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**TRANSLATING *ALICE* IN THE CHINESE CONTEXT**  
**-- A CRITICAL STYLISTIC APPROACH TO**  
**CHARACTERIZATION IN THE CHINESE**  
**TRANSLATION OF *ALICE IN WONDERLAND* BY CHAO**  
**YUEN-REN**

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**The Hong Kong Polytechnic University**

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**Translating *Alice* in the Chinese Context  
-- A Critical Stylistic Approach to Characterization in the Chinese  
Translation of *Alice in Wonderland* by Chao Yuen-Ren**

**Daozhen ZHANG**

**A Thesis Submitted in Partial Fulfillment of the Requirements**

**For the Degree of Doctor of Philosophy**

**August 2015**

## **CERTIFICATE OF ORIGINALITY**

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(signed)

ZHANG Daozhen (Name of Student)

## Abstract

Characterization is a vital issue in the creative and imaginative writings for children (Wilson 1983:iv). Through the deployment of language patterns in the construction of characterization, the author can establish the audience's identification with the protagonist so that the fictional fantasy world can be achieved successfully. It is thus very significant for the research on translating children's fantasy to find out how character are constructed in translation and based on what kinds of linguistic options in the system of language. This research focuses on the translation of the language patterns in constructing the characterization of the protagonist Alice in the work of *Alice's Adventures in Wonderland* (AW henceforth). Attention is particularly concentrated on how the original language patterns in the purpose of creating a typical fantasy protagonist along the cline from extreme passiveness to interactive status in a mysterious and magical underground world are transplanted into the translated text. Thus this research aims to study the language patterns in constructing characterization of Alice in the ST and their translations in the TT.

Based on the communicative framework of a critical stylistic approach that aims to reveal obscure links between textures and social practice of the author by manipulating the transitivity patterning to achieve certain effects, this research makes a detailed classification of material and mental processes based on the precedent research (Hasan 1985; Halliday and Matthiessen 2004; Kies 1992; Perèz 2007) of transitivity analysis. First and foremost, three stages of characterization development (the so-called SCD) of Alice in the ST by means of transitivity analysis are identified. Then a research is conducted to find out how the three stages are represented in the translation in terms of transitivity construal in a comparative fashion.

In comparing the language shifts, this research examines how the language patterns representing Alice's changing status are translated in the TT. After a

description of the so-called *shifts* at both the clausal and textual levels, a detailed interpretation is followed up before an explanation is given of an investigation as a third step of the research. All the observed shifts are expected to work in a cumulative manner as to affect the characterization constructed out of the original choices as style when translated into the TT.

Apparently, it can be concluded that the choices made at the textural levels can produce semiotic effects in the context, which may further influence Alice's characterization in the translation across the dynamism cline developed in the three stages in the ST. So when the three SCDs are looked at in parallel, it has been found the characterization of the ST along the progressive cline of characterization has been damaged or distorted in one way or another because the transitivity patterning has been damaged or distorted at many places in the TT. As a general trend in the translation, the translator has erratically increased Alice's dynamism in the SCD1, while decreasing hers at some places in the SCD2 and SCD3, which thus delivered the protagonist to be erratic and irregular in character, without signals for the audience to follow on the level of transitivity at the linguistic level. The dreamland world constructed out of the choices of language patterning chosen by the original author has thus been demystified and decentered to different degrees at different places in the translation, which may further damage the dream fantasy as a particular genre. At a deeper level in relation to the theme represented through transitivity patterning, the interpersonal meaning expressed in the ST is also changed in some way in the TT.

**Keywords:** critical stylistic approach, characterization, transitivity patterning, dream fantasy, translation, contrastive analysis, semiotic and ideological effects

## **Publications arising from the thesis**

### **Journal papers**

Zhang, Daozhen. (2014). "Who sees in the translation? --The Female Narrating Perspective in Translation". *Jinan Journal* (暨南學報). (CSSCI). Volume. 36. No. 11: 111-116.

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### **Book chapter(s)**

Zhang, Daozhen. (2015) "How Is a Pseudo-translation Manipulated? -- A Critical look at the production of *Carl Weter's Educational Law* in the Chinese Context", in Leong Ko and Ping Chen (eds.), *Translation and Cross-cultural Communication Studies in the Asia Pacific*. Amsterdam: Ropodi. Pp.153-166.

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## **List of Abbreviations Used in the Thesis**

AW: Alice's adventures in wonderland  
BT: back translation  
CDA: critical discourse analysis  
CSA: critical stylistic approach  
Mat: material process  
Mnt: mental process  
Relat: relational process  
SCD: Stages of Characterization Development  
SCD1: the first stage of characterization development  
SCD2: the second stage of characterization development  
SCD3: the third stage of characterization development  
SFL: systemic functional linguistics  
SFG: systemic functional grammar  
ST: the source text  
TT: the target text  
Verb.: verbal process  
Exis: existential process  
Ttl: total  
Pct.: percentage  
Pro.: process  
A-E: action to event process  
E-A: event to action process  
Contr.: contraction

## Chapter 1 Introduction: Motivations and Related Issues

It seems to be a “common belief” that translating for children is easy because the language of children’s literature is simple, so on and so forth. This view may stem from the so-called simplicity of text of children’s literature. However, as Nodelman claims, it is usually not the case:

The simplicity of texts of children’s literature is only half the truth about them. *They also possess a shadow, an unconscious – a more complex and more complete understanding of the world and people that remains unspoken beyond the simple surface* but provides that simple surface with its comprehensibility. *The simple surface sublimates – hides but still manages to imply the presence of – something less simple.* (Nodelman 2008:206; emphasis mine)

So it may be that contrary to the above common belief, translating for children may not be as simple as it seems, esp. in comparison with translating for adults. Due to the fact that “children’s semiotic experience does not allow them to interpret the signs of an alien semiosphere” (Nikolaeva 1996:27), different manipulations may take place in the translating process. Zohar Shavit, in her book *The Poetics of Children’s Literature*, points out that the translator of children’s literature could manipulate the translation in different ways, trying to make the text appropriate and comprehensible for children. Taking children’s reading and understanding ability into consideration, some translators may change the plot, characterization and language styles (1986:112-3), other translators may delete or adapt the improper scenes in order to make the text more accessible for young children. Therefore, the task of the translator for children is to make it related to the target readers. This means that the interests and habits of the child readers rather than of the adults should be taken into consideration in the translating. However, this discussion seems more to be concerned with the plot adaptation rather than the representation of the modes of meaning in the text.

For a book like *Alice’s Adventures in Wonderland* (or *Alice in Wonderland*, AW



henceforth) which consists of fantastic descriptions and which is actually intended to create dream visions by means of language strategies (Sutherland 1964:326; Peng 2007:153), how do the translators deal with the textual features and representation of modes of meaning in the translation process? In *More Annotated Alice*, Gardner argues that “no other books written for children are more in need of explications than the Alice books” (Gardner1990:ix). Of course, it is no easy task if we remember it contains parodies, puns, word play, proper names, encoded allusions and unusual metaphors as well as other elements of Carroll’s creative style, such as, the seemingly simplified syntax which may result in paradoxically humorous effects, rendering this book a big challenge for many translators. How to translate the textual features of Alice books is actually an issue that is seldom touched on in translation studies of the book *Alice in Wonderland*. In fact, fantasy literature, as Pennington (1995:57) argues, is by nature “writerly”<sup>1</sup>, requiring diverse sophisticated reader responses. Carroll’s story is noted for its varied and distinctive use of style, palpable intertextuality and obscure relations created between fantasy and reality. Furthermore, in this book there are many details that are characteristic of the Victorian society. Modern English readers may still be able to identify those features in the text, but the Chinese readers would fail to understand the features without additional explanations. Despite the fact that Carroll himself believed that his book was untranslatable (Kibbee 2003:308), the book *Alice in Wonderland* is asserted to be more often translated than any other book, except for the Bible (Carpenter and Prichard 1984:17). This is also true in the Chinese context. As the most translated literary work in China, it has had at least 83 different translated versions<sup>2</sup> since it was translated in 1922 by the linguist and translator Chao Yuen-ren. How has this well-known novel which was

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<sup>1</sup> A term invented by Roland Barthes (1974:5) means texts that require the reader to write meaning onto the “galaxy of signifiers”, texts that are “reversible”, the readers can gain access to them by several entrances, none of which can be claimed as the main one. Hutcheon (1985:76) also argues that fantasy forces readers to engage in “the very act of imagining the world, or giving shape to referents of the words that go to make up the whole of the world that the ‘concretized’ text being read”.

