my knowledge, rarely discussed or researched in the past. The concept of paratextual interplay therefore is an important and original contribution to paratext research. By using reader-response studies to investigate the perception of paratextual frameworks and paratextual interplay, this thesis has given first indications on what makes a book attractive and what determines the appeal of a book to the readers. This provides a sound basis for further investigation into the interaction of paratexts and their influence on readers. In addition to the notion of paratextual interplay, this thesis further uses the idea of syntactical and semantic properties of images and applies these to paratexts and book covers to investigate how they interact with each other. So far, the concept of syntax and semantics has not been applied to paratexts or book covers, which is therefore another important theoretical contribution of this thesis. Overall, this thesis gives a first insight into how readers perceive a paratextual framework, how paratexts interact and influence each other and how this impacts on the reader. This offers a new perspective on paratexts and contributes to paratext theory by emphasising that they are not standalone items but have syntactical properties and are interacting.

In addition, this thesis uses a paratext theory, image theory, and orientalism and the cultural other as well as marketing, manipulation and psychology theories to analyse paratexts and their effect on readers, which broadens the discussion of paratext research and provides a basis for further investigation of reader-responses to paratexts. Marketing and psychological theories have rarely been included in previous research. The findings of this thesis relating to marketing have practical implications for authors, translators, designers and publishers. Therefore, this thesis contributes to a deeper understanding of

the effects of paratext and provides a theoretical framework which can be used for future paratext research.

Impact

This thesis has the potential to create an impact outside of academia since it has implications for the publishing industry. By publishing parts of this thesis in relevant journals and magazines, such as the *Times Literary Supplement* or the *London Review of Books* in the UK or literary supplements of German newspapers, e.g. *Die Zeit*, the findings of this research could be brought to the attention of publishers. Large publishing houses, such as Hachette, HarperCollins or Penguin Random House, have consumer insight departments and/or reader platforms who gather market segmentation and insights data through regular surveys and questionnaires. In addition, the insight departments conduct ad-hoc research, e.g. to determine the target audience for a new title, find out which book cover readers find most appealing or research the readership of bestselling authors. This thesis could inform the research conducted by these departments especially on translated literature and the interplay of individual paratexts. Furthermore, it would be a valuable source when considering the marketing strategies for translated banned books and serve as a basis for further reader-response studies on the topic. For smaller publishers which do not have a consumer insights department and the resources to conduct their own research, this thesis could provide vital information for the creation of successful paratextual packaging as well as marketing campaigns. This could then lead to an influence on future publications, for example reconsidering stereotypical cover designs, the content and length of blurbs or the choice of praise printed on a cover. In addition, the findings of this thesis could help publishers to target potential readers more successfully, create better sales and thereby improve the popularity of translated Chinese literature. For German publishers the results of the reader-response study could be of interest when considering whether to market a book as banned in China, since this does not seem to have great influence on the appeal of the book for German readers, nor does it make books generally more intriguing for them. In general, this thesis could foster a better understanding of readers' expectations and reactions to paratexts of translated Chinese literature, and especially translations of Chinese banned books. Furthermore, this research highlights the importance of considering the culturally-specific readership (Watts, 2000) of a book as well as the possible impact on the expectations and associations of readers if this is not taken into account. However, the potential impact of this thesis is not limited to translations of Chinese literature as the insights it offers can be widely applied to translations from any language as well as books published in English and German which

are not translations. The findings on paratextual interplay, the importance of choosing the right praise, and the ability of a book cover to convey content, setting, genre as well as quality are applicable to any book published. In addition, if more research was conducted on the differences of the reception of book covers by different genders, this could widely impact on the cover design of book covers which specifically target a female or male audience.

The potential impact on the publishing industry raises the question as to whether the findings are already known fact and demonstrate marketing practices in publishing houses and therefore whether this thesis will be able to make an impact. Judging by a talk by James Spackman at the London Book Fair 2017 (Spackman, 2017a), many publishers work with generic assumptions about “the reader” and create many paratexts, such as the blurb, on autopilot. This was confirmed in personal written conversation via Twitter, where he expressed great interest in my research and asked to read the thesis after completion (Spackman, 2017b). In addition, during the Bookcareers.com Clinic at the London Book Fair 2017, a Human Resources Manager from Simon & Schuster UK said that every publisher will want to talk to me about my research (Personal Communication, 16 March 2017). These examples give a first indication of the relevance for and the potential impact on the book publishing industry.

Final Remarks

This thesis has investigated a number of research questions and has produced a number of findings: the apparent non-existence of a generic or even Western reader, the fact that using censorship as a marketing tool is common but not necessarily appealing to readers and, most importantly, that paratexts on book covers are no stand-alone items but elements within a framework that possess semantic and syntactic properties and enter an interplay through interaction. This last finding is one of the most important contributions to the field of paratext research and provides a theoretical basis for future research in the field. Overall, this thesis constitutes a valuable contribution to the research of paratexts, paratext in translation and especially paratexts in Chinese-English and Chinese-German translation, using new theoretical approaches and offering new insights by combining a paratextual analysis with reader-response studies.

Appendix A – Preliminary Study English Readers

Welcome!

INFORMED CONSENT

Dear participants,

You are being invited to participate in a reader-response study which is part of a doctoral research titled “Paratexts in English and German translations of books banned by the Chinese government”. The purpose of this research project is to research how readers perceive and receive books, with a special focus on the influences of paratexts (e.g. book cover, title, blurb, etc.) This is a research project being conducted by Lena Kraemer at Newcastle University.

Your participation in this research study is voluntary. You may choose not to participate. If you decide to participate in this research survey, you may withdraw at any time.

The procedure involves filling an online survey that will take approximately 30 minutes. Your responses will be confidential and we do not collect identifying information such as your name, email address or IP address.

We will do our best to keep your information confidential. All data is stored in a password protected electronic format. To help protect your confidentiality, the surveys will not contain information that will personally identify you. The results of this study will be used for scholarly purposes only.

If you have any questions about the research study, please contact Lena Kraemer (e-mail: l.kraemer1@newcastle.ac.uk).

If you are interested in the results of this study, please send an email to me (l.kraemer1@newcastle.ac.uk) and I will send you the results after the study has finished. Your e-mail address will be kept confidential and only be used to send you the results after this study is finished.

IMPORTANT: This questionnaire is designed for English native speakers with their permanent residence in the United Kingdom or the United States of America only.

Thank you very much for taking your time and participating in my study.

ELECTRONIC CONSENT

Clicking on the "next" button below indicates that:

- you have read the above information
- you voluntarily agree to participate
- you are at least 18 years of age

If you wish not to participate in this study, please close this tab or your browser.

Statistical data

1. Age *

- ☐ Under 25
- ☐ 25-39
- ☐ 40+

2. Gender *

- ☐ Female
- ☐ Male

3. In which country did you grow up? *

- ☐ United Kingdom
- ☐ United States
- ☐ Canada
- ☐ Australia
- ☐ Other:

4. Is English your mother tongue? *

- ☐ yes
- ☐ no

Statistical data 2

5. Do you have a university degree? *

B.A./M.A./PhD, incl. degrees from polytechnics

☐ Yes

☐ No

6. Do you speak Chinese? *

☐ Yes, fluent

☐ Yes, good/very good

☐ Yes, some

☐ No

7. Have you ever been to mainland China? *

☐ yes

☐ no

8. Do you work in any of the following sectors? *

☐ Translating/Interpreting

☐ Marketing

☐ Publishing

☐ Retail

☐ Design

☐ I DON'T work in any of the above sectors

Decision-making

9. What are the most influential factors when deciding to buy or read a book? *

Please select max. 3

- ☐ Author
- ☐ Title
- ☐ Cover design
- ☐ Blurb (either on the back cover or the inside flaps)
- ☐ Book reviews
- ☐ Recommendations
- ☐ Series/Publisher
- ☐ Other

10. Did you ever buy a book simply because you liked the cover? *

- ☐ Yes
- ☐ No
- ☐ Don't know/Can't remember

11. Did you ever NOT buy a book because you disliked the cover? *

- ☐ Yes
- ☐ No
- ☐ Don't know/Can't remember

Censorship

12. If you hear/see/read that a book is banned in its country of origin, does that make the book more or less appealing to you? *

- ☐ More appealing
- ☐ Less appealing
- ☐ No difference
- ☐ Not sure

13. Do you think banned books are more or less interesting per se than non-banned books? *

- ☐ More interesting
- ☐ Less interesting
- ☐ No difference
- ☐ Not sure

14. Do you think banned books are better/worse quality per se than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

15. Do you think banned books are more or less exciting/thrilling per se than non-banned books? *

- ☐ More exciting/thrilling
- ☐ Less exciting/thrilling
- ☐ No difference
- ☐ Not sure

16. Have you ever read a banned book from China? *

- ☐ Yes
- ☐ No
- ☐ Not sure

Colours - Associations

17. What do you associate with the following colours? *

Please name the first three associations you have, when thinking of each colour. If you don't associate anything with one of the colours, please add "nothing" in the appropriate box.

Red

Yellow

Blue

Green

Black

White

18. What are the first associations that come into your mind when thinking of China? *

Book cover

On the following pages you will see book covers, from which the title, the author and the publisher has been removed. Please look at the covers carefully, as you will be asked a few questions about them.

Note: The titles have been removed manually which is sometimes visible. Please don't let this influence your overall impression.

Book 1 - Front cover

Book 1

Front cover without title and author of
Serve the People! published by Text
Publishing (Yan, 2007b)

19. Have you seen this book cover before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

20. How appealing do you find the cover? *

Not at all appealing **0** \leftrightarrow **100** Very appealing

21. What are the first things or associations that come to your mind when you see the cover? *

Please enter single words, phrases or sentences.

22. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 2 - Front cover

Book 1

Front cover without title and author of
Serve the People! published by Black
Cat (Yan, 2007d)

23. Have you seen this book cover before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

24. How appealing do you find the cover? *

Not at all appealing **0** \leftrightarrow **100** Very appealing

25. What are the first things or associations that come to your mind when you see the cover? *

Please enter single words, phrases or sentences.

26. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 3 - Front cover

Book 3

Front cover without title and author of
Serve the People! published by
Constable (Yan, 2007c)

27. Have you seen this book cover before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

28. How appealing do you find the cover? *

Not at all appealing 0 \leftrightarrow 100 Very appealing

29. What are the first things or associations that come to your mind when you see the cover? *

Please enter single words, phrases or sentences.

30. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 4 - Front cover

Book 4

Front cover without title and author of
Dem Volke dienen published by
Ullstein (Yan, 2007a)

31. Have you seen this book cover before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

32. How appealing do you find the cover? *

Not at all appealing 0 \leftrightarrow 100 Very appealing

33. What are the first things or associations that come to your mind when you see the cover? *

Please enter single words, phrases or sentences.

34. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe
- ☐ Not sure

Book 5 - Front cover

Book 5

Front cover without title and author of
为人民服务 *Wei Renmin Fuwu*
published by Rye Field Publishing Co.
(Yan, 2006)

35. Have you seen this book cover before? *

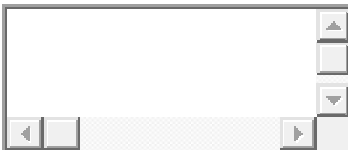
- ☐ Yes
- ☐ No
- ☐ Not sure

36. How appealing do you find the cover? *

Not at all appealing **0** \leftrightarrow **100** Very appealing

37. What are the first things or associations that come to your mind when you see the cover? *

Please enter single words, phrases or sentences.



38. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book title

39. The book's title is "Serve the People!". Have you heard the title or the phrase in general before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

40. What are the first associations that come to your mind when you read "Serve the People!"? *



41. Do you find the title "Serve the People!" appealing? *

- ☐ Yes
- ☐ No
- ☐ Not sure

Front covers with title

You will now only see the covers of the English versions. Please note that in the previous questions book covers from the German and Chinese versions were included.

Book 1

Front cover of *Serve the People!*
published by Text Publishing (Yan,
2007b).

42. How appealing do you find this book cover? *

Not at all appealing **0** ↔ Very appealing

43. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 2

Front cover of *Serve the People!*
published by Black Cat (Yan, 2007d).

44. How appealing do you find this book cover? *

Not at all appealing **0** ↔ **100** Very appealing

45. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 3

Front cover of *Serve the People!*
published by Constable (Yan, 2007c).

46. How appealing do you find this book cover? *

Not at all appealing **0** \leftrightarrow **100** Very appealing

47. Just judging from the cover, would you buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 1 - Back cover

Back cover 1

Back cover of *Serve the People!*
published by Text Publishing (Yan,
2007b).

Please look at the overall design of the back cover as well as at the text.

48. Do you find the book's back cover appealing? *

Please consider both design and content.

- ☐ Yes
- ☐ No

☐ Not sure

49. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.

This is the book's front cover.

Front cover of *Serve the People!*
published by Text Publishing (Yan,
2007b).

50. How appealing do you find the cover? *

Not at all appealing 0 ↔ 100 Very appealing

51. Taking both front and back cover into account, do you think you would buy the book? *

☐ Yes

☐ No

☐ Maybe

Book 2 - Back cover

Back cover 2

Back cover of *Serve the People!*
published by Black Cat (Yan, 2007d).

Please look at the overall design of the back cover as well as at the text.

52. Do you find the book's back cover appealing? *

Please consider both design and content.

☐ Yes

☐ No

☐ Not sure

53. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.

This is the book's front cover.

Front cover of *Serve the People!*
published by Black Cat.

54. How appealing do you find the cover? *

Not at all appealing 0 \leftrightarrow 100 Very appealing

55. Taking both front and back cover into account, do you think you would buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Book 3 - Back cover

Back cover 3

Back cover of *Serve the People!*
published by Constable.

Please look at the overall design of the back cover as well as at the text.

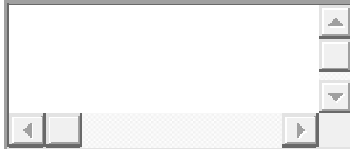
56. Do you find the book's back cover appealing? *

Please consider both design and content.

- ☐ Yes
- ☐ No
- ☐ Not sure

57. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.



This is the book's front cover.

Front cover of *Serve the People!*
published by Constable (Yan, 2007c).

58. How appealing do you find the cover? *

Not at all appealing 0 \leftrightarrow 100 Very appealing

59. Taking both front and back cover into account, do you think you would buy the book? *

- ☐ Yes
- ☐ No
- ☐ Maybe

Censorship revisited

After having seen the book front and back covers, please answer the following questions again.

60. If you hear/see/read that a book is banned in its country of origin, does that make the book more or less appealing to you? *

- ☐ More appealing
- ☐ Less appealing
- ☐ Neither
- ☐ Not sure

61. Do you think banned books are more or less interesting per se than non-banned books? *

- ☐ More interesting

- ☐ Less interesting
- ☐ No difference
- ☐ Not sure

62. Do you think banned books are better/worse quality per se than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

63. Do you think banned books are more or less exciting/thrilling per se than non-banned books? *

- ☐ More exciting/thrilling
- ☐ Less exciting/thrilling
- ☐ No difference
- ☐ Not sure

64. Did you notice that the book is banned in Mainland China? *

- ☐ yes
- ☐ no

65. If yes, did it influenced your decision on whether you would buy the book?

If no, please move on to the next question.

- ☐ yes
- ☐ no

66. If a book is actively marketed as a banned book, does this make it more or less appealing to you? *

- ☐ More appealing
- ☐ Less appealing

☐ Neither

☐ Not sure

Colours - Associations revisited

67. What do you associate with the following colours? *

Please name the first three associations you have, when thinking of each colour. If you don't associate anything with one of the colours, please add "nothing" in the appropriate box.

Red

Yellow

Blue

Green

Black

White

68. What are the first associations that come into your mind when thinking of China? *

Thank you very much for your participation. If you have any questions, please contact me:

Lena Kraemer, l.kraemer1@newcastle.ac.uk.

Appendix B – Preliminary Study English Readers

Willkommen!

EINVERSTÄNDNISERKLÄRUNG

Sehr geehrte Teilnehmerinnen und Teilnehmer,

Sie sind eingeladen worden, an dieser Studie teilzunehmen. Die Studie wird von Lena Krämer, Newcastle University, im Rahmen eines Promotionsvorhabens mit dem Titel „Paratexts in English and German translations of books banned by the Chinese government“ durchgeführt. Ziel dieser Studie ist es, die Wahrnehmung und Rezeption von Büchern durch Leser zu erforschen. Ein besonderer Fokus liegt darauf, die Einflüsse von Paratexten (z.B. Buchumschläge, Titel, Klappentexte etc.) auf die Wahrnehmung und Rezeption durch Leser zu erforschen.

Die Teilnahme an dieser Studie ist völlig freiwillig und Sie können sich jederzeit dazu entschließen, die Teilnahme zu beenden.

Die Studie umfasst das Ausfüllen eines Fragebogens, was etwa 30 Minuten dauern wird. Ihre Antworten werden streng vertraulich behandelt und es werden keine Daten erhoben, welche die Identifikation von Teilnehmern ermöglicht, wie Name, E-Mail oder IP-Adresse.

Ihre Daten werden vertraulich behandelt und werden passwortgeschützt gespeichert. Um die Vertraulichkeit Ihrer Daten zu gewährleisten, werden in der Studie keine Daten erfasst, welche eine persönliche Zuordnung von Antworten zu einer Person ermöglichen. Die Ergebnisse der Studie werden allein für Forschungszwecke verwendet.

Sollten Sie Fragen zur Studie oder deren Ablauf haben, wenden Sie sich bitte an Lena Krämer (E-Mail Adresse: l.kraemer1@newcastle.ac.uk).

Sollten Sie sich für die Ergebnisse der Studie interessieren, haben Sie die Möglichkeit, mir eine E-Mail an l.kraemer1@newcastle.ac.uk zu senden um Ihre E-Mail Adresse zu hinterlassen. Diese wird vertraulich behandelt und lediglich für das Zusenden der Ergebnisse nach Beendigung der Studie verwendet.

WICHTIG: Diese Studie ist nur für Teilnehmer mit Muttersprache Deutsch und ständigem Wohnsitz in Deutschland geeignet.

ELEKTRONISCHE EINVERSTÄNDNISERKLÄRUNG

Durch das Klicken auf „Weiter“ bestätigen Sie, dass

- Sie die oben stehenden gelesen und verstanden haben
- Sie freiwillig an der Studie teilnehmen
- Sie mindestens 18 Jahre alt sind

Sollten Sie nicht an dieser Studie teilnehmen oder sich dazu entschließen Ihre Teilnahme zu beenden, schließen Sie bitte dieses Browserfenster.

Statistische Daten

1. Alter *

- ☐ Unter 25
- ☐ 25-39
- ☐ 40+

2. Geschlecht *

- ☐ Weiblich
- ☐ Männlich

3. In welchem Land sind Sie aufgewachsen? *

- ☐ Deutschland
- ☐ Österreich
- ☐ Schweiz
- ☐ Anderes Land:

4. Ist Deutsch Ihre Muttersprache? *

- ☐ ja
- ☐ nein

Statistische Daten 2

5. Was ist Ihr höchster Bildungsabschluss? *

- ☐ Kein Schulabschluss
- ☐ Hauptschulabschluss
- ☐ Realschulabschluss
- ☐ Abitur (inkl. fachgebundene Hochschulreife und Fachhochschulreife)
- ☐ Abgeschlossene Berufsausbildung
- ☐ Abgeschlossenes (Fach-)Hochschulstudium (B.A.)
- ☐ Abgeschlossenes (Fach-)Hochschulstudium (M.A., Magister, Diplom)
- ☐ Promotion

6. Sprechen Sie Chinesisch? *

- ☐ Ja, fließend
- ☐ Ja, gut/sehr gut
- ☐ Ja, ein wenig
- ☐ Nein

7. Waren Sie schon einmal in der VR China? *

- ☐ Ja
- ☐ Nein

8. Arbeiten Sie in einer der folgenden Branchen? *

- ☐ Übersetzen/Dolmetschen
- ☐ Marketing
- ☐ Verlagswesen
- ☐ Einzelhandel
- ☐ Design

- ☐ Ich arbeite in KEINER der angegebenen Branchen

Entscheidungsfindung

9. Was hat den größten Einfluss auf Ihre Entscheidung, ein Buch zu kaufen oder lesen? *

Bitte max. 3 Antworten auswählen

- ☐ Autor
- ☐ Titel
- ☐ Umschlaggestaltung
- ☐ Klappentext (auf der Buchrückseite oder der Buchklappen)
- ☐ Buchrezensionen
- ☐ Empfehlungen
- ☐ Serie/Reihe/Verlag
- ☐ Anderes

10. Haben Sie jemals ein Buch gekauft, nur weil ihnen das Cover gefallen hat? *

- ☐ Ja
- ☐ Nein
- ☐ Weiß nicht/kann mich nicht erinnern

11. Haben Sie sich jemals gegen einen Buchkauf entschieden, weil Ihnen das Cover NICHT gefallen hat? *

- ☐ Ja
- ☐ Nein
- ☐ Weiß nicht/kann mich nicht erinnern

Zensur

12. Finden Sie ein Buch ansprechender /weniger ansprechend, wenn sie lesen/hören, dass es in seinem Ursprungsland verboten ist? *

- ☐ Ansprechender
- ☐ Weniger ansprechend
- ☐ Weder noch
- ☐ Unsicher

13. Finden Sie verbotene Bücher per se interessanter/weniger interessant als Bücher, die nicht verboten sind? *

- ☐ Interessanter
- ☐ Weniger interessant
- ☐ Weder noch
- ☐ Unsicher

14. Denken Sie, dass verbotene Bücher per se von besserer / schlechterer Qualität sind als Bücher, die nicht verboten sind? *

- ☐ Bessere Qualität
- ☐ Schlechtere Qualität
- ☐ Weder noch
- ☐ Unsicher

15. Finden Sie, dass verbotene Bücher per se mehr oder weniger spannend / aufregend sind als Bücher, die nicht verboten sind? *

- ☐ Spannender / aufregender
- ☐ Weniger spannend / aufregend
- ☐ Weder noch
- ☐ Unsicher

16. Haben Sie je ein in China verbotenes Buch gelesen? *

- ☐ Ja
- ☐ Nein

☐ Unsicher

Farben - Assoziationen

17. Was assoziieren Sie mit den folgenden Farben? *

Bitte geben Sie die ersten drei Assoziationen an, die Ihnen als erstes in den Sinn kommen. Sollte Ihnen zu einer Farbe nichts einfallen, tragen Sie bitte "nichts" in das Feld ein.

