CHAPTER II
REVIEW OF LITERATURES,
CONCEPTS, AND THEORETICAL FRAMEWORK

2.1 LITERATURE REVIEW

The first relevant study was Putra (2008) his under graduate thesis entitled “Category Shift in The Translation of J.K Rowling’s Harry Potter and The Prisoner of Azkaban”. He focused on explaining the reason of category shift used in the translation of Harry Potter and The Prisoner of Azkaban (SL) into Harry Potter dan Tawanan Azkaban (TL). Specifically Putra found the reason why shift used or occurred in the translation process, because there are differences of equivalence occur between two sentences, clause, words, and morphemes. A translation will become relatively difficult because every language has different lexical meaning. From this reason, in the process of reproducing the message of source language into target language, the translator has to find the equivalent meaning. During these shift there are the changes of structure, changes of class, changes of rank (unit), and changes of term in systems in the translation process. Putra’s study supported this study because it is focused on the same phenomenon in translation especially concerning on shift in translation. However, Putra’s writing focused on the category shift in translation process of clauses, noun phrases and words, while this current thesis was focused on category shift in translating noun phrases.

The second under graduate thesis was “Shift Found in The Process of Translation of Mayer’s Breaking Down into Indonesian” by Pratiwindhya (2011).
In his paper, he discussed level of shift and category shift. He focused in analyzing types of level shift category shift applied in the process of translation. In his graduated thesis, he found that level shift occurred in the form of grammar into lexicon. While the category shift found in the process of translation were: structure shift, class shift, unit shift, and intra system shift in the active form into passive form. Pratiwindhya’s study was relevant to this study because also explained about translation shift. The differences between his study and the current research, mainly was focusing on the level of shift and category shift in translation, however, this current thesis was focused on the category shift of noun phrases.

The third under graduate thesis being reviewed is Indrawan’s (2009) “Clause Structure Shift in English-Indonesian Translation with Special Reference to Neil Gaiman’s Anansi Boys and Anak-Anak Anansi”. The study was conducted as the fact that shift always occurs when SL and TL are different in grammatical structure in order to make a good translation. The study was aimed to find out seven types of clause structures in English novel and analyzing the English clauses translated into Indonesia. The data of this research were clauses that experienced shifts that found in English Neil Gaiman’s Anansi Boys along with its translation equivalents in Femmy’s Anak-Anak Anansi to solve the problems, two theories were applied. They were theory of translation proposed by Larson and theory of shift proposed by Catford. It was seven patterns of clause types existed in the English novel, namely: SV, SVO, SVC, SVOA, SVOC, SVA, and SVOiOd. In addition, the shifting process could be divided into four kinds. Those were adding, dropping, no dropping or adding, and by dropping and addingword in TL text. It meant that the independent clause found in the English novel was translated into various types of Indonesian clause pattern. Indrawan’s study was relevant to this study as it talked about translation shift. His study gave explanation of the shifting in the grammatical structure, whereas this study discuss about category shift that occur in the noun phrases, therefore this study gave more extensive and detail
explanation about types and factors determine category shift in translation of noun phrases occurs.

Besides those under graduate thesis, an article that related to this study was reviewed. The article is written by Al-Zoubi and Al-Hassnawi (2001) under title Constructing a Model for Shift Analysis in Translation published online in Translation Journal. This article concerned on the occurrence of shift in any translational activity which is unavoidable. Al-Zoubi and Al-Hassnawi attempted to construct a workable variation model for shift analysis whose major aim is to provide a sound machinery to analyze various types of shift in translation at various levels of linguistic and paralinguistic description. Moreover, they believe that shift should be defined positively as the consequence of translator’s effort to establish translation equivalence between two different languages. They stated that translation is a highly complex phenomenon which involves a larger number of variables other than the linguistic ones. In this regard, they defined shifts as all the mandatory actions of the translator (those dictated by the structural discrepancies between the two language systems involved in this process) to which he resort consciously for the purpose of natural and communicative rendition of an SL text into another language. They said that shift regarded to the solution of a translator during translating SL into TL. Since this article searched on model that can be applied in analyzing translation shift occured in a text, there were three models proposed, as of horizontal description, micro-level analysis, and macro-level analysis. Horizontal description is a product-oriented model, in which the product of the translating process should express the same sense of both languages involve in translation. It comprises two level analysis: micro and macro levels where they have two basic dimension that are semantic and syntactic dimensions. The second model is micro-level analysis that consists of surface level analysis covering structure, class and system, and deep level analysis. Besides, macro-level analysis they recommended that a translator should take
individual component, the textual component, the rhetorical component and the stylistic component.