<sup>2</sup> According to my counting from the website of The National Library (國家圖書館) in Beijing, *AW* has at least 83 translations since it was first translated and published in 1922. This number includes the 22 adapted translated versions.

originally addressed to children been so popular among the audience? And what elements of the novel have drawn readers' attention? Taking into consideration the fact that children's literature has been marginalized in the Chinese literary history, if we use Evan Zohar's system theory (1978), it is also true for the situation of China in the early 20th century, even though it underwent some kind of Renaissance. The early 20th century is the inchoation period of Chinese children's literature, which originated directly from translating foreign literature for children. So far, we may have had many questions to ask, for instance, what are the purposes for the translator in the translating for children? Is it to educate the children of the time? If the answer is *Yes*, then in what way? Has this been reflected in their translations? And what are his translation strategies? Of course, these questions I am going to explore in this research are closely related to the main research objectives which can be outlined as follows:

- 1) The original text is a work of fantasy fiction. What linguistic features are there to contribute to constructing a world of dream fantasy? Then,
- 2) Whether these aspects or properties of the original text have been transferred through the translation? And what translation norms can be disclosed? So this research will
- 3) demonstrate how the individual choices made by the translator on the surface of the text (texture) may provide evidence for the underlying pragma-semiotic effect or ideologies behind the translational activities; and
- 4) demonstrate what fictional world has been built up around the choices in the translation and how these choices can contribute to the audience's understanding of the characterization intended by the author. How can the translator exploit this kind of understanding for their own purposes towards the translational texts.

Based on the structural properties of the original text *AW*, I pick out the following

aspects in both the original and the translation for the process of text analysis. These aspects are as follows:

- 1) the language used for the descriptions of dreamland in *AW* as a dream fantasy will be explored in the Chinese translation;
- 2) by taking into consideration the status of characterization in the dream fantasy, the focus will be on how the original language is used to characterize Alice and how it is characterized in the TT.
- 3) the comparisons of characterizations of the protagonist Alice in the ST and the TT by examining the translation of its transitivity constructions.

In the following space, I will outline briefly what I am going to look at in this research. One of the important aspects I am going to look at is the semantics of the syntax and the role it plays in constructing the characterization in the dream fantasy, and how the world constructed by semantics is represented in the translation. It is known that the whole book of *AW* is said to be of dreamland. In describing the dreamland, the syntax, or to be more accurate, the transitivity patterns, has played an important role. In the textual comparisons between ST and TT, I have observed that the author Lewis Carroll dominantly used the syntax which Halliday (1971:98) called intransitives, which was termed later on by Hodge and Kress (1993) as non-transactives, which can be subsumed under the heading of material processes. Of course, there are some other process types that typically represent the protagonist Alice, such as the relational processes. For some material processes, they conform to the features Halliday gave in his famous analysis of William Golding's *The Inheritors*. The typical characteristics of this syntax include (very briefly):

- a. There is only one participant, which is often the subject of clause and can assume actor in a non-directed action, or a participant in a mental process, or just the bearer of some attribute or some spatial property.
- b. The process is action which is always movement in space, or location

possession, or mental process;

- c. There are also other elements which are adjuncts, i.e. treated as circumstances attendant on the process, not as participants in it.

This kind of syntactic structure consisting mainly of noun and verb obscures the nature of complex causal processes, in which the noun seems to be cause of the process, but actually the relationship between them is indeterminate (Hodge and Kress 1993:40). In the translation, it is observed that the clauses are represented by transactives, that is, the tendency of mystification in the clauses is eliminated. This is actually the motivation that pushes me forward to conduct this present research to explore the semantics of the transitivity patterns involving Alice as participant in the book of *AW*. What I am going to explore is what the demystification is like and how does it take place in the translation process? And what kind of world (that may be different from the dreamland one in the original) has been constructed in the translation? And then why has the translator ignored this dreamland world intended by the original author in the translation? That is, a socio-cultural explanation will be provided after looking at the linguistic aspects and their pragma-semiotic effects in the translation.

By incorporating the descriptive-explanatory critical stylistic approach into the studies of translations of *AW*, my focus in the research will be on what is conveyed in and through the use of language in the translation and how the individual choices made by the translator on the surface of the text (texture) may provide evidence for the underlying pragma-semiotic effects, ideologies and the socio-cultural norms. Of course, this investigation is based on another principle in critical stylistics, that is, style as choice. This point will be discussed in detail in the chapter 2, section 2.3.

Since this research is an interdisciplinary study of the translation of *AW* from a critical stylistic perspective, there must be interesting findings on how the social functions concerning the construction of characterization are realized in the

original text and how the characterization is constructed in the translation and how it can play a role in the interpretation of the book as a specific genre of dream fantasy. Due to the SFL framework adopted and the interdisciplinarity of this research, it is hoped that this research will contribute to our understanding of the translation of children's literature in general from the perspective of a critical stylistic approach, and thus promoting our understanding of its function and meaning in the socio-historical contexts, along with the interaction between translation and the social contexts. At the same time, it will provide data in favor of SFL as well as CDA approaches to the field of translation studies of children's literature thanks to the complementarities of systemic functional linguistics to literary studies (Butt 2005: 82). On a deeper level, this research can promote our understanding of the asymmetrical relationships as well as the image of *the other* in the cross-cultural communication. In the rest of this chapter, as an indispensable part of this research, the reasons for studying the translations of *AW*, a brief review of the studies of *AW*'s translations and the data design will be discussed.

### *1 Why the translation of AW?*

As a book of fantasy for children, *Alice in Wonderland* has attracted a large group of readership, translators and critics to look into its workings. According to the data from Wikipedia, it has been translated into at least 174 languages in the world. Its vast popularity constitutes a main reason for this present research to be carried out, along with the Chinese translation 阿麗思漫遊奇境記 (*Alisi Manyou qijing ji*, meaning literally *A Record of Alice' Wandering in the Wonderland*) published by Commercial Press in 1922, and the translator is famous Chinese linguist Chao Yuen-ren.

#### *1.1 Lewis Carroll and his book Alice in Wonderland*

The author of *Alice in Wonderland* is Lewis Carroll, whose real name is Charles Lutwidge Dodgson. He was thirty years old when the story took place and was on

the way to being a successful scholar of Mathematics in the Christ Church College of Oxford University. Dodgson was the eldest son in the family. His father was a priest and he was a deacon in the local Church of England.

It was on the 4<sup>th</sup> of July, 1862 that the story of Alice happened. Then Dodgson and another young priest Robin Duckworth picked up the three sisters of Liddell, the new Dean of Christ Church, on a boat journey up the river. It was a beautiful golden afternoon and the descriptions of this afternoon were later put at the beginning of the story. Dodgson elegized that golden afternoon in the introductory poem to *AW*. It was in this dreamy fantasy-like weather that the three children requested Dodgson to tell them a tale. The oldest sister, Lorina, asked him to “begin it”; Alice, the second, said “There [would] be nonsense in it”, while the youngest sister interrupted “no more than once a minute.”