Rot

Gelb

Blau

Grün

Schwarz

Weiß

18. Was kommt Ihnen als erstes in den Sinn, wenn Sie an China denken? *

Buchcover

Auf den folgenden Seiten werden Sie Buchcover sehen, von denen der Titel, der Autor und der Verleger entfernt wurden. Bitte sehen Sie sich die Cover genau an, da Ihnen im Anschluss einige Fragen zu diesen gestellt werden.

Anmerkung: Die Buchtitel wurden manuell entfernt, was gelegentlich sichtbar ist. Bitte lassen Sie dies nicht ihren Gesamteindruck beeinflussen.

Buch 1 - Buchcover

Buch 1

Front cover without title and author of
Serve the People! published by Text
Publishing (Yan, 2007b)

19. Haben Sie dieses Buchcover schon einmal gesehen? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

20. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** \leftrightarrow **100** Sehr ansprechend

21. Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie dieses Buchcover sehen? *

Bitte geben Sie einzelne Wörter, Phrasen oder Sätze an.

22. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 2 - Buchcover

Buch 2

Front cover without title and author of
Serve the People! published by Black
Cat (Yan, 2007d)

23. Haben Sie dieses Buchcover schon einmal gesehen? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

24. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** \leftrightarrow **100** Sehr ansprechend

25. Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie dieses Buchcover sehen? *

Bitte geben Sie einzelne Wörter, Phrasen oder Sätze an.



26. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 3 - Buchcover

Buch 3

Front cover without title and author of
Dem Volke dienen published by List
(Yan, 2009a)

27. Haben Sie dieses Buchcover schon einmal gesehen? *

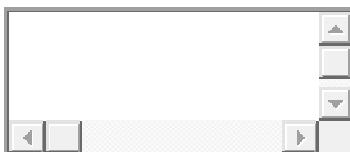
- ☐ Ja
- ☐ Nein
- ☐ Unsicher

28. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** \leftrightarrow **100** Sehr ansprechend

29. Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie dieses Buchcover sehen? *

Bitte geben Sie einzelne Wörter, Phrasen oder Sätze an.



30. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 4 - Buchcover

Buch 4

Front cover without title and author of
Dem Volke dienen published by
 Ullstein (Yan, 2007a)

31. Haben Sie dieses Buchcover schon einmal gesehen? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

32. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** ↔ **100** Sehr ansprechend

33. Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie dieses Buchcover sehen? *

Bitte geben Sie einzelne Wörter, Phrasen oder Sätze an.

34. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 5 - Buchcover

Buch 5

Front cover without title and author of
为人民服务 *Wei Renmin Fuwu*
published by Rye Field Publishing Co.
(Yan, 2006)

35. Haben Sie dieses Buchcover schon einmal gesehen? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

36. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** \leftrightarrow **100** Sehr ansprechend

37. Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie dieses Buchcover sehen? *

Bitte geben Sie einzelne Wörter, Phrasen oder Sätze an.

38. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buchtitel

39. Der Titel des Buches lautet "Dem Volke dienen". Haben Sie diesen Titel oder diesen Ausdruck schon einmal gehört? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

40. Was sind die ersten Assoziationen, die Ihnen in den Sinn kommen, wenn Sie "Dem Volke dienen" hören? *

41. Finden Sie den Titel "Dem Volke dienen" ansprechend? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

Buchcover mit Titel

Sie werden nun lediglich die Buchcover der deutschen Versionen sehen. Bitte beachten Sie, dass sie zuvor auch die Buchcover der englischen und chinesischen Versionen gesehen haben.

Buch 1

Front cover of *Dem Volke dienen*
published by List (Yan, 2009a).

42. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** \leftrightarrow **100** Sehr ansprechend

43. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 2

Front cover of *Dem Volke dienen*
published by Ullstein (Yan, 2007a).

44. Wie ansprechend finden Sie das Buchcover? *

Nicht sehr ansprechend **0** \leftrightarrow **100** Sehr ansprechend

45. Lediglich basierend auf dem Buchcover, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 1 - Buchrückseite

Buchrückseite 1

Back cover of *Dem Volke dienen*
published by List (Yan, 2009a).

Bitte schauen Sie sich sowohl das Design, als auch den Text an.

46. Finden Sie die Rückseite dieses Buches ansprechend? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

47. Was sind Ihrer Meinung nach die einprägsamsten Merkmale des Buches? *

Dies können inhaltliche Merkmale sein oder auch Schlagwörter die Ihnen in den Sinn kommen.

Dies ist das Buchcover.

Front cover of *Dem Volke dienen*
published by List (Yan, 2009a).

48. Wie ansprechend finden Sie das Buch insgesamt? *

Nicht sehr ansprechend 0 ↔ 100 Sehr ansprechend

49. Basierend auf Buchcover und Buchrückseite, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Buch 2 - Buchrückseite

Buchrückseite 2

Back cover of *Dem Volke dienen*
published by Ullstein (Yan, 2007a).

Bitte schauen Sie sich sowohl das Design, als auch den Text an.

50. Finden Sie die Rückseite dieses Buches ansprechend? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

51. Was sind Ihrer Meinung nach die einprägsamsten Merkmale des Buches? *

Dies können inhaltliche Merkmale sein oder auch Schlagwörter die Ihnen in den Sinn kommen.

Dies ist das Buchcover.

Front cover of *Dem Volke dienen*
published by Ullstein (Yan, 2007a).

52. Wie ansprechend finden Sie das Buch insgesamt? *

Nicht sehr ansprechend 0 ↔ 100 Sehr ansprechend

53. Basierend auf Buchcover und Buchrückseite, würden Sie das Buch kaufen? *

- ☐ Ja
- ☐ Nein
- ☐ Vielleicht

Zensur - Teil 2

Nachdem Sie nun die Buchcover gesehen haben, bitte ich Sie, die folgenden Fragen noch einmal zu beantworten.

54. Finden Sie ein Buch ansprechender /weniger ansprechend, wenn sie lesen/hören, dass es in seinem Ursprungsland verboten ist? *

- ☐ Ansprechender
- ☐ Weniger ansprechend
- ☐ Weder noch
- ☐ Unsicher

55. Finden Sie verbotene Bücher per se interessanter/weniger interessant als Bücher, die nicht verboten sind? *

- ☐ Interessanter
- ☐ Weniger interessant
- ☐ Weder noch
- ☐ Unsicher

56. Denken Sie, dass verbotene Bücher per se von besserer / schlechterer Qualität sind als Bücher, die nicht verboten sind? *

- ☐ Bessere Qualität
- ☐ Schlechtere Qualität
- ☐ Weder noch
- ☐ Unsicher

57. Finden Sie, dass verbote Bücher per se mehr oder weniger spannend / aufregend sind als Bücher, die nicht verboten sind? *

- ☐ Spannender / aufregender
- ☐ Weniger spannend / aufregend
- ☐ Weder noch
- ☐ Unsicher

58. Ist Ihnen aufgefallen, dass das Buch in China verboten ist? *

- ☐ Ja
- ☐ Nein

59. Falls ja, hat dies Ihre Entscheidung ob Sie das Buch kaufen würden oder nicht beeinflusst?

- ☐ Ja
- ☐ Nein

60. Wenn ein Buch aktiv als verbotenes Buch vermarktet wird, macht es dies für Sie ansprechender / weniger ansprechend? *

- ☐ Ansprechender
- ☐ Weniger ansprechend
- ☐ Weder noch
- ☐ Unsicher

Farben - Assoziationen - Teil 2

61. Was assoziieren Sie mit den folgenden Farben? *

Bitte geben Sie die ersten drei Assoziationen an, die Ihnen als erstes in den Sinn kommen. Sollte Ihnen zu einer Farbe nichts einfallen, tragen Sie bitte "nichts" in das Feld ein.

Rot

Gelb

Blau

Grün

Schwarz

Weiß

62. Was kommt Ihnen als erstes in den Sinn, wenn Sie an China denken? *

Vielen Dank für Ihre Teilnahme an dieser Studie. Sollten Sie Fragen haben, können Sie sich gerne an mich wenden: Lena Krämer, l.kraemer1@newcastle.ac.uk.

Appendix C – Main Reader-Response Study English Readers

Welcome!

INFORMED CONSENT

Dear participants,

You are being invited to participate in a reader-response study which is part of a doctoral research titled “Paratexts in English and German translations of books banned by the Chinese government”. The purpose of this research project is to research how readers perceive and receive books, with a special focus on the influences of paratexts (e.g. book cover, title, blurb, etc.) This is a research project being conducted by Lena Kraemer at Newcastle University.

Your participation in this research study is voluntary. You may choose not to participate. If you decide to participate in this research survey, you may withdraw at any time.

The procedure involves filling an online survey that will take approximately 30 minutes. Your responses will be confidential and we do not collect identifying information such as your name, email address or IP address.

We will do our best to keep your information confidential. All data is stored in a password protected electronic format. To help protect your confidentiality, the surveys will not contain information that will personally identify you. The results of this study will be used for scholarly purposes only.

If you have any questions about the research study, please contact Lena Kraemer (e-mail: l.kraemer1@newcastle.ac.uk).