The article entitled “The Aplication of Catford’s shift on The Persian Translation of Oliver Twist by Yusof Gharib” by Navid Khorsidi (2010) was focused on the category shift occurred in the process of translation a novel. He mentioned that the same concept of Catford’s shift were the theory proposed by Larson and vinay Darbelnet: Larson with his theory of skewing and vinay Darbelnet with theory of transposition. However, he focussed on Catford’s theory concerning of shift. It provided systematic classification of shift from source language into target language. In his article, Khorsidi only choose six paragraphs randomly from both the TL text and SL text. He found the structural shift tended to occur in every part within text. The unit shift tended rarely occured in his data. Meanwhile, the structure shift and intra-system shift was classified as obligatory shift since in the process of translation from English into Persian translator did not have many structural choice and any alterations lead to change in style. This article was not supported by adequate data because Khorsidi only choose six paragraphs to explain category shift in novel. His article was also too short in explaining what factor determine category shift occurred in a novel. However Khorsidi’s study is relevan with this study because this study used Catford’s theory of shift. The differences were on the language and focus of study. Khorsidi concerns on category shift occurred in Persian language, however this study concerned on category shift of noun phrases that found in Indonesian language.
2.2 CONCEPTS

The concept of this study consists of the concept of translation and noun phrase, further discussed below:

2.2.1 Translation

Translation is defined as changing from one site form to another, to turn into one’s own or another’s language. It is basically a change of form (Larson, 1998:3). In translating a translator will deal with two languages which are different in system and culture. Therefore the main purpose of translation is to transfer meaning from one language into another language.

Indeed, Catford defined translation of one language into another language as a replacement. This replacement is between the textual material of source language and equivalent textual material of target language (Catford, 1965:20). However, at one or more level there is no need to make a replacement but simply transferred the source source language (English) into target language (Indonesian). Word equivalent is the goal of translation. The noun phrase shift of translation in the target text can be found within equivalence and non-equivalence.

2.2.2 Equivalent in translation

Catford (1965;20) stated that there are two models of equivalence, that is: formal correspondence and textual equivalence. Formal correspondence is any target language category which can be said to occupy as nearly as possible the “same” place in the “economy of the target language as the given source language category occupies in the source language. Textual Equivalence is any TL text or portion of text which is observed on a particular occasion to be the equivalent of a given SL text or portion of text.
Larson also stated that one-for-one equivalence of lexical items is impossible because the lexicon of two languages will not match (1998:169). It means that the translator should look for the natural and accurate way to express the meaning of SL into TL.

Meanwhile, Nida (1964: 159) proposes two basic orientations in translating: formal equivalence and dynamic equivalence. Formal equivalence focuses attention on the message itself, both form and content. The message in the receptor language should match as closely as possible the different elements in the source language. On the contrary of formal equivalence, dynamic equivalence does not concern with matching the receptor language message with the source language message, but with the dynamic relationship. A translation of dynamic equivalence aims at complete naturalness of expression, and tries to relate the receptor to modes of behavior relevant within the context of his own culture.

Whereas, Bell (1991: 6) states that texts in different languages can be equivalent in different degrees (full or partly equivalent), in respects of different levels of presentation (equivalent in respect of context, of semantics, of grammar, of lexis, etc.) and different ranks (word-for-word, phrase-for phrase, sentence-for-sentence). Sometimes, the source language text has no meaning in the target language text that the meaning in the target language can be fully or partly equivalent, but the meaning in the target text can be said as equivalent to the meaning in source text when they have function in the same communicative situation and express the same purpose.

2.2.3 Noun Phrase

Noun Phrases is a phrase that plays an important role in the construction of a sentence. Learners could not produce comprehensible sentences without having knowledge of noun phrases in English. The role of forming noun phrase in Indonesian and English is not different. Therefore, here are the explanation of noun phrase in English and Indonesian.
2.2.3.1 English Noun Phrase

English noun phrase can be divide into two; there are basic noun phrase and complex noun phrase. Basic noun phrase can be pronoun, numerals or head nouns with different determiners while complex ones include pre-modification, head noun, and post-modification.

Basic noun phrase consist of pronouns, numerals or nouns with articles or nouns with other closed-system items that occur before the noun head including pre-determiners, determiners, and post-determiners.

Complex noun phrase contain four components: determinatives, pre-modification, head noun, and post-modification (Halliday 1994 and Quirk et al. 1985).

1. The head noun is the central element and core component of the complex noun phrase. It may be count or mass noun which dictates concord and (for the most part) other kinds of congruence with the rest of the sentence outside the noun phrase. For example:

   The only boy in this class room is naughty

   Head

2. Determinatives are the word that reveal additional information such as definiteness, proximity, quantity, and relationships about a noun phrase or verb phrase in the form of a present participle. Such as: all, both, a, double, some, those, many, few, etc. For example:

   All these young handsome boys

3. Pre-modification also called pre-modifiers, including modifiers that stand before the head noun, notably adjectives (or, rather, adjective phrase) and nouns, for example:

   All these young handsome boys

   Determiner Adjective as pre-modifiers Head
4. Post-modification can also be called post-modifiers, comprising all the items placed after the head, notably prepositional phrase, non-finite clauses, relative clauses, and complementation, notably: prepositional phrases, nonfinite clause, relative clause, and complementation.