Later on, Dodgson was asked to note the story down by the children, esp. Alice who insisted that he should write the story down. On the next day, he began to write it and when he finished it and also drew some pictures for the story. After finishing it, Dodgson named the book as *Alice’s Adventures Underground* and kept his promise to give it to Alice as a present. After that, upon the encouragement of his friends who urged him to publish the book, he spent three years time to expand it and also invited a cartoonist to draw some pictures for the story. It was this expanded version which was published in 1865 that had become a canon for children’s literature. In this research, it is also this version and its translation will be investigated.

### *1.2 Chao Yuen-ren and his Chinese translation of Alice of Wonderland*

Born in Tianjin with his ancestry in Changzhou of Jiangsu Province, Chao Yuen-ren (1892-1982) went to the Cornell University in the United States to study physics and mathematics in 1910. Chao Yuen-ren is a famous Chinese linguist who had very extensive interest in many areas, such as mathematics,

physics, music and linguistics, etc. He had taught in many American universities, such as University of Cornell, Harvard University, Yale University, University of Michigan, University of Hawaii, China's Tsinghua University, Beijing University, and then in 1947 he began to teach in University of California Berkeley until 1963 when he retired there. Chao was one of the pioneers of Chinese modern linguistics and has been known as "father of modern Chinese linguistics" for his prominent contribution to study of the Chinese language. His works include *A Grammar of Spoken Chinese*, *Studies in the Modern Wu Dialects*, *China's Social and Linguistic Aspects*. As a translator, he translated Carroll's *Alice's Adventures in Wonderland* into Chinese for the first time, in which he tried to "make language experiment" to preserve the wordplays in the source text. Either due to Chao's quality of translation or his influence as a famous linguist, his translation still enjoys unparalleled popularity in today's Chinese context even though there have been more than 83 Chinese translations of this work by 2011.

Of course, there has been a lot of research conducted on this book and its translations. In *Alice in many tongues*, Weaver gave a very brief history of the translation of *AW*. According to Weaver (1964:28), in the 14 years till 1879 following *AW*'s publication, the book had been translated into 7 languages which were German (1872), French (1869), Swedish (1870), Dutch (1875) and Russian (1879), respectively. Although much difficulty had been involved in the translation process, esp. in translating the parodies, wordplay and the nonsensical poems, the translations had won wide popularity. Since 1889, *AW* began to be translated into many other 41 different languages.

In the Chinese context, Chao Yuen-ren first translated *AW* in 1922. Following his translation, till the year 1948 before the founding of P.R. China, there were three other translations by Xu Yingchang (1933), He Junlian (1936), and Fan Quan (1948). Diachronically speaking, the translated versions of *AW* represent the efforts of translating *Alice in wonderland* in the period of Republic of China, that is, before the year 1949 when People's Republic of China was founded.

Theoretically speaking, the translators after Chao had the opportunity of imitating and evaluating Chao's translation. In fact, I have found they indeed imitated his translation, or drew a lot of inspirations from Chao's translation. For instance, He Junlian's translation is very similar to Chao's wherever there are very tough language issues to translate, such as puns and wordplay.

Since 1949 when People's Republic of China was established, Chao's translated version has been reprinted several times. Meanwhile, there were not any other new versions translated during this period until the end of 1979. During such a long period, China first translated the "revolutionary" works from other communist countries (such as Soviet Union) under the Maoist principles; and then from 1966 China underwent a destructive event, the "Cultural Revolution", which almost repressed and destroyed all the translation activities. Until December 1979, three years after the ending of Cultural Revolution, a simplified version of *Alice in Wonderland* was translated by Xin Ruo and published by Hubei People's Press. Then in 1981, there are two versions published, one (《愛麗絲奇遇記》) is translated by Guan Shaochun and Zhao Mingfei, the other (《阿麗思漫遊奇境記》) is translated by Chen Fu'an and published by China Translation and Publishing Corporation. In 1984, a new translation (《艾麗絲漫遊奇境記》) was translated by Zhu Hongguo and published by Sichuan Children's Press. The 1990s witnessed an explosive number of the translations of AW and this book has been translated extensively ever since. By the year 2011, there have been 83 different translations of this book in China's mainland, excluding the various versions of the same translators which are published at different times. Among the 83 translations, the number of adapted versions is 22; the number of complete translated versions (or claimed complete version) is 61. If classified chronically, there are 4 translations before 1949; and there are 79 after 1949. It would be clearer if we list the numbers in a table:



Versions	1922-48	1949-78	1979-89	1990-2011
Complete version	3	0	4	52
Adapted version	1	0	1	22
Total	4	0	5	74

Table 1.1 Overview of the translations of AW from 1922 to 2011

Here in the following there is a table containing detailed information on the 9 translations published between 1922 and 1989. For more please see the appendix.

No.	Translation	Translator	Form	Publisher	Publishing date
From 1922 to 1948					
1	<i>Alisi manyou qijing ji</i> (阿麗思漫遊奇境記)	Chao Yuen-ren (趙元任)	Full trans.	Beijing: Commercial Press	1922
2	<i>Alisi de qimeng</i> (阿麗思的奇夢)	Xu Yingchang (徐應昶)	adapted	Shanghai: Commercial Press	1933
3	<i>Ailisi manyou qijing ji</i> (愛麗思漫遊奇境記)	He Junlian (何君蓮)	Full trans.	Shanghai: Qiming Press	1936
4	<i>Ailisi Manyou Qijing</i> (愛麗思漫遊奇境)	Fan Quan (范泉)	adapted	Shanghai: Yongxiang Press	1948
From 1979 to 1989					
5	<i>Alisi manyou qijing</i> (阿麗思漫遊奇境)	Xin Ruo (欣若)	Full trans.	Wuhan: Hubei Children's Press	1979
6	<i>Ailisi qiyu ji</i> (愛麗思奇遇記)	Guan and Zhao (管紹淳、趙明菲)	Full trans.	Urumchi: Sinkiang People Press	1981
7	<i>Ailisi manyou qijing ji</i> (愛麗絲漫遊奇境記)	Chen Jing (陳靜)	Full trans.	Beijing: Foreign Language and Research press	1981
8	<i>Alisi manyou qijing ji</i> (阿麗思漫遊奇境記)	Chen Fu'an (陳復庵)	Full trans.	Beijing: China Translation and Publishing Corporation	1981
9	<i>Alisi manyou qijing ji</i> (阿麗思漫遊奇境記)	Zhu Hongguo (朱洪國)	Full	Chengdu: Sichuan Children's Press	1984

Table 1.2 Information of the translations of *AW* from 1922 to 1989

The multitude of translations emerging in large quantity is unparalleled by any foreign author's translations in China, even the most popular Shakespeare. Against the background that *Alice* is translated so widely in the world, the research on its translation is also conducted worldwide. According to my observation of the data at hand, the systematic study on its translation started from 1920s.

Of the multitude of translations emerging since 1922, there is one translation that has stood the test of time. It is Chao's translation. Just as Weaver (1964:108) commented, "it was Chao's excellent translating skills and his deep understanding of both Chinese and English languages that made him overcome all the difficulties in the translation process". Up to now, *AW* has been translated into more than seventy languages across the world. This wide popularity, as Stoffel (1991:10) points out,

is not just a linguistic challenge or a novelty – people the world over have connected with *Alice*. The stories and characters live in their minds [...] *Alice's* story speaks of essential truth about human condition, and it does so not in the blunt language of sociology or psychology, but in the subtle tongue of art.

As one of the most translated work of art, *AW* had not only attracted the attention of translators, but also that of the translation studies scholars. People not only have been interested in the wonderland world constructed by Lewis Carroll, but also in Carroll's manipulation of language in the way to construct such a world as well as to attract both child and adult readers. Then how can this little story, written by one particular person for another at a very definite place and time (the idiosyncratic world of mid-19<sup>th</sup>-century Oxford) speak so much to so many people for such a long time? And how has Carroll manipulated the language of the dreamland in order to realize such an objective? How about the translations?

Are the language and the characters distorted in the translations? These questions have attracted attention of the scholars who are interested in the language and its functioning in the work of *AW*. Actually, according to Weaver (1964), Carroll himself had recognized the difficulty involved in translating his work, though he encouraged translating it into other languages.