IMPORTANT: This questionnaire is designed for English native speakers only.

Thank you very much for taking your time and participating in my study.

ELECTRONIC CONSENT

Clicking on the "next" button below indicates that:

- you have read the above information
- you voluntarily agree to participate
- you are at least 18 years of age

If you wish not to participate in this study, please close this tab or your browser.

Statistical data

1. Age *

- ☐ Under 25
- ☐ 25-39
- ☐ 40+

2. Gender *

- ☐ Female
- ☐ Male

3. In which country did you grow up? *

- ☐ United Kingdom
- ☐ United States
- ☐ Canada
- ☐ Australia
- ☐ Other:

4. Is English your mother tongue? *

- ☐ yes
- ☐ no

Statistical data 2

5. Do you have a university degree? *

B.A./M.A./PhD, incl. degrees from polytechnics

- ☐ Yes
- ☐ No

6. Do you speak Chinese? *

- ☐ Yes, fluent
- ☐ Yes, good/very good
- ☐ Yes, some
- ☐ No

7. Have you ever been to mainland China? *

- ☐ yes
- ☐ no

8. Do you work in any of the following sectors? *

- ☐ Translating/Interpreting
- ☐ Marketing
- ☐ Publishing
- ☐ Retail
- ☐ Design
- ☐ I DON'T work in any of the above sectors

Decision-making

9. What are the most influential factors when deciding to buy or read a book? *

Please select max. 3

- ☐ Author
- ☐ Title
- ☐ Cover design
- ☐ Blurb (either on the back cover or the inside flaps)
- ☐ Book reviews

- ☐ Recommendations
- ☐ Series/Publisher
- ☐ Other

10. Did you ever buy a book simply because you liked the cover? *

- ☐ Yes
- ☐ No
- ☐ Don't know/Can't remember

11. Did you ever NOT buy a book because you disliked the cover? *

- ☐ Yes
- ☐ No
- ☐ Don't know/Can't remember

Censorship

12. If you hear/see/read that a book is banned in its country of origin, does that make the book more or less appealing to you? *

- ☐ More appealing
- ☐ Less appealing
- ☐ No difference
- ☐ Not sure

13. Do you think banned books are more or less interesting per se than non-banned books? *

- ☐ More interesting
- ☐ Less interesting
- ☐ No difference
- ☐ Not sure

14. Do you think banned books are better/worse quality per se than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

15. Do you think banned books are more or less exciting/thrilling per se than non-banned books? *

- ☐ More exciting/thrilling
- ☐ Less exciting/thrilling
- ☐ No difference
- ☐ Not sure

16. Have you ever read a banned book from China? *

- ☐ Yes
- ☐ No
- ☐ Not sure

17. What are the first associations that come into your mind when thinking of China? *

Book titles

18. The title of the first book is "Serve the People!". Have you heard the title or the phrase in general before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

19. What are the first associations that come to your mind when you read "Serve the People"? *

20. How appealing do you find the title "Serve the People"? *

Not appealing at all 0 ← → 100 Very appealing

21. The title of the second book is "Dream of Ding Village". Have you heard the title before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

22. What are the first associations that come to your mind when you read "Dream of Ding Village"? *

23. How appealing do you find the title "Dream of Ding Village"? *

Not appealing at all 0 ← → 100 Very appealing

24. The title of the third book is "For a song and a hundred songs: A poet's journey through a Chinese prison". Have you heard the title before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

25. What are the first associations that come to your mind when you read "For a song and a hundred songs: A poet's journey through a Chinese prison"? *

26. How appealing do you find the title "For a song and a hundred songs: A poet's journey through a Chinese prison"? *

Not appealing at all **0** ← → **100** Very appealing

27. The title of the fourth book is "Tombstone: The great Chinese famine, 1958-1962" (US) / "Tombstone: The untold story of Mao's Great Famine" (UK). Have you heard of either of the titles before? *

- ☐ Yes
- ☐ No
- ☐ Not sure

28. What are the first associations that come to your mind when you read "Tombstone: The great Chinese famine, 1958-1962" / "Tombstone: The untold story of Mao's Great Famine"? *

29. How appealing do you find the title "Tombstone: The great Chinese famine, 1958-1962"? *

Not appealing at all **0** ← → **100** Very appealing

30. How appealing do you find the title "Tombstone: The untold story of Mao's Great Famine"? *

Not appealing at all **0** ← → **100** Very appealing

Book covers

On the following pages you will see different book cover versions of the same book. Please rate the book cover design's over appeal and write down associations you have with the covers.

Book 1 of 4

Book 1 - Version 1

Front cover of *Serve the People!*
published by Constable (Yan, 2007c) .

31. How appealing do you find the book cover? *

Not appealing at all **0** ← → **100** Very appealing

Book 1 - Version 2

Front cover of *Serve the People!*
published by Black Cat (Yan, 2007d).

32. How appealing do you find the book cover? *

Not appealing at all **0** ← → **100** Very appealing

Book 1 - Version 3

Front cover of *Serve the People!*
published by Text Publishing (Yan,
2007b).

33. How appealing do you find the book cover? *

Not appealing at all **0** ← → **100** Very appealing

34. What do you think this book is about? What are the first things or associations that come to your mind when you see the cover(s)? *

Please enter anything that comes to your mind relating to content, genre, design, title, colours, etc.

35. How well do you think the title matches the cover design? *

- ☐ Very well
- ☐ Well
- ☐ Neutral
- ☐ Not very well
- ☐ Not at all

36. Please give a reason for your answer. *

Book 2 of 4

Book 2 - Version 1

Front cover of *Dream of Ding Village*
published by Grove Atlantic (Yan,
2009c)

37. How appealing do you find the book cover? *

Not appealing at all 0 ← → 100 Very appealing

Book 2 - Version 2

Front cover of *Dream of Ding Village*
published by Corsair (Yan, 2012)

38. How appealing do you find the book cover? *

Not appealing at all **0** ← → **100** Very appealing

39. What do you think this book is about? What are the first things or associations that come to your mind when you see the cover(s)? *

Please enter anything that comes to your mind relating to content, genre, design, title, colours, etc.

40. How well do you think the title matches the cover design? *

- ☐ Very well
- ☐ Well
- ☐ Neutral
- ☐ Not very well
- ☐ Not at all

41. Please give a reason for your answer. *

Book 3 of 4

Book 3 - Version 1

Front cover of *For a song and a hundred songs* published by New Harvest (Liao, 2013c).

42. How appealing do you find the book cover? *

Not appealing at all 0 ← → 100 Very appealing

Book 3 - Version 2

Front cover of *For a song and a hundred songs* published by Text Publishing (Liao, 2013b)

43. How appealing do you find the book cover? *

Not appealing at all 0 ← → 100 Very appealing

44. What do you think this book is about? What are the first things or associations that come to your mind when you see the cover(s)? *

Please enter anything that comes to your mind relating to content, genre, design, title, colours, etc.

45. How well do you think the title matches the cover design? *

- ☐ Very well
- ☐ Well
- ☐ Neutral
- ☐ Not very well
- ☐ Not at all

46. Please give a reason for your answer. *

Book 4 of 4

Book 4 - Version 1

Front cover of *Tombstone – The untold story of Mao's Great Famine* published by Penguin (Yang, 2013b)

47. How appealing do you find the book cover? *

Not appealing at all 0 ← → 100 Very appealing

Book 4 - Version 2

Front cover of *Tombstone: The great Chinese famine, 1958-1962* published by Farrar, Strauss & Giroux (Yang, 2013a).

48. How appealing do you find the book cover? *

Not appealing at all 0 ← → 100 Very appealing

49. What do you think this book is about? What are the first things or associations that come to your mind when you see the cover(s)? *

Please enter anything that comes to your mind relating to content, genre, design, title, colours, etc.

50. How well do you think the title matches the cover design? *

- ☐ Very well
- ☐ Well
- ☐ Neutral
- ☐ Not very well
- ☐ Not at all

51. Please give a reason for your answer. *

Back covers

On the following pages you will see the back covers of the books. Please rate the appeal of the back covers and name the most memorable features of the book.

Back covers - Book 1 of 4

Back cover - Book 1 Version1

Back cover of *Serve the People!*
published by Constable (Yan, 2007c).

52. How appealing do you find the back cover? *

Not appealing at all 0 ← → 100 Very appealing

Back cover - Book 1 Version 2

Back cover of *Serve the People!*
published by Black Cat (Yan, 2007d).

53. How appealing do you find the back cover? *

Not appealing at all 0 ← → 100 Very appealing

Back cover - Book 1 Version 3

Back cover of *Serve the People!*
published by Text Publishing (Yan,
2007b).

54. How appealing do you find the back cover? *

Not appealing at all 0 ← → 100 Very appealing

55. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.

Back covers - Book 2 of 4

Back cover - Book 2 Version 1

Back cover of *Dream of Ding Village*
published by Grove Press (Yan, 2009c).

56. How appealing do you find the back cover? *

Not appealing at all 0 ← → 100 Very appealing

Back cover - Book 2 Version 2

Back cover of *Dream of Ding Village*
published by Corsair (Yan, 2012).

57. How appealing do you find the back cover? *

Not appealing at all 0 ← → 100 Very appealing

58. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.

Back covers - Book 3 of 4

Back cover - Book 3 Version 1

Back cover of *For a song and a hundred songs* published by New Harvest (Liao, 2013c).

59. How appealing do you find the back cover? *

Not appealing at all **0** ← → **100** Very appealing

Back cover - Book 3 Version 2

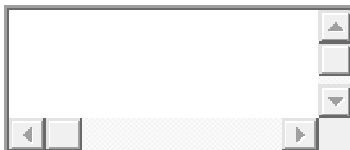
Back cover of *For a song and a hundred songs* published by Text Publishing (Liao, 2013b).

60. How appealing do you find the back cover? *

Not appealing at all **0** ← → **100** Very appealing

61. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.



Back covers - Book 4 of 4

Back cover - Book 4 Version 1

Back cover of *Tombstone – The untold story of Mao's Great Famine* published by Penguin (Yang, 2013b).

62. How appealing do you find the back cover? *

Not appealing at all **0** ← → **100** Very appealing

Back cover - Book 4 Version 2

Back cover of *Tombstone: The great Chinese famine, 1958-1962* published by Farrar, Strauss & Giroux (Yang, 2013a).

63. How appealing do you find the back cover? *

Not appealing at all **0** ← → **100** Very appealing

64. What are the most memorable features of the book (in terms of content or key words that stand out to you). *

Please separate the characteristics with a comma.