The woman who told you the secret
Determiner head post-modifier

2.2.3.2 Indonesian Noun Phrase

According to Hasan Alwi in his book entitled "Tata Bahasa Baku Bahasa Indonesia, noun phrase in Indonesia can be formed by preceding modifier or adding qualifier after the noun (Hasan Alwi, 1998:224).

There are rules how to give post modification to a noun in Indonesian:

Complex Noun Phrases

1. A head can be followed by one or more noun and an addition of one pronoun ini or itu.

Example: buku ilmu pengetahuan alam saya ini

2. Noun is followed by adjective without any modification, word yang can be added.

Example: taman bunga yang indah

3. A noun can be modified clause preceded by yang.

Example: masyarakat yang bermukim di daerah pedalaman

Basic Noun Phrases

1. A noun can be followed by prepositional phrase.

Example: jawaban dari pemerintah
2. If noun is followed by adjective without any modification, word *yang* can be added

Example: anak *yang* rajin

3. A noun can be followed by verb and separated by *untuk*.

Example: kewajiban untuk belajar

### 2.3 THEORETICAL FRAMEWORK

Every research should be supported by significant theory. In this research, there are theories that are used as theoretical framework to analyze the problem. Catford’s theory of Shifts was the main theory that applied in this study. The supporting theory had been proposed by Larson.

The first theory is theory of shift proposed by Catford. Shift is the changes that occur in order to find out the closest equivalence. He stated in his book:

“shifts mean departures from formal correspondence in the process of going from the source language to the target language (Catford, 1965: 73)”

Catford mentioned two types of shift that may occur in the process of translation. They are level shift and category shift. Level shift occurs where there is a difference between the aspects system, for instance between English simple and Continuous.

While category shift can be divided into four types of shift, namely structure shifts, class shifts, unit shifts, and intra-system shifts. There are brief explanation of structure shifts, class shifts, unit shifts, and intra-system shifts:

1. Structure shifts are the shifts that happen when the source language structure and target language structure are different. These shifts usually occur in the level of phrase, clause, and sentence. For example:

   SL: A blue car
The internal structure of noun phrase in source language and target language are different. The structure of noun phrase in source language is M1M2H was translated into MHQ.

2. Unit shift is a change of rank, departures from formal correspondence in which the translation equivalent of a unit at one rank in the source language is a unit at a different rank in the target language. Unit shift as a change of rank may happen from word to phrase, phrase to word or phrase to clause. The example of unit shift that occurs from word to phrase, that is:

   SL : Late in *winter* of my seventeenth years.
   TL : Di penghujung *musim dingin* usia ketujuh belasku.

   From the example, it can be seen that the word *winter* in source language was translated into noun phrase *musim dingin*. This example shows that there was shift from rank of single word to rank of noun phrase.

3. Class shift is departure from a class of the source language into a different class in the target language. This shift occurs when class of an item in the source language is translated into a different class in the target language, such as from noun into verb, verb into noun, adjective into verb, verb into adjective, noun into adjective, adjective into adverb and adverb into adjective. The example of class shift that occurs from adjective to verb, that is:

   SL : It’ll be *lovely*.
   TL : itu akan *menyenangkan*.
The function of word in source language is adjective but in the translation of this word in Indonesian, the word *menyenangkan* function as verb. The word class of word *lovely* shifted in target language from adjective into verb.

4. Intra-system shift is the shift that occurs internally, within a system: that is, for those cases where source language and target language possess systems which approximately correspond formally as to their constitution, but when translation involves selection of a non-corresponding term in the target language system (Catford, 1965: 80). For example:

SL: and his *eyes* were the problem.

TL: Dan, *mata* itulah yang menjadi masalah.

From those examples, it can be seen that the intra-system shift frequently happens where the source language is plural and translated into singular in the target language.

The second theory had been proposed by Mildred L. Larson. In his book, Meaning Based Translation, explained meaning as the most important aspect in translation. According to his book:

“Translation consist of studying the lexicon, grammatical structure, communication situation, and cultural context of source language text, analyzing it in order to determine its meaning, and the reconstructing this same meaning using the lexicon and grammatical structure which are appropriate in the receptor language and its cultural context (Larson, 1998: 3)”

Since translation deals with two or more different languages, as Larson proposed that translating need awareness of lexicon, grammatical structure, communication situation, and the last cultural context, the loss and gain meaning when translating a text into target language cannot be avoided. It is because a translator wants to make the translation’s result become a natural and alive.
Larson (1998:3) also stated that translation consists of transferring the meaning of the source language and target language. The transferring process is going from the form of first language to the form of second language by way of semantic structure. This way will change the form of the source language and will only transfer the meaning. Besides, the translation involves the transfer of the form and meaning of the source language to the target language. There will no exact equivalence between the words of one language with the word of another language.