## *2 Two approaches to the translation of AW*

Over the past decades, there have been two tendencies of studying the translations of *AW*. One is the linguistic-oriented tendency; the other is referred to as the cultural approach. The linguistic approach to *AW* had prevailed mainly before 1970s, which focuses on translation of sentences as its upper rank unit, basically ignoring the macro-structural aspects of the whole texts, not to mention the semiotic meanings conveyed by the linguistic structures. In the linguistic approach, the difficulties involved in translating the parodies, nonsensical poems, wordplay and the ambiguous sentences will be highlighted in such studies. Usually, this approach can be referred to as the study of the techniques of translating. Weaver's (1964) study of the translation of *AW* can be representative of this approach. In his book on translating *AW*, Weaver concentrated his attention on the translation strategies, which can be reflected from the name of one of his book chapters, "How can Alice be translated?" As mentioned, this is a complicated task for translators, because it is assumed that the descriptions of the wonderland, excitement and childish humor, including the actualized narrative of the adventure stories should be preserved in the translation. Weaver believes that these elements could promote child readers' love towards this book. Weaver then looked at how successfully these textual features could be captured and conveyed in the translation. Similarly, Mango (1977:63-84) seemed to have noted the special properties of the language used in *AW*. She investigated the German translations by focusing on the micro textual and stylistic levels. She then points out that the syntax, though simple, that represents the interpersonal meaning and point of view have been converted into a kind of "colloquial-childish" tone that

could not be found in the original (Mango 1977:67). The mismatching thus distorts the relations and the different concepts represented in the fantasy world. It is worth noting that the stylistic aspects Mango discussed mainly include the syntax and lexical features. She emphasizes that Carroll's language is very simple, word order very direct, and the thing he expresses very refined, without any metaphor or clichés. However, "it is the very outstanding verbal nature of language that may explain our arguments above" (Mango 1977:69). By resorting to the Halliday's work "The structure of English Sentences", Mango further argues that the language and style in *AW* are the very appropriate language to represent the fantastic dream adventures, but this delicately constructed world has been damaged in the translation due to inappropriate handling of the language and style. Still focusing on the linguistic aspects of *AW*, Davies's (1999) study is mainly on the comic mechanism entailed in the linguistic structures and the comic effect they produced.

It is worth noting that many Chinese scholars' studies of the translations of *AW* belong to this orientation that focuses mainly on the linguistic skills or transfer of the original words or clauses, such as the translation of word play or the difficult sentences. Of course, the stylistic aspects of this book, along with its cultural constraints on translation, have been looked at and some valuable conclusions have been reached by many scholars (see Zhang Lu 2007; Zhao Wenjuan 2012). Some Chinese scholars (such as Peng Yi, 1998) also noticed the linguistic mechanism of the original work which was difficult to be transplanted into the TT.

The rise of the *cultural approach* to translation studies benefited from the cultural turn that took place within this discipline in the 1970s, where the contexts, be it social or linguistic, began to be given full consideration. When discussing translation of *AW*, the critical question is that it is first and foremost a work of children's literature. Then the question comes that how to translate a work for children. Is it different from translating for adult readers? The Finnish scholar

Riitta Oittinen (2000) sets forth the question of translating “For whom?” She argues that adults are obviously different from children. Children are not miniature adults, but “speaking animals belonging to the magical fantastic world” (Oittinen 2000:49). So when translating for children, the translators should take readers’ wishes and capacity into account and respect these features of this group of readers (ibid.:69). In her book, Oittinen discussed the binary concepts of rewriting/domestication. In fact, she asserts that all translation activities involve rewriting, and the activity of changing the original language into the target language itself is domestication. Oittinen declares in her book that her research is not to set up some norms but to understand the process of translating *for children*, that is, “how shall we communicate with children through translation” (Oittinen 2000:6). Now that translators translate for children, they must be loyal to child readers. The process involves the loyalty principle put forward by Nord (1991:29).

In regard to the translation of *AW*, Oittinen first discussed its relation to the *The Nursery Alice*, in terms of narrator, the relationship between dreamland and the reality and the reader types addressed to. After that, she analyzed the three complete Finnish versions from the perspective of the constructions of time, translation and child image. The first version was published in 1906 when Finland was still under the control of Soviet Russia. The Finnish literature was still in the inchoate period, needing badly to absorb the literary genres from other languages and cultures, in other words, “Finland needs Foreignization” (Oittinen 2000:135). In fact, this is also a very common phenomenon in cultural and literary studies that translation activities are usually very active when national literature is still in its inchoate period (Bassnet 1993:142; Even-Zohar 1979).

It is very interesting that Oittinen also discussed the characterization of Alice. In her discussion, she asserts that Swan’s translation seems to be different from that of the original in that Alice does not want to be “an old woman” even after she doesn’t to go to school. In Swan’s translation, this “an old woman” becomes “an

old wife”, the concept of which refers to the status of women at that time: all women should get married. Generally speaking, there are elements of domestication as well as foreignization in Swan’s translation. The elements domesticated can be seen from the fact that the story seems to take place in the countryside in Finland, and the main story characters are also Finnish. The foreignized elements include the introduction of Alice’s story into Finland, and of a new genre as well.

Oittinen’s discussion involved many subtle translation problems, such as the original author’s gender prejudices. However, due to the subtleties and complexities of these characteristics of the issues in this book, Oittinen doesn’t give an impressive discussion of these characteristics although she mentioned the features relating to the issues of narrator, dreamland and the ambivalent status of the book. Then in this present research, I will discuss the construction of the characterization and its relation with the transitivity patterning of the clauses, along with the obscure relations between dreamland and reality.

There are also some scholars who conduct research on translation of proper names in *AW* and their communicative effect entailed in the translation strategies on the readers. It is worth mentioning Nord’s article (2003), in which she investigated 8 translated versions of *AW* into German, French, Spanish, Brazilian Portuguese and Italian and discussed the forms and functions of their translations. She subdivided the proper names into three types: explicit reference to the real world in which the original author and addressee lived in (eg. Alice, her cat Dinah, the historical figure William Conqueror); implicit reference to the real world the original author and addressee lived in (eg. the three names Elsie, Lacie and Tillie refer to the three Liddell sisters Lorina Charlotte, Alice and Edith Matilda, respectively; and the reference to the names of the fictional characters. Nord points out that an important function of proper names is to indicate “in which culture the story happens” (Nord 2003:182). Her research indicates that these eight translators used different translation strategies to deal with the proper

names, and these strategies may have different communicative effects for readers of the translations. In translating proper names, Nord also noticed another problem, that is, footnotes. She points out that these footnotes are metatexts, which are referential in nature (Nord 2003:195). The footnotes in *Alice in Wonderland* can make readers know the appellative function of the original text. However, these footnotes may have a destructive effect on the translation of puns and humor. What is more, what readers face is two texts. It is a referential function for one of the two texts to explain these proper names, while the other text explains why it is not referential in nature. With these two texts functioning in the translation process, the communicative effect is sure to be changed (Nord 2003:195). However, Nord argues that whether footnotes should be added or not depends on the readers' receiving abilities. For adult readers, it would be more interesting to be able to read two texts; whereas for child readers, one text is enough. So in the data Nord collected, footnotes and translator's commentary only exist in the translations for adults.

As a brief summary, the two approaches to the translation of *AW* have been discussed in this section. It can be clearly seen that the two approaches can complement each other in that they both have shortcomings in the study of translation of *AW*, the seemingly simple but actually complicated work of art. This means that a holistic approach should integrate the linguistic structures and also their function in the context into the picture, giving full consideration to the prama-semiotic effects produced by the linguistic aspects in their context. Taking into consideration the fact that *AW* has long been regarded as a dream fantasy in which a magical dreamland was created by the language that leads nowhere when the dream was over and Alice was kept awake, then construction of characterization plays a crucial role in such fantasy as is asserted by Wilson (1983: II) (which will also be discussed in Chapter 4, section 4.2.4). This present research will focus on the characterization of Alice in translation by adopting a critical stylistic approach to explore whether the transitivity patterns constructed

around the protagonist in the translation have been damaged or distorted and hence their ideological influences.