Censorship - revisited

65. If you hear/see/read that a book is banned in its country of origin, does that make the book more or less appealing to you? *

- ☐ More appealing
- ☐ Less appealing
- ☐ No difference
- ☐ Not sure

66. Do you think banned books are more or less interesting per se than non-banned books? *

- ☐ More interesting
- ☐ Less interesting
- ☐ No difference
- ☐ Not sure

67. Do you think banned books are better/worse quality per se than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

68. Do you think banned books are more or less exciting/thrilling per se than non-banned books? *

- ☐ More exciting/thrilling
- ☐ Less exciting/thrilling
- ☐ No difference
- ☐ Not sure

69. Have you ever read a banned book from China? *

- ☐ Yes
- ☐ No
- ☐ Not sure

70. What are the first associations that come into your mind when thinking of China? *

Thank you very much for your participation. If you have any questions, please contact me:
Lena Kraemer, l.kraemer1@newcastle.ac.uk.

Appendix D – Main Reader-Response Study German Readers

Willkommen!

EINVERSTÄNDNISERKLÄRUNG

Sehr geehrte Teilnehmerinnen und Teilnehmer,

Sie sind eingeladen wurden, an dieser Studie teilzunehmen. Die Studie wird von Lena Krämer, Newcastle University, im Rahmen eines Promotionsvorhabens mit dem Titel „Paratexts in English and German translations of books banned by the Chinese government“ durchgeführt. Ziel dieser Studie ist es, die Wahrnehmung und Rezeption von Büchern durch Leser zu erforschen. Ein besonderer Fokus liegt darauf, die Einflüsse von Paratexten (z.B. Buchumschläge, Titel, Klappentexte etc.) auf die Wahrnehmung und Rezeption durch Leser zu erforschen.

Die Teilnahme an dieser Studie ist völlig freiwillig und Sie können sich jederzeit dazu entschließen, die Teilnahme zu beenden.

Die Studie umfasst das Ausfüllen eines Fragebogens, was etwa 30 Minuten dauern wird. Ihre Antworten werden streng vertraulich behandelt und es werden keine Daten erhoben, welche die Identifikation von Teilnehmern ermöglicht, wie Name, E-Mail oder IP-Adresse.

Ihre Daten werden vertraulich behandelt und werden passwortgeschützt gespeichert. Um die Vertraulichkeit Ihrer Daten zu gewährleisten, werden in der Studie keine Daten erfasst, welche eine persönliche Zuordnung von Antworten zu einer Person ermöglichen. Die Ergebnisse der Studie werden allein für Forschungszwecke verwendet.

Sollten Sie Fragen zur Studie oder deren Ablauf haben, wenden Sie sich bitte an Lena Krämer (E-Mail Adresse: l.kraemer1@newcastle.ac.uk).

WICHTIG: Diese Studie ist nur für Teilnehmer mit Muttersprache Deutsch geeignet.

ELEKTRONISCHE EINVERSTÄNDNISERKLÄRUNG

Durch das Klicken auf „Weiter“ bestätigen Sie, dass

- Sie die oben stehenden gelesen und verstanden haben
- Sie freiwillig an der Studie teilnehmen
- Sie mindestens 18 Jahre alt sind

Sollten Sie nicht an dieser Studie teilnehmen oder sich dazu entschließen Ihre Teilnahme zu beenden, schließen Sie bitte dieses Browserfenster.

Statistische Daten

1. Alter *

- ☐ Unter 25
- ☐ 25-39
- ☐ 40+

2. Geschlecht *

- ☐ Weiblich
- ☐ Männlich

3. In welchem Land sind Sie aufgewachsen? *

- ☐ Deutschland
- ☐ Österreich
- ☐ Schweiz
- ☐ Anderes Land:

4. Ist Deutsch Ihre Muttersprache? *

- ☐ ja
- ☐ Nein

Statistische Daten 2

5. Was ist Ihr höchster Bildungsabschluss? *

- ☐ Kein Schulabschluss
- ☐ Hauptschulabschluss
- ☐ Realschulabschluss
- ☐ Abitur (inkl. fachgebundene Hochschulreife und Fachhochschulreife)
- ☐ Abgeschlossene Berufsausbildung
- ☐ Abgeschlossenes (Fach-)Hochschulstudium (B.A.)

- ☐ Abgeschlossenes (Fach-)Hochschulstudium (M.A., Magister, Diplom)
- ☐ Promotion

6. Sprechen Sie Chinesisch? *

- ☐ Ja, fließend
- ☐ Ja, gut/sehr gut
- ☐ Ja, ein wenig
- ☐ Nein

7. Waren Sie schon einmal in der VR China? *

- ☐ Ja
- ☐ Nein

8. Arbeiten Sie in einer der folgenden Branchen? *

- ☐ Übersetzen/Dolmetschen
- ☐ Marketing
- ☐ Verlagswesen
- ☐ Einzelhandel
- ☐ Design
- ☐ Ich arbeite in KEINER der angegebenen Branchen

Entscheidungsfindung

9. Was hat den größten Einfluss auf Ihre Entscheidung, ein Buch zu kaufen oder lesen? *

Bitte max. 3 Antworten auswählen

- ☐ Autor
- ☐ Titel
- ☐ Umschlaggestaltung

- ☐ Klappentext (auf der Buchrückseite oder der Buchklappen)
- ☐ Buchrezensionen
- ☐ Empfehlungen
- ☐ Serie/Reihe/Verlag
- ☐ Anderes

10. Haben Sie jemals ein Buch gekauft, nur weil ihnen das Cover gefallen hat? *

- ☐ Ja
- ☐ Nein
- ☐ Weiß nicht/kann mich nicht erinnern

11. Haben Sie sich jemals gegen einen Buchkauf entschieden, weil Ihnen das Cover NICHT gefallen hat? *

- ☐ Ja
- ☐ Nein
- ☐ Weiß nicht/kann mich nicht erinnern

Zensur

12. Finden Sie ein Buch ansprechender /weniger ansprechend, wenn sie lesen/hören, dass es in seinem Ursprungsland verboten ist? *

- ☐ Ansprechender
- ☐ Weniger ansprechend
- ☐ Weder noch
- ☐ Unsicher

13. Finden Sie verbotene Bücher per se interessanter/weniger interessant als Bücher, die nicht verboten sind? *

- ☐ Interessanter
- ☐ Weniger interessant
- ☐ Weder noch
- ☐ Unsicher

14. Denken Sie, dass verbotene Bücher per se von besserer / schlechterer Qualität sind als Bücher, die nicht verboten sind? *

- ☐ Bessere Qualität
- ☐ Schlechtere Qualität
- ☐ Weder noch
- ☐ Unsicher

15. Finden Sie, dass verbotene Bücher per se mehr oder weniger spannend / aufregend sind als Bücher, die nicht verboten sind? *

- ☐ Spannender / aufregender
- ☐ Weniger spannend / aufregend
- ☐ Weder noch
- ☐ Unsicher

16. Haben Sie je ein in China verbotenes Buch gelesen? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

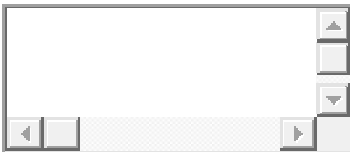
17. Was kommt Ihnen als erstes in den Sinn, wenn Sie an China denken? *

Buchtitel

18. Der Titel des ersten Buchs ist "Dem Volke dienen". Haben Sie den Titel oder den Ausdruck generell schon einmal gehört? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

19. Was sind die ersten Assoziationen, die Ihnen in den Sinn kommen, wenn Sie den Titel "Dem Volke dienen" lesen/hören? *



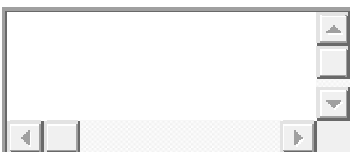
20. Wie ansprechend finden Sie den Titel "Dem Volke dienen"? *

Überhaupt nicht ansprechend 0 ← → 100 Sehr ansprechend

21. Der Titel des zweiten Buchs ist "Der Traum meines Großvaters". Haben Sie den Titel schon einmal gehört? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

22. Was sind die ersten Assoziationen, die Ihnen in den Sinn kommen, wenn Sie den Titel "Der Traum meines Großvaters" lesen/hören? *



23. Wie ansprechend finden Sie den Titel "Der Traum meines Großvaters"? *

Überhaupt nicht ansprechend 0 ← → 100 Sehr ansprechend

24. Der Titel des dritten Buchs ist "Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen". Haben Sie den Titel schon einmal gehört? *

- ☐ Ja

- ☐ Nein
- ☐ Unsicher

25. Was sind die ersten Assoziationen, die Ihnen in den Sinn kommen, wenn Sie den Titel "Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen" lesen/hören? *

26. Wie ansprechend finden Sie den Titel "Für ein Lied und hundert Lieder: Ein Zeugenbericht aus chinesischen Gefängnissen"? *

Überhaupt nicht ansprechend **0** ← → **100** Sehr ansprechend

27. Der Titel des vierten Buchs ist "Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962". Haben Sie den Titel schon einmal gehört? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

28. Was sind die ersten Assoziationen, die Ihnen in den Sinn kommen, wenn Sie den Titel "Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962" lesen/hören? *

29. Wie ansprechend finden Sie den Titel "Grabstein - Mùbēi: Die große chinesische Hungerkatastrophe 1958-1962"? *

Überhaupt nicht ansprechend **0** ← → **100** Sehr ansprechend

Buchcover

Auf den folgenden Seiten werden Sie die Buchcover verschiedener Versionen von vier unterschiedlichen Büchern sehen. Bitte bewerten Sie, wie ansprechend Sie das jeweilige Buchcover finden und welche Assoziationen Ihnen in den Sinn kommen. Sollten die

Buchcover von gebundener und paperback Ausgabe identisch sein, werden Sie nur ein Buchcover sehen.

Buch 1 von 4

Buch 1 - Version 1

Front cover of *Dem Volke dienen*
published by Ullstein (Yan, 2007a)

30. Wie ansprechend finden Sie das Buchcover? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

Buch 1 - Version 2

Front cover of *Dem Volke dienen*
published by List (Yan, 2009a)

31. Wie ansprechend finden Sie das Buchcover? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

32. Was glauben Sie, ist das Thema des Buches? Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie diese(s) Buchcover sehen? *

Bitte nennen Sie alles, was Ihnen in Bezug auf Thema, Inhalt, Genre, Design, Titel, Farben, etc. in den Sinn kommt.

33. Wie gut passt Ihrer Meinung nach der Buchtitel zum Buchcover design? *

- ☐ Sehr gut
- ☐ Gut

- ☐ Neutral
- ☐ Weniger gut
- ☐ Überhaupt nicht

34. Bitte geben Sie die Gründe für Ihre Antwort an. *

Buch 2 von 4

Buch 2

Front cover of *Der Traum meines Großvaters* published by Ullstein (Yan, 2009b)

Das Cover der gebundenen und paperback Ausgabe ist identisch.