### *3 The research question and assumption*

It has been found in the two approaches just reviewed in the above section 2 that most of the current literature on translating *AW* focuses on the linguistic transfers of the language, such as translation of the wordplay, which is far from touching upon the key features of the work as a dream fantasy, which thus makes it difficult to grasp for the audience as well as for the researchers and translators. The language of texts can't be analyzed by means of exploring just one feature of the text, say the phonology or grammar. What's more important is that a description is expected to account for the ways in which texts operate in particular contexts and as a part of a communication process between the writer and reader. Therefore an overall systematic description and investigation of the linguistic mechanism functioning in the original text is needed in the present research in terms of the language constructing the characterization of Alice, the protagonist in the fiction and the fantastic dream world. And then similar steps will also be conducted in the translation in a comparative method in order to find out whether the characterization and the dreamland in the ST constructed by the original author has been demystified or demagicalized. Such an investigation certainly needs a solid approach to explore its seemingly complicated nature of the language of this novel.

A descriptive-explanatory approach to translation studies should always be based on a comparison between the translation and original texts. Toury (1995:36-39) proposes a three-step methodological framework which can be used for such comparisons:

- (1) situating the text in the target culture system;
- (2) comparing the ST and TT for shifts and identifying the relationships



between the “coupled pairs” of ST and TT segments, and attempting generalizations about the underlying concept of translation; and then

(3) inferring implications for decision-making in future translating.

Toury’s full consideration of the notion of text within its context, say, its emphasis on cultural context echoes Halliday’s context theory. Although Toury’s approach is mainly socio-cultural in nature, his three-step methodology for text comparisons can offer us many implications for approaching translation studies. Therefore, the first thing to do is to give a characterization of the original text and find out what it is like about the characterization of the protagonist Alice in it. In so doing, we can infer the author’s fictional world he tries to construct and the poetic strategies he has used to construct such a world. In the present research, it is assumed that the construction of characterization of the protagonist in *AW* text can be divided into three stages, following the fact that Alice gradually gained the power to control her body size, which made her experience three distinct Stages of Characterization Development (SCD), from the beginning where she was very timid and passive (SCD1) through the intermediate stage where she became more confident (SCD2), and till the end when Alice fully recovered as a normal human being (SCD3). Then:

If such three stages exist in the original text, then they can be construed in the transitivity systems in the translational text of *AW*. Then how are the social functions are realized in the language of text in terms of transitivity patterning? In other words, how are the author’s poetic intentions realized through the manipulation of transitivity systems?

In view of these research questions, an investigation should be conducted in order to find out what the transitivity patterns are like in the translations, and what the ideological influences are on the construction of the characterization, that is, what the character has become of in the translation.

#### *4 Outline of this thesis*

This thesis is divided into seven chapters, which can be summarized as follows:

Chapter 1 includes a brief introduction of the research, the reasons or motivations for studying the translation of *AW* by Chao Yuen-ren. This chapter also contains a brief review of the studies of translations of *AW* in western academia as well as in China; and then two approaches are discussed and evaluated. On such a basis, the research question is put forward. Finally in this chapter, data design and its use are discussed.

Chapter 2 outlines a general theoretical framework for the approach to translation studies of *AW*, in which the translation will be treated as a communicative event which consists of texture, discourse and context. Chapter 3 sets up an analytic tool for the follow-up research on the basis of transitivity analysis within the framework established in Chapter two.

Chapter 4 tries to locate *AW* in its ST context and give a detailed characterization of the protagonist Alice in terms of the transitivity choices constructed around the character.

Chapters 5 and 6 mainly concentrate on the analysis of translation shifts at the clause and textual levels. Chapter 5 investigates the transitivity shifts at the clause level in terms of shifts types categorized.

Chapter 6 locates the shifts at the textual and contextual levels by attempting to explore the pragma-semiotic or ideological influences they have upon the construction of characterization in the translation. Accordingly, a discussion has been conducted in terms of three stages of characterization development.

Chapter 7 is the concluding chapter which reviews the aims and achievements of this research. Also, this chapter presents the significance of this research and further implications for future studies.

Among the seven chapters, Chapter 6, according to its structural organization,

can be divided into two separate chapters, that is, another more chapter to discuss the evaluation of the Alice's characterization development. However, in light of the close relationship of the two parts, they are merged here into one by the qualitative examination of the translation shifts with their ideological effects, which may make the links between the chapters more coherent and natural.

## Chapter 2 Theoretical Framework and Data Design

With regard to a critical stylistic approach to the study of the work of children's literature and its translations, there has been a substantial body of criticism on the literature for children, among which much has been done on the area of children's literary texts, but little in the area of their translations. This work may include Knowles and Malmkaer (1995) who adopted a critical approach and examined children's literature at different periods by using the computer analyzing vocabulary and grammatical patterns in the most popular children's texts in order to expose the colonial and class assumptions on which these books were predicated. A similar approach has also been adopted by John Stephens (1992), who borrowed the central claims of language as discourse pervasively imbued with ideology from Fairclough (1989), exposed the presence of ideology "inscribed" within the discourse of narrative fiction for children, not only at the *story* level, but also at the *significance* level (Stephens 1992:2). In addition, some other aspects of this literature as a genre, such as style, focalization and manipulation of reader's expectations, can also be explored from the perspective of the implied reader (Ballard 2005).

So it can be seen that the term "critical stylistic" is a somewhat radical approach to text processing which relates linguistic structures to particular ideologies or world views. Such an approach will be devoted to disclosing the hidden power relations embedded in the assumptions, beliefs and attitudes that are often taken for granted in the daily life. As Toolan (1988:232) puts it, "although the truth may be single, reports of the truth are always plural, mutually inconsistent, partial." This means that the so-called truth is entangled in ideology and it will always be mediated, non-neutral, imbued with values; and the "value-loaded discourse is an indication of stance adopted" (Zhang 2013) by the speaker or writer. This is to say that to a great extent that our realities are linguistically constructed. To study ideology and its representation, the language and style must be looked at in combination with its context in which they intermesh with

each other. Thus it is a reaction against these mainstream tendencies that led to a group of scholars, such as Fowler, Hodge and Kress, and Trew, etc. to publish extensively on the topic under the title of *Language and Control* (Fowler, et al. 1979). This collection of articles paved the way for a new approach to analysis of any texts in the communicative events. The critical approach to language claims that they find the descriptive linguistics not sufficient to analyze the communicative activities. In this sense, Critical discourse analyst, such as Fowler and Kress (1979:186) insists that the 'style' and 'expression' can not be separated, a view which was held by the traditional orthodox structuralist theorists. By the same token, they also refuse the separation of the binary concepts of 'competence' and 'performance' advocated by Chomsky because it implies that linguistics can study meaning in the abstract sense. Just as Bloor and Bloor (2007:12) points out, the critical analysts also disagree with the discourse analysis in the 20<sup>th</sup> century because it did not criticize the social practices. The critical analysts see the discourse both as a product of society and also as a dynamic and changing force that is constantly affecting and reconstructing social practices and ideologies. In order to achieve such an agenda, the critical analysts, as Bloor and Bloor (2007:12) points out, need to achieve the following objectives:

- to analyse discourse practices that reflect or construct social practices;
- to in how ideologies can become frozen in language and find ways to break the ice;
- to increase awareness of how to apply these objectives to specific cases of injustice, prejudice, and misuse of power.