35. Wie ansprechend finden Sie das Buchcover? *

Überhaupt nicht ansprechend **0** ↔ **100** Sehr ansprechend

36. Was glauben Sie, ist das Thema des Buches? Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie diese(s) Buchcover sehen? *

Bitte nennen Sie alles, was Ihnen in Bezug auf Thema, Inhalt, Genre, Design, Titel, Farben, etc. in den Sinn kommt.

37. Wie gut passt Ihrer Meinung nach der Buchtitel zum Buchcover design? *

- ☐ Sehr gut
- ☐ Gut

- ☐ Neutral
- ☐ Weniger gut
- ☐ Überhaupt nicht

38. Bitte geben Sie die Gründe für Ihre Antwort an. *

Buch 3 von 4

Buch 3 - Version 1

Front cover of *Für ein Lied und hundert Lieder* published by S. Fischer (hardcover) (Liao, 2011).

39. Wie ansprechend finden Sie das Buchcover? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

Buch 3 - Version 2

Front cover of *Für ein Lied und hundert Lieder* published by S. Fischer (paperback) (Liao, 2012).

40. Wie ansprechend finden Sie das Buchcover? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

41. Was glauben Sie, ist das Thema des Buches? Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie diese(s) Buchcover sehen? *

Bitte nennen Sie alles, was Ihnen in Bezug auf Thema, Inhalt, Genre, Design, Titel, Farben, etc. in den Sinn kommt.

42. Wie gut passt Ihrer Meinung nach der Buchtitel zum Buchcover design? *

- ☐ Sehr gut
- ☐ Gut
- ☐ Neutral
- ☐ Weniger gut
- ☐ Überhaupt nicht

43. Bitte geben Sie die Gründe für Ihre Antwort an. *

Buch 4 von 4

Buch 4

Front cover of *Grabstein* published by
S. Fischer (Yang, 2012).

44. Wie ansprechend finden Sie das Buchcover? *

Überhaupt nicht ansprechend **0** ↔ **100** Sehr ansprechend

45. Was glauben Sie, ist das Thema des Buches? Was sind die ersten Dinge oder Assoziationen die Ihnen in den Sinn kommen, wenn Sie dieses Buchcover sehen? *

Bitte nennen Sie alles, was Ihnen in Bezug auf Thema, Inhalt, Genre, Design, Titel, Farben, etc. in den Sinn kommt.

46. Wie gut passt Ihrer Meinung nach der Buchtitel zum Buchcover design? *

- ☐ Sehr gut
- ☐ Gut
- ☐ Neutral
- ☐ Weniger gut
- ☐ Überhaupt nicht

47. Bitte geben Sie die Gründe für Ihre Antwort an. *

Buchrückseiten

Auf den folgenden Seiten werden Sie die Buchrückseiten der vier Bücher sehen. Bitte bewerten Sie, wie ansprechend Sie die jeweilige Buchrückseite finden und bitte nennen Sie die einprägsamsten Merkmale.

Buchrückseiten - Buch 1 von 4

Buch 1 - Version 1

Back cover of *Dem Volke dienen*
published by Ullstein (Yan, 2007a).

48. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend **0** ↔ **100** Sehr ansprechend

Buch 1 - Version 2

Back cover of *Dem Volke dienen*
published by List (Yan, 2009a).

49. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

50. Was sind die für Sie einprägsamsten Merkmale des Buchs (in Bezug auf Inhalt oder Schlagwörter)? *

Bitte trennen Sie die unterschiedlichen Charakteristika mit einem Komma.

Buchrückseiten - Buch 2 von 4

Buch 2 - Version 1

Back cover of *Der Traum meines Großvaters* published by Ullstein (Yan, 2009b).

51. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

Buch 2 - Version 2

Back cover of *Der Traum meines Großvaters* published by List (Yan, 2011).

52. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend 0 \leftrightarrow 100 Sehr ansprechend

53. Was sind die für Sie einprägsamsten Merkmale des Buchs (in Bezug auf Inhalt oder Schlagwörter)? *

Bitte trennen Sie die unterschiedlichen Charakteristika mit einem Komma.

Buchrückseiten - Buch 3 von 4

Buch 3 - Version 1

Back cover of *Für ein Lied und hundert Lieder* published by S. Fischer (hardcover) (Liao, 2011).

54. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend 0 \leftrightarrow 100 Sehr ansprechend

Buch 3 - Version 2

Back cover of *Für ein Lied und hundert Lieder* published by S. Fischer (paperback) (Liao, 2012).

55. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend 0 \leftrightarrow 100 Sehr ansprechend

56. Was sind die für Sie einprägsamsten Merkmale des Buchs (in Bezug auf Inhalt oder Schlagwörter)? *

Bitte trennen Sie die unterschiedlichen Charakteristika mit einem Komma.

Buchrückseiten - Buch 4 von 4

Buch 4

Back cover of *Grabstein* published by
S. Fischer (Yang, 2012).

57. Wie ansprechend finden Sie den die Buchrückseite? *

Überhaupt nicht ansprechend 0 ↔ 100 Sehr ansprechend

58. Was sind die für Sie einprägsamsten Merkmale des Buchs (in Bezug auf Inhalt oder Schlagwörter)? *

Bitte trennen Sie die unterschiedlichen Charakteristika mit einem Komma.

Zensur - Teil 2

59. Finden Sie ein Buch ansprechender /weniger ansprechend, wenn sie lesen/hören, dass es in seinem Ursprungsland verboten ist? *

- ☐ Ansprechender
- ☐ Weniger ansprechend
- ☐ Weder noch
- ☐ Unsicher

60. Finden Sie verbotene Bücher per se interessanter/weniger interessant als Bücher, die nicht verboten sind? *

- ☐ Interessanter
- ☐ Weniger interessant
- ☐ Weder noch
- ☐ Unsicher

61. Denken Sie, dass verbotene Bücher per se von besserer / schlechterer Qualität sind als Bücher, die nicht verboten sind? *

- ☐ Bessere Qualität
- ☐ Schlechtere Qualität
- ☐ Weder noch
- ☐ Unsicher

62. Finden Sie, dass verbotene Bücher per se mehr oder weniger spannend / aufregend sind als Bücher, die nicht verboten sind? *

- ☐ Spannender / aufregender
- ☐ Weniger spannend / aufregend
- ☐ Weder noch
- ☐ Unsicher

63. Haben Sie je ein in China verbotenes Buch gelesen? *

- ☐ Ja
- ☐ Nein
- ☐ Unsicher

64. Was kommt Ihnen als erstes in den Sinn, wenn Sie an China denken? *

Vielen Dank für Ihre Teilnahme an dieser Studie. Sollten Sie Fragen haben, können Sie sich gerne an mich wenden: Lena Krämer, l.kraemer1@newcastle.ac.uk.

Appendix E – Online Survey with Translators (English)

Informed Consent

INFORMED CONSENT

Dear participant,

You are being invited to participate in an interview which is part of my doctoral research entitled “Paratexts in English and German translations of books banned by the Chinese government”. The purpose of this research project is to research how and to what extent paratexts (book covers, titles, blurbs etc.) are used to influence and target readers. Further it aims to find out what the intentions of translators and publishers were when translating and publishing Chinese banned books and how these are reflected in the paratexts. In addition, the interviews will include questions regarding personal and professional background as well as the production and publication process of translations in order to contextualise your responses.

I will do my best to keep your information confidential. All data is stored in a password protected electronic format. The data will not be anonymous at the time of collection, but to help protect your confidentiality, all identifying information will be anonymised in my thesis, so as to not allow any links between statements and an individual person or publication.

Your participation in this research study is voluntary. You may choose not to participate. If you decide to participate in this research, you may withdraw at any time.

This is a research project being conducted by Lena Kraemer at Newcastle University.

If you have any questions about the research study, please contact Lena Kraemer (e-mail: l.kraemer1@newcastle.ac.uk).

You will be able to interrupt the study and return later. Please write down the Code which you need to access the study.

Thank you very much for taking your time and participating in my study.

ELECTRONIC CONSENT

Clicking on the "next" button below indicates that:

- you have read the above information
- you voluntarily agree to participate
- you are at least 18 years of age

If you wish not to participate in this study, please close this tab or your browser.

Further information

This survey aims to investigate the influence of translators on the paratexts of a translation. Please rest assured that the intention of this survey is not to investigate translation quality, the translator's decisions or translation errors.

All questions in this survey are marked as compulsory, however, if there are any open questions you can't or don't want to comment on, please write N/A in the text box. If you cannot name specific examples for a question, you can reply in more general terms.

Thank you very much for your cooperation, I really appreciate your help.

Selection and Translation of Chinese literature

1. Does the fact that a book is banned in China generally influence your decision to translate it? *

Please answer with regards to your work as a translator in general.

☐ Yes

☐ No

☐ Other:

2. Regarding the translation in question, who decided to translate the book? *

☐ I approached the publisher suggesting the translation

☐ The publisher asked me to translate the book

☐ Other:

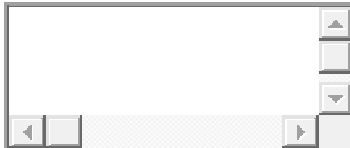
3. How many publishers did you approach with the suggestion to translate this book/these books? Was it difficult to persuade them to commission/publish this translation? *

4. Did the publisher contact you directly or were you contacted by a translation agency? *



Translating Chinese literature

5. Do you always have a specific readership in mind when translating Chinese literature? *



6. Do you think Chinese literature is well presented in your local book market? *



Chinese banned books

7. Do you think Chinese banned books are per se of better/worse quality than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

8. Do you think banned books from China are more/less appealing to readers than non-banned books? *

- ☐ More
- ☐ Less
- ☐ No difference
- ☐ Not sure

9. Do you think Chinese banned books sell better or worse than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

Paratexts - general

The following section is to investigate the translator's influence on paratextual elements in general.

10. What do you think about/is your impression of cover designs of translated Chinese literature in general? *

11. Did you ever deem a target-language title as unsuitable/inappropriate/misleading for a book you translated? Why? Why not? *

If you were not involved in choosing the title or the title was changed after you agreed on a title with the publisher.

12. Are you ever consulted about the cover design or does your “job” end with handing in the translation? *

13. Did you ever deem a target-language cover of a book you translated unsuitable/inappropriate/misleading? *

Paratexts - selected translations

This section investigates your influence on the paratexts of the books included in this study.

14. Did you have a specific readership in mind when translating this particular book? *

15. Were you involved in choosing the target-language title for the book? If so, in what way? If not, was it the publishers or your choice? *

Please answer as detailed as possible.

16. Were you involved in writing the blurb? If so, in what way? *

17. If your translation contains a translator's note, translator's foreword, etc., whose choice was it to include it? *

18. If your translation contains foot-/endnotes, who chose to include them? *

Personal background

19. In which country did you grow up? *

20. What is your native language? *

If you grew up bilingual, please name both languages.

21. For how many years have you worked as a literary translator from Chinese? *

22. Do you primarily work with one specific publisher or do you work with several? *

Thank you!

Thank you very much for your participation. Please don't hesitate to ask if you have any questions (I.kraemer1@newcastle.ac.uk).

Appendix F – Online Survey with Translators (German)

Einverständniserklärung

EINVERSTÄNDNISERKLÄRUNG

Sehr geehrte Teilnehmerinnen und Teilnehmer,

Sie sind eingeladen wurden, an dieser Studie teilzunehmen. Die Studie wird von Lena Krämer, Newcastle University, im Rahmen eines Promotionsvorhabens mit dem Titel „Paratexts in English and German translations of books banned by the Chinese government“ durchgeführt. Ziel dieser Studie ist es herauszufinden, ob und in welchem Maß Paratexte (Buchcover, Buchtitel, Klappentexte, etc.) genutzt werden, um Leser zu beeinflussen und anzusprechen. Zudem sollen die Intentionen von Übersetzern und Verlegern während des Übersetzungs- und Publikationsprozesses von verbotener Chinesischer Literatur erforscht werden und inwieweit sich diese in den Paratexten widerspiegeln. Zudem wird das Interview Fragen zu Ihrem persönlichen und beruflichen Hintergrund beinhalten, welche eine bessere Kontextualisierung der Antworten ermöglicht.

Ihre Daten werden vertraulich behandelt und werden passwortgeschützt gespeichert. Die Daten sind zum Zeitpunkt der Erfassung nicht anonymisiert. Um jedoch Vertraulichkeit zu gewährleisten werden sämtliche Informationen, welche einen Rückschluss auf eine bestimmte Person oder Publikation zulassen würden, in meiner Doktorarbeit anonymisiert.

Die Teilnahme an dieser Studie ist völlig freiwillig und Sie können sich jederzeit dazu entschließen, die Teilnahme zu beenden.

Sollten Sie Fragen zur Studie oder deren Ablauf haben, wenden Sie sich bitte an Lena Krämer (E-Mail Adresse: l.kraemer1@newcastle.ac.uk).

Sie können die Umfrage unterbrechen und zu einem späteren Zeitpunkt fortsetzen. Bitte notieren Sie sich hierzu den angegebenen Code, da Sie diesen benötigen, um die Umfrage fortzusetzen.

Vielen Dank für die Teilnahme an meiner Studie.

EINVERSTÄNDNISERKLÄRUNG

Durch das Klicken auf „Weiter“ bestätigen Sie, dass

- Sie die oben stehenden gelesen und verstanden haben

- Sie freiwillig an der Studie teilnehmen
- Sie mindestens 18 Jahre alt sind

Sollten Sie nicht an dieser Studie teilnehmen oder sich dazu entschließen Ihre Teilnahme zu beenden, schließen Sie bitte dieses Browserfenster.

Zusätzliche Informationen

Diese Umfrage untersucht den Einfluss von Übersetzern auf die Paratexte einer Übersetzung. Ich kann Ihnen versichern, dass die Umfrage nicht zum Ziel hat, die Übersetzungsqualität, Übersetzungsfehler oder Entscheidungen des Übersetzers zu untersuchen.

In dieser Umfrage sind alle Fragen als Pflichtfragen markiert. Möchten Sie jedoch eine Frage nicht beantworten, schreiben Sie bitte N/A in das entsprechende Textfeld. Wenn Sie für manche Fragen keine spezifischen Angaben machen können, antworten Sie bitte etwas allgemeiner.

Ich bedanke mich vielmals für die Zusammenarbeit.

Auswahl und Übersetzung chinesischer Literatur

1. Beeinflusst die Tatsache, dass ein Buch in China verboten ist, ihre Entscheidung es zu übersetzen? *

Bitte beantworten Sie die Frage in Bezug auf Ihre Arbeit als Übersetzer im Allgemeinen.

- ☐ Ja
- ☐ Nein
- ☐ Anderes:

2. In Bezug auf betreffende Übersetzung, wer entschied das Buch zu übersetzen? *

- ☐ Ich bin an den Verlag herangetreten.
- ☐ Der Verlag bat mich das Buch zu übersetzen.
- ☐ Anderes:

3. An wie viele Verleger sind Sie mit dem Vorschlag das Buch/ die Bücher zu übersetzen herangetreten? War es schwierig den Verlag zu überzeugen, die Übersetzung in Auftrag zu geben/ das Buch herauszugeben? *

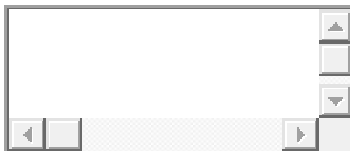


4. Hat der Verlag Sie direkt kontaktiert oder erfolgte der Kontakt über eine Agentur? *

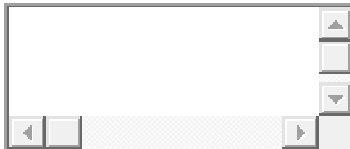


Übersetzung chinesischer Literatur

5. Haben Sie immer eine spezifische Zielgruppe von Lesern im Hinterkopf, wenn Sie chinesische Literatur übersetzen? *



6. Denken Sie, dass chinesische Literatur auf dem Buchmarkt ihres Landes gut präsentiert wird? *



Verbotene Literatur aus China

7. Denken Sie, dass verbotene Bücher per se von besserer / schlechterer Qualität sind als Bücher, die nicht verboten sind? *

- ☐ Bessere Qualität
- ☐ Schlechtere Qualität
- ☐ Weder noch
- ☐ Unsicher

8. Denken Sie, dass Leser ein Buch ansprechender /weniger ansprechend finden, wenn sie lesen/hören, dass es in China verboten ist? *

- ☐ Ansprechender
- ☐ Weniger ansprechend
- ☐ Weder noch
- ☐ Unsicher

9. Denken Sie, dass sich in China verbotene Literatur besser oder schlechter in Deutschland verkauft als solche, die nicht verboten ist? *

- ☐ Besser
- ☐ Schlechter
- ☐ Kein Unterschied
- ☐ Unsicher

Paratexte - allgemein

Der folgende Abschnitt untersucht den Einfluss von Übersetzern auf Paratexte im Allgemeinen.

10. Was denken Sie generell über / ist Ihr genereller Eindruck von Coverdesigns übersetzter chinesischer Literatur? *

11. Haben Sie jemals den zielsprachlichen Titel eines von Ihnen übersetzten Buches als unpassend/unangemessen/irreführend erachtet? *

Wenn Sie nicht in die Auswahl des Titels miteinbezogen wurden oder der Titel geändert wurde, nachdem Sie sich mit dem Verleger auf einen Titel geeinigt haben.

12. Werden sie jemals um Ihre Meinung zum Coverdesign gebeten oder endet Ihr „Job“ mit der Abgabe der Übersetzung?*

13. Haben Sie jemals das zielsprachliche Cover eines von Ihnen übersetzten Buches als unpassend/unangemessen/irreführend erachtet? *

Paratexte - ausgewählte Übersetzungen

Dieser Abschnitt untersucht Ihren Einfluss auf die Paratexte der Bücher in dieser Studie.

14. Hatten Sie eine bestimmte Zielgruppe von Lesern im Hinterkopf, als sie diese Bücher übersetzt haben? *

15. Wurden Sie in Auswahl der Buchtitel in der Zielsprache miteinbezogen? Falls ja, inwiefern? Fall nicht, war dies die Entscheidung des Verlegers oder Ihre eigene? *
Bitte antworten Sie so detailliert wie möglich.

16. Waren Sie am schreiben des Klappentextes beteiligt? Falls ja, inwiefern? *

17. Falls Ihre Übersetzung(en) Anmerkungen/ Vorworte o.ä. des Übersetzers beinhalten, wessen Entscheidung war es, diese hinzuzufügen? *

18. Falls Ihre Übersetzung(en) Fuß- oder Endnoten enthalten, wessen Entscheidung war es, diese hinzuzufügen? *

A rectangular text input area with a thin border. It features a vertical scrollbar on the right side and a horizontal scrollbar at the bottom, indicating it is a multi-line text field.

Persönlicher Werdegang

19. In welchem Land sind Sie aufgewachsen? *

A single-line text input field with a thin border and a small cursor at the end.

20. Was ist Ihre Muttersprache? *

A single-line text input field with a thin border and a small cursor at the end.

21. Seit wie vielen Jahren arbeiten Sie schon als Literaturübersetzer aus dem Chinesischen? *

A single-line text input field with a thin border and a small cursor at the end.

22. Arbeiten Sie hauptsächlich mit einem bestimmten Verlag oder mit mehreren Verlagen zusammen? *

A rectangular text input area with a thin border. It features a vertical scrollbar on the right side and a horizontal scrollbar at the bottom, indicating it is a multi-line text field.

Danke!

Vielen Dank für Ihre Teilnahme. Bitte zögern Sie nicht, mich zu kontaktieren (l.kraemer1@newcastle.ac.uk), sollten Sie Fragen haben.

Appendix G – Online Survey with Publishers (English)



Interview Publishers

Informed Consent

INFORMED CONSENT

Dear participant,

You are being invited to participate in an interview which is part of a doctoral research titled "Paratexts in English and German translations of books banned by the Chinese government". The purpose of this research project is to research how and to what extent paratexts (book covers, titles, blurbs, etc.) are used to influence and target readers. Further to find out what the intentions of translators and publishers were when translating and publishing Chinese banned books and how these are reflected in the paratexts. In addition, the interviews will include questions regarding personal and professional background as well as the production and publication process of translations in order to contextualise your responses.

I will do my best to keep your information confidential. All data is stored in a password protected electronic format. The data will not be anonymous at the time of collection, but to help protect your confidentiality, all identifying information will be anonymised in my thesis, so as to not allow any links between statements and an individual person or publication.

Your participation in this research study is voluntary. You may choose not to participate. If you decide to participate in this research, you may withdraw at any time.

This is a research project being conducted by Lena Kraemer at Newcastle University.

If you have any questions about the research study, please contact Lena Kraemer (e-mail: l.kraemer1@newcastle.ac.uk).

You will be able to interrupt the study and return later. Please write down the Code which you need to access the study.

Thank you very much for taking your time and participating in my study.