To the above objectives, Bloor and Bloor (2007:13) add the following ones, for example, to demonstrate the significance of language in the social relations of power; to investigate how meaning is created in context; and to investigate the role of the speaker/writer purpose and authorial stance in the construction of

discourse. This matches the claims advocated by Fairclough:

The adoption of critical goals (which) means, first and foremost, investigating verbal interactions with an eye to their characterization by, and their effects on, social structures. (Fairclough 1985:747)

The critical goals Fairclough mentioned are mainly based on a western Marxist tradition, within which such names as Althusser and the Frankfurt School are often mentioned, which lends the CDA practitioners some very significant concepts in their approach. When the critical linguists claim the links that exist between the tangible textual devices and the hidden sets of ideological components, they are making use of the characterization of the concept of ideology, which are assumed to be “attitudes, beliefs and values systems shared among a community” (Kress 1988). So the ideas, esp. those ideas shared among a particular community which are termed as ideologies, are a very important aspect of the world we are living in. Of course, we are communicating, reproducing, constructing and negotiating them by using language.

In an edited collection of papers about the debate of nuclear arms, Kress defines the critical approach as follows:

There is a significant and large body of work which enables us to see the operation of ideology in language and which provides at least a partial understanding of that operation. Some, perhaps the major problems remain. I take these to be around the question “what now?” Having established that texts are everywhere and inescapably ideologically structured, and that the ideologically structured, and that the ideological structuring of both language and texts can be related readily enough to the social structures and processes of the origins of particular texts, where do we from here? (Kress 1985:65)

The question imposed by Kress pointed actually to the interdisciplinarity of this approach that attempts to incorporate the context of production of the texts along

the ideological contextual implications. Also, in addressing the question of the role of the reader in constructing ideological meaning in the discourse, this approach also establishes connections between the ideological meanings with particular genres from a critical perspective.

The term ‘critical’ has a widely-accepted meaning of “marked by a tendency to find or call attention to errors or flaws”<sup>3</sup>, for example, we can say “a critical attitude”. However, in the critical discourse analysis, just as Fowler remarked, they adopted the sense of ‘critique’ put forward by the Frankfurt school that,

criticism consists in revealing the obscure as well as the transparent links that obtain between practices (communicative exchanges for CDA) and the social conditions to which the latter are subjected to’ (Wodak and Meyer 2001:2)

In the practice of critical discourse analysis, the exploration of how the socio-cultural contexts and socio-textual practices are inevitably bound up together in the production and interpretation of the texts. So it is very natural that we will be more interested in the less obvious ideological encodings that are more insidious.

The point being made here is that a critical stylistic analysis is not necessarily directed at the apparently foregrounded language of “deviance”, but can be used successfully in interpreting and explaining the features and meanings in fantasy fictional texts that are targeted at child readers – however much the use of the language there may seem to be unattractive at first sight before the linguistic analysis. So the view of stylistics with its attention to the language in context and to the context of communication between a speaker/writer and a reader is to reveal the ways in which speakers can exploit linguistic structures to address readers of discourse and “subject” them to a particular way of believing. In fact,

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<sup>3</sup> This is one of meanings given by the *audioEnglish* website, which also includes many other meanings, such as “characterized by careful judgment or evaluation”, ect. The website address is <http://www.audioenglish.org/dictionary/critical.htm> (accessed on Oct. 16, 2013).

Fairclough (1989: 26) has offered us the three stages in the practice of critical discourse analysis:

- 1) *Description* is the stage which focuses on the formal properties of the text, say, the linguistic structures, etc.
- 2) *Interpretation* is the stage which focuses on the relationship between text and interaction – seeing the text as the product of a process of production, and as a resource in the process of interpretation.
- 3) *Explanation* focuses on the relationship between interaction and social context – with the social determination of the processes of production and interpretation, and their social effects.

Coincidentally, the three dimensions of CDA matched exactly in number with the configuration consisting of three modes of meaning proposed by Halliday (1994). In the three stages of CDA, on the basis of description of the first stage, the processes of interpretation and explanation related to the second and third stages will fit the text into the socio-cultural context in which it is produced and read. Here in the following section 1 the three modes of meaning configuration will be presented in connection with its textural organization in the text, on which the CDA approach is based.

### *1. Meaning Configuration and the Textural Organization*

A grammatical structure is a configuration of functions or roles, each of which derives from some option in the semantic system as whole (Halliday 1978:45). So grammatical structure, when representing the meaning, is a non-arbitrary configuration of elements which can represent the function for which language is used. In a functional approach to the studies of language, meaning is decided by its context and society, and in turn it will shape that society. According to Halliday (1971, 1978, 1994), Halliday and Hasan (1976), Hasan (1985) among others, the description of texts consists of three types of meanings and of the



ways in which such meanings are produced and decoded by interactants through the use of lexico-grammatical units. These three meanings are:

- 1) Ideational meaning: refers to the meaning which is involved in making sense of reality;
- 2) Interpersonal meaning: relates the texts' aspects between the speaker and the audience, which represent the choices that enable the speaker to enact the complex and diverse relations with the audience.
- 3) Textual meaning: the meaning that is instrumental to the above two mentioned meanings, through which language is enabled to meet the demands made on it. It concerns the creation of the text. It is through this meaning that language can create "a semiotic world of its own: a parallel universe or 'virtual reality' in modern terms" (Halliday 2003:276).

According to David Butt et al (1995:122), the usefulness of systemic functional linguistics in exploring English texts is "its perception of the dynamic relationship between language and context". Thus the relations of realization between different components can be represented in the following chart,

Metafunction	Components	Roles
Ideational >>	Field (what is going on) >>	Transitivity
Interpersonal >>	Tenor (participants) >>	Mood, modality
Textual >>	Mode (channel) >>	Theme/rheme, Information structure

Figure 2.1 realizations of contextual components

Actually, the first two meanings, that is, ideational and interpersonal, in Halliday's (2002:92) functional grammar, are seemingly sufficiently all-embracing. However, it is the third meaning that combine the ideational and interpersonal meanings and it is responsible for managing the flow of discourse. The three meanings are closely interconnected and often overlap, but they can be studied alone for depth and clarity.

### *1.1 Ideational Meaning*

The ideational meaning is the function language serves for the expression of content: it entails two sub-functions: experiential function and logical function.

The experiential function refers to the grammatical choices the speaker or writer can employ to make meanings about the world around us and our mind, which includes his reactions, cognitions, and perceptions and also his linguistic acts of speaking and understanding.

When we watch small children interacting with the objects around them we can find that they are using language to construe a theoretical model of their experience. This is language in the experiential function; the patterns of meaning are installed in their brain and continue to expand on a vast scale as each child, in cahoots with all those around, builds up, renovates and keeps in good repair the semiotic “reality” that provides the framework of day-to-day existency and is manifested in every moment of discourse, spoken or listened to. We should stress, I think, that the grammar is not merely annotating experience; it is construing experience. (Halliday 2003:15-16)

It is noted here that experiential meaning not only conveys ‘the patterns of meaning’, but also construes the experience. However, this meaning is often realized by the transitivity system, which we will discuss in the next chapter.

For the logical component in the ideational meaning which is also related to the experiential strand, it is organized in language and which is encoded in the form of co-ordination, apposition, modification, and the like. The logical function, according to Halliday (2002:91), is realized by the medium of a particular type of structural mechanism which takes them, linguistically, out of the domain of experience to form a functionally neutral, ‘logical’ component in the total range of meanings.

According to this definition, logical meanings are embedded in the structure and

textures of language in the form of texts, and they are different from the cohesive devices although the both are closely connected to each other.

### *1.2 Interpersonal Meaning*

It is the meanings through which the writer establishes his relationships with the audience and shows his attitudes to something or somebody. The speaker here is making use of language as a means of his intrusion into the communicative event, in which he will express his comments, attitudes and evaluations – in particular, he will adopt his role of questioning, informing, greeting, persuading, ect. As Halliday asserts:

It is through this function that language makes links with itself and with the situation; and discourse becomes possible, because the speaker or writer can produce a text and the listener or reader can recognize one. (2002:92)

Halliday also comments that the interpersonal meaning also subsumes both the expressive and conative functions of language (2002:91). In a wider context, the interpersonal component serves to integrate and maintain human relationships. Therefore, it is in this sense that Halliday stresses that this function is important for certain discourses of literature because personality depend on interaction which in turn is mediated through language, the interpersonal function is both interpersonal and personal, and it serves to express the inner and outer surfaces of the individual, as a single consistent area of meaning potential that is personal in the broadest sense.

### *1.3 Textual Meaning*

It is the way in which the producer of a text identifies, organizes and structures the ideational and interpersonal meanings. It is concerned with the creation of text, and through this function language makes links with itself and with the

situation; and the discourse becomes possible, because the speaker or writer can produce a text and the listener or reader can recognize one (Halliday 2002:92). A text is a semantic operative unit and it can include as a special instance the literary text. The textual function is not limited to the establishment of relations between sentences, but it is also concerned with the internal organization of a sentence, with its meaning as message in itself as well as in relation to the context.

In the systemic functional linguistics, the textual meaning can realize the experiential meaning through the transitivity systems. It realizes the logical meaning through cohesive devices. Halliday and Hasan (1985: 71-2) laid much emphasis on this concept since it gives a stretch of language its 'texture', which defines it in terms of the nature of text and in terms of three properties:

- 1) The texture of a text is manifested by certain kinds of semantic relations between its individual messages.
- 2) Texture and text structure must be seen as separate phenomena. Their relationship operates only in one direction: whatever is a text must possess texture, but it may (or may not) be a complete (element of a) text.
- 3) The property of a texture is related to the listener's perception of coherence.

As can be seen from the properties of texture, a text has texture and this is what distinguishes it from something that is not a text. It derives this texture from the fact that it functions as a unity with respect of its environment (Halliday & Hasan 1976:2). So like structure, texture is also ultimately linked to the context of situation.

Textual meaning may also realize the interpersonal meaning through the thematic structures and information structure, the former of which reflects the speaker's point of departure and his focus, and the latter of which reflects the speaker's

consciousness of the audience shared knowledge with him. So it is very interesting that different text orientations may call for different thematic structures which may have to do with the expression of point of view and ideological influences, etc.

## *2. Contextual components*

An analysis of texts will be facilitated by focusing on their discoursal and contextual components. As we have discussed in the above section, the three metafunctional meanings: ideational, interpersonal and textual all have their corresponding textual forms to be represented. These corresponding textual devices are transitivity, modality, thematic structure and other cohesive devices. In a critical stylistic approach to translation texts, the underlying repertoire and their use in context are highlighted to communicate wider ideas, attitudes and values. So the textual means or devices which are used to create these things are particular worth exploring. In the following sections, the contextual components will be discussed in terms of the pragmatic and semiotic effects it entails.

### *2.1 Discourse as speech acts*

In the 1990s, the studies of discourse analysis came into focus of translation studies, which has apparently links with the so-called text analysis. However, different from the notion of text in the traditional sense, discourse analysis examines the way in which language conveys the meaning and power relations. So the discourse is rendered as a kind of speech acts in the context, studied by the discipline of pragmatics. As it is known, pragmatics is mainly concerned with the study of the way in which language is used in particular situations, and therefore focuses on the function of words as opposed to their forms. Pragmatic analyses involves different language pairs that deals with studies comparing for instance the transitivity organizations in terms of pragmatic effects in both

English and Chinese written discourse by establishing differences (or the so-called shifts in this sense) in terms of structural and preferential conventions and interactional norms. Thus it deals with the intentions of the speaker, and the way in which what is said is often interpreted. In this definition, what is under focus is the word ‘intentions’. In pragmatics, intention is often studied from the perspective of speech act theory put forward by Austin (1975: 109) which consists of three levels in the following way:

- (1) locutionary act: the performance of an utterance, that is, the actual utterance and its ostensible meaning which corresponds to the verbal, syntactic and semantic aspects of any meaningful utterance.
- (2) illocutionary act: the pragmatic ‘illocutionary force’ of the utterance, and therefore its intended significance as socially valid verbal acts.
- (3) perlocutionary act: its actual effect that is produced on something or somebody, such as persuading, delaying, convincing somebody to do something, whether intended or not.

The tripartite division of speech acts is coincidentally matched with the tripartite division of language functions, among which, interpersonal function carries with it the meaning of maintaining interpersonal relationship and dynamic force. This is also true for translational communication, in which an adequate translation not only needs to translate the ideational function of the original text, but also the dynamic communicative force carried with the locutionary content. Both the ideational and interpersonal components have to be integrated into the text, which is enabled by the Textual function. Thus the general model of translation studies on which it is based on can be described as follows: translation is a cross-linguistic socio-cultural practice, in which a text in one language is substituted by a functionally equivalent text in another when seen in light of the speech act theory, translation is thus to achieve equivalence at the three levels of locutionary, illocutionary and perlocutionary acts.

Just as Austin argues, the study of language should not stop at the level of locutionary or propositional meaning, but instead to explore the acts performed by the words and sentences (1975:98). When we view a text as a holistic speech act, we will find the representational features at the three levels are very different, among which the locutionary acts are represented by such tangible devices as vocabulary, grammar, logical relations, and thematic structures, etc. The illocutionary acts have to be inferred from the context in combination with social context shared by the speaker and addressees; Perlocutionary speech acts, however, can only be realized by resorting to the psychological reality which must interact with the speaker or writer. Hatim and Mason (1990:77) refer to the sequential relationship made up of illocutionary acts as illocutionary structure of the text. In the translation activity, what the translator faces is not the individual isolated locutionary or illocutionary acts, but the illocutionary structure of the whole text, so what he should strive to achieve in the translation process is not the equivalence of one or more illocutionary acts, but the whole illocutionary structure at the text level. In this sense, the text can be referred to as Textual speech acts.

## *2.2 Semiotic effect*

In the above section, I have outlined the so-called pragmatic effect that may be inferred from the interaction of the textural elements in representing the three metafunctional meanings. However, these devices are not enough to interpret and explain all the possible meanings in the translational communication. Text and textural devices are not just the product or reflection of the interactants' individual intentions, but also they may constitute 'signs' what are assumed to be a mirror and corollary of the 'social psychology' (Saussure, quoted in Perez 2007:39), the discipline of which is called semiotics. Referring to the text and textural devices as a semiotic construct indicates their status of making meaning in a particular social context. In this sense, every object, event or action will be

endowed with a signification, or a symbolic value within that particular community. By adding this dimension to the present theoretical framework, the research can make us find how the meaning made by the textural systems function to produce the effects the author wanted on the audience. So here language is seen as having social functions and is shaped as a resource for meaning-making by these social functions. In this sense, all meaning-making has an orientated dimension, which directs the audience towards certain interpretations within a particular discourse community through stylistic choices.

Thus, the stance in semiotics (social semiotics) advocated by Hodge and Kress (1988), Fairclough and Wetherell (1991) all draw their theoretical source from Halliday's (1976, 1978, 1985) ideas of language as semiotic. And this stance is very similar to the critical approaches to language studies in communication. Mason (1994:28-29) once cited an example in discussing the importance of repetition of a particular word which might be loaded with ideological meaning in the 'lexical cohesion' section. One of the words he explored is the Spanish 'memoria' (meaning *memory* in English). He pointed out after analysis of there multiple recurrence of this word, for which he cited Beaugrande and Dressler (1981:55) that 'recurrence is prominently used to assert and reaffirm one's viewpoint' and there is discursive value in this context, whose value can be motivated by a rhetorical purpose, which connect the past with the present.

Therefore, we can understand that the conventions, beliefs and value systems that constitute the content of the social semiotics are very important for the translational communication. In order to explore the semiotics of the transitivity patterning in the construction of characterization in *AW*, we must organize them into a particular theoretical framework so that different aspects of the original and translational texts can be explored within such a framework. Actually, Hatim (1997:31) had put forward a tripartite framework on which he drew theories from many other scholars, esp. those of Halliday (1976, 1985), Kress (1985), and Swales's (1990) genre theory. Here in the following is the semiotic framework



for the present translation research which is constructed as follows:

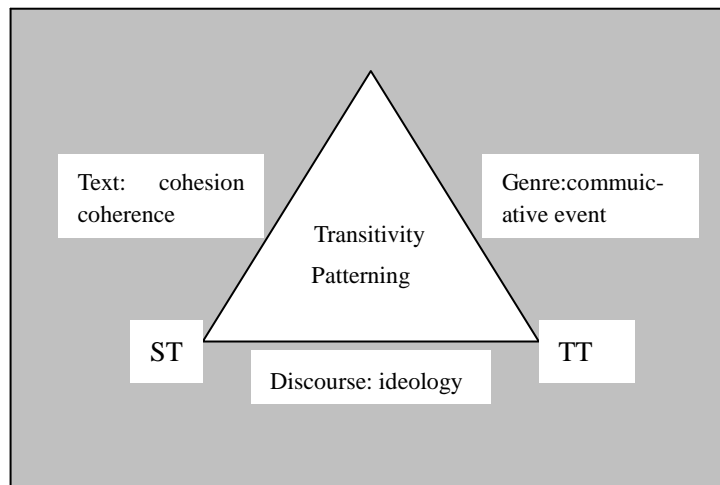


Figure 2.2 The semiotic triad: text, discourse and genre

As can be seen from this figure, what get translated in the communicative event are not only the ideational content, but also the semiotic values and ideologies (e.g. attitudes, values and beliefs, etc.). All this can be transferred through the construction of the of transitivity patterning in the translation as a communicative event. The left-hand part focuses on the 'text', involving the different aspects including use, user and cohesion, etc. this is connected with the right-hand part which focuses on the cultural constraints on language use in particular communicative events. Therefore, in the transfer from ST to TT, the contextual factors, such as the ideological values must be dealt with under the heading of discourse, which functions as a vehicle of the expression of cultural values and beliefs.

Within this tripartite theoretical framework, the definitions of the three terms are given, respectively. For genre, many attempts have been made to give a definition of it, with some degree of overlap between register and genre and some major differences in the usage of the concepts and terminology (Leckie-Tarry 1995:7). For some theorists, genre is the interface between socio-cultural activity and textual matters (Kress & Threadgold 1988:216). According to Fairclough, genre is a 'socially ratified way of using language connected with a particular type of social activity (e.g. interview, narrative,

exposition, etc.) (1995:4). For Halliday (1978:145), the concept of genre is contained in the notion of register. Genre denotes the organized structure, one of the three factors (which are: generic structure, textual structure and cohesion) that distinguish real text from the non-text. Text types are the configurations of genres and subsequently of discourses, modes and activity types that are conventionalized for specific activity in socio-cultural settings (Fairclough 1995:14). In fact, Swales (1990:45-58) has concluded the features of the concept of genre as a socio-cultural process, which has the following defining characteristics:

- 1) a genre is a class of communicative events;
- 2) some shared communicative purposes that turn the class of communicative events into a genre;
- 3) Examples of genres may vary in their prototypicality;
- 4) Behind a genre there is a rationale which establishes constraints in terms of the content, positioning and form;
- 5) The nomenclature of a discourse community is an important source of insight.

In reality, the communicators, that is, the writers and the audience, may not have the same access to the same genres in the same situation, but the characterization of features may allow them to identify a particular genre and then can receive and appreciate the particular semiotic and ideological effect. So the individuals belonging to the same discourse community will be familiar with a particular genre that is used in a particular communicative event. Reader reading these writings will be restricted by the genre conventions. In this sense, the statement that 'genres are the properties of discourse communities' (Swales 1990:9) is very true. According to this definition, any written text may be regarded as a particular communicative event that may have its own goals and targeted audience. And also this event is expected to have its own structural organization to allow the

audience to realize their expectations. So it can be clearly seen that conventions may play a very important role here. They may impose constraints on the texturing of specific texts. It is only based on these particular context-specific conventions of a text that the stylistic choices can then be described and their poetic purposes can be explored.

The concept of 'discourse' is also closely connected with critical linguistics, in which all use of language is seen as reflecting a set of speaker/writer's assumptions which are closely tied up with attitudes, beliefs and values shared among their community. So 'discourse', in Kress's words, is defined as:

the institutionalized modes of speaking and writing which give expression to particular attitudes towards areas of socio-cultural activity. (1985:7)

So in this sense, the shared assumptions, beliefs and value systems among the discourse community are called ideology by following Simpson (1993:5). As can be seen from the above definitions, discourse is a very important vehicle of ideology. Because any society can always be subdivided into different discourse communities or social groups, their ideology will inevitably be immersed through their discourses, be they in the form of speaking or writing.

In the case of writing, the text is structured in such a way that the tripartite dimensions of ideational, interpersonal and textual meanings are incorporated through the textual system to represent the above three meanings. According to Perez (2007:43), texts are not only defined by the three-dimensional meaning configuration, but also decided by two other characteristics: its structure and rhetorical purpose, the three of which are closely connected with each other. At this point, in fact, Matthiessen's (1991:249-292) research has shown that variations in register can affect the lexical choices in a text, and that arena, medium and the status of the participants may determine politeness expressed through speech acts, formality, deixis and polarity, etc. In another respect, Francis and Kramer-Dahl's (1992:56-90) research has demonstrated that there exists

correspondence between text structure and transitivity by exploring how the lexico-grammatical patterns can realize the metafunctional options available on the semantic level, and how these realize the options available in the larger context of culture in their turn. Based on the three characteristics that define a text in the combination of the metafunctional meanings, the structure and the rhetorical purpose and the text grammar proposed by Werlich (1983), Hatim and distinguished three text types which are expository (concepts, objects or events are presented in a non-evaluative manner), argumentative (concepts or beliefs are evaluated) and instructive (on the formation of future behaviour) (for details, cf. Hatim and Mason 1997:217, 239, 218) respectively.

In fact, as far as the text types are concerned, Matthiessen (2009:30) has made more delicate classifications on the basis of the fields of linguistic investigation in relation to the socio-semiotic processes. These subdivided categorizations of the fields of activity are: *expounding*, *reporting*, *recreating*, *sharing*, *doing*, *recommending*, *enabling* and *exploring* text types, respectively. According to Matthiessen (2013), these eight types of processes can be grouped into three superordinate categories “based on whether the field of activity is primarily a process of making meaning (semiotic), a process of behavior (or “doing”; social) or a move between the two – semiotic processes, social processes and semiotic processes potentially leading to social processes” (Matthiessen 2013). If putting the eight different text types under the very generalized headings, *expounding*, *reporting*, *recreating* and *sharing* can be subsumed under the heading of *expository* text type; *doing* and *exploring* can be put under the heading of *Argumentative*; while the types of *recommending* and *enabling* can be subsumed under *instructive* text type heading, although there may be some overlapping among the different categorizations.

As discussed in the previous section, it has been very clear that the linguistic choices and the interplay of these choices can reflect the speaker’s attitude, beliefs and value systems along with the relationships between the speakers and

the audience. Textual devices (including the transitivity, modality, cohesive devices and thematization) can ultimately be used to represent the discoursal, generic and text-typological meanings. And in turn, the discoursal, generic and text-typological meanings have important impact on the texturing system of the text. In such a sense, the textural systems are not only important to represent their propositional meaning and the individual intentionality they aim to disclose, but also important to be tokens of conventional structures (Perez 2007:44). So it is easy to assume that the textural systems are closely connected to the socio-semiotic processes.

### *2.3 Style as choice*

Style is first a textual phenomenon in language (Cater & Nash, 1990: 21) and thus should not be explained by reference to only one level of language. Style results from an interplay of language organization at several levels. In order to explain how the texturing system can be encoded with the socio-semiotic values