ELECTRONIC CONSENT

Clicking on the "next" button below indicates that:

- you have read the above information
- you voluntarily agree to participate
- you are at least 18 years of age

If you wish not to participate in this study, please close this tab or your browser.

Further information

All questions in this survey are marked as compulsory, however, if there are any open questions you can't or don't want to comment on, please write N/A in the text box. If you cannot name specific examples for any question, you can reply in more general terms.

Thank you very much for your cooperation, I really appreciate your help.

Selection and Translation of Chinese literature

1. How do you choose a book to be translated and published? *

2. Do you ever research who the potential readership is? *

E.g. for a specific genre/topic or literature from a specific country

3. Who was involved in choosing the book(s) included in this study? *

Please check all that apply

☐ Editor/Publisher

☐ Translator

☐ Literary agent

☐ Other:

-
4. Are books from China difficult or easy to market? *

5. Are there specific topics of Chinese books that sell better than others? If so, what are these? *

Chinese banned books

6. Do you think Chinese banned books are per se of better/worse quality than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

7. Do you think banned books from China are more/less appealing to readers than non-banned books? *

- ☐ More
- ☐ Less
- ☐ No difference
- ☐ Not sure

-
8. Do you think Chinese banned books sell better or worse than non-banned books? *

- ☐ Better
- ☐ Worse
- ☐ No difference
- ☐ Not sure

Paratexts - general

9. What paratextual element do you consider as the most important to target readers and sell the book? *

Here paratexts include every element in a book which is not the core text.

10. Do you choose specific colours for book's cover design If it belongs to a specific genre/ Is from a specific country/ Is on a specific topic? *

11. With a newer edition of a translation (e.g. when publishing a paperback or second edition), when do you consider changing the cover design and when do you decide to keep it? *

12. Have there been major cover design failures that impacted on the sales of a book? How did you know? *

13. When do you decide to include an additional foreword, introduction, translator's note/foreword or epilogue? *

Decision-making - Title and Cover

14. Who decides on the book title? *

In general and specifically for this book.

15. Is the translator Involved in the decision making for a book title? *

In general and specifically for this book.

16. Why did you choose this specific title? Was It specifically created for this translation? Was It a translation from Chinese or another European language? *

17. What are in your opinion the main criteria for a good book title? *

18. Are the designers free to design or do they get guidelines beforehand? *

In general and specifically for this book.

19. Who decides on the final book cover design? *

20. Are retailers (e.g. large book chains) consulted after you have decided on a book cover design? *

☐ yes

☐ no

☐ sometimes

☐ Other:

Personal background

This section is about your personal and professional background, which will help to contextualise your answers.

21. In which country did you grow up? *

22. What is your educational background? *

e.g. which university degree, professional training

23. Do you speak Chinese? *

- ☐ Yes, very well
☐ Yes, some
☐ No

24. Have you ever been to mainland China? *

- ☐ yes
☐ no

25. What is your role/job title? *

26. For how long have you worked in book publishing? *

Thank you!

Thank you very much for your participation. Please don't hesitate to ask if you have any questions (l.kraemer1@newcastle.ac.uk).

* Redirection to final page of eSurvey Creator

Appendix H – Online Survey with Publishers (German)



Interview Verleger

Einverständniserklärung

EINVERSTÄNDNISERKLÄRUNG

Sehr geehrte Teilnehmerinnen und Teilnehmer,

Sie sind eingeladen wurden, an dieser Studie teilzunehmen. Die Studie wird von Lena Krämer, Newcastle University, im Rahmen eines Promotionsvorhabens mit dem Titel „Paratexts in English and German translations of books banned by the Chinese government“ durchgeführt. Ziel dieser Studie ist es herauszufinden, ob und in welchem Maß Paratexte (Buchcover, Buchtitel, Klappentexte, etc.) genutzt werden, um Leser zu beeinflussen und anzusprechen. Zudem sollen die Intentionen von Übersetzern und Verlegern während des Übersetzungs- und Publikationsprozesses von verbotener Chinesischer Literatur erforscht werden und inwieweit sich diese in den Paratexten widerspiegeln. Zudem wird das Interview Fragen zu Ihrem persönlichen und beruflichen Hintergrund beinhalten, welche eine bessere Kontextualisierung der Antworten ermöglicht.

Ihre Daten werden vertraulich behandelt und werden passwortgeschützt gespeichert. Die Daten sind zum Zeitpunkt der Erfassung nicht anonymisiert. Um jedoch Vertraulichkeit zu gewährleisten werden sämtliche Informationen, welche einen Rückschluss auf eine bestimmte Person oder Publikation zulassen würden, in meiner Doktorarbeit anonymisiert.

Die Teilnahme an dieser Studie ist völlig freiwillig und Sie können sich jederzeit dazu entschließen, die Teilnahme zu beenden.

Sollten Sie Fragen zur Studie oder deren Ablauf haben, wenden Sie sich bitte an Lena Krämer (E-Mail Adresse: l.kraemer1@newcastle.ac.uk).

Sie können die Umfrage unterbrechen und zu einem späteren Zeitpunkt fortsetzen. Bitte notieren Sie sich hierzu den angegebenen Code, da Sie diesen benötigen, um die Umfrage fortzusetzen.

Vielen Dank für die Teilnahme an meiner Studie.

EINVERSTÄNDNISERKLÄRUNG

Durch das Klicken auf „Weiter“ bestätigen Sie, dass

- Sie die oben stehenden gelesen und verstanden haben
- Sie freiwillig an der Studie teilnehmen
- Sie mindestens 18 Jahre alt sind

Sollten Sie nicht an dieser Studie teilnehmen oder sich dazu entschließen Ihre Teilnahme zu beenden, schließen Sie bitte dieses Browserfenster.

Zusätzliche Informationen

In dieser Umfrage sind alle Fragen als Pflichtfragen markiert. Möchten Sie jedoch eine Frage nicht beantworten, schreiben Sie bitte N/A in das entsprechende Textfeld. Wenn Sie für manche Fragen keine spezifischen Angaben machen können, antworten Sie bitte etwas allgemeiner.

Ich bedanke mich vielmals für die Zusammenarbeit.

Auswahl und Übersetzung chinesischer Literatur

1. Wie/nach welchen Kriterien wählen Sie Bücher aus, die übersetzt und in Ihrem Verlag herausgegeben werden? *

2. Erforschen Sie jemals potenzielle Zielgruppen von Lesern? *

z.B. für ein spezifisches Genre/Thema oder Literatur aus einem bestimmten Land

3. Wer war in den Auswahlprozess für die Bücher in dieser Studie involviert? *

☐ Editor/Herausgeber

☐ Übersetzer

☐ Agent

☐ Andere:

4. Sind Bücher aus China einfach oder schwierig zu vermarkten? *

5. Gibt es bestimmte Themen in chinesischer Literatur die sich besser verkaufen als andere? Falls ja, welche? *

Verbotene Literatur aus China

6. Denken Sie, dass verbotene Bücher per se von besserer / schlechterer Qualität sind als Bücher, die nicht verboten sind? *

- ☐ Bessere Qualität
- ☐ Schlechtere Qualität
- ☐ Weder noch
- ☐ Unsicher

7. Denken Sie, dass Leser ein Buch ansprechender /weniger ansprechend finden, wenn sie lesen/hören, dass es in China verboten ist? *

- ☐ Ansprechender
☐ Weniger ansprechend
☐ Weder noch
☐ Unsicher

8. Denken Sie, dass sich in China verbotene Literatur besser oder schlechter in Deutschland verkauft als solche, die nicht verboten ist? *

- ☐ Besser
☐ Schlechter
☐ Kein Unterschied
☐ Unsicher

Paratexte - allgemein

9. Welche Paratexte erachten Sie als die Wichtigsten, um Leser gezielt anzusprechen und das Buch zu verkaufen? *

Zu Paratexten zählen hier alle Elemente im Buch, die nicht der eigentliche Text sind.

--

10. Wählen Sie bestimmte Farben für das Buchcover aus, wenn es zu einem bestimmten Genre gehört / aus einem bestimmten Land kommt / von einem bestimmten Thema handelt? *



11. Erscheint das Buch in einer neueren Auflage der Übersetzung (z.B. als Paperback oder zweite Auflage), wann ziehen Sie in Betracht das Buchcover zu verändern und wann entscheiden Sie, dass es beibehalten wird? *



12. Gab es jemals bedeutende Coverdesign Misserfolge, die sich auf die Verkaufszahlen ausgewirkt haben? Wie stellten Sie dies fest? *



-
13. Wann entscheiden Sie, ein Buch zusätzliche mit einem Vorwort, einer Einleitung, einem Vorwort/ einer Anmerkung des Übersetzers oder einem Nachwort zu veröffentlichen? *



Entscheidungen - Buchtitel und -cover

14. Wer entscheidet über den Buchtitel? *

Allgemein und speziell für dieses Buch



15. Wird der Übersetzer in die Entscheidung über den Buchtitel mit einbezogen? *

Allgemein und speziell für dieses Buch



16. Warum haben Sie sich speziell für diesen Titel entschieden? Wurde er speziell für diese Übersetzung kreiert? Wurde er aus dem Chinesischen oder anderen europäischen Sprachen übersetzt? *

17. Was sind Ihrer Meinung nach die Hauptkriterien für einen guten Buchtitel? *

18. Haben die Designer bei der Covergestaltung freie Hand oder erhalten Sie Vorgaben vorab? *

Allgemein und speziell für dieses Buch

19. Wer entscheidet über das endgültige Design des Buchcovers? *

20. Werden Händler (z.B. Buchgeschäftsnetze) konsultiert, nachdem das Design für das Buchcover beschlossen wurde? *

- ☐ Ja
- ☐ Nein
- ☐ Manchmal
- ☐ Anderes:

Persönlicher Werdegang

Dieser Abschnitt ist über Ihren persönlichen Werdegang. Die Informationen werden genutzt, um Ihre Antworten kontextuell einzubetten.

21. In welchem Land sind Sie aufgewachsen? *

22. Was ist ihr Bildungshintergrund? *

z.B. Universitätsabschlüsse, Berufsausbildung

23. Sprechen Sie Chinesisch? *

- ☐ Ja, sehr gut
- ☐ Ja, ein wenig
- ☐ Nein

24. Waren Sie jemals in der VR China? *

- ☐ ja
- ☐ nein

25. Was ist Ihre Funktion/ ihr Jobtitel? *

26. Wie lange arbeiten Sie schon im Verlagswesen? *

Danke!

Vielen Dank für Ihre Teilnahme. Bitte zögern Sie nicht, mich zu kontaktieren (l.kraemer1@newcastle.ac.uk), sollten Sie Fragen haben.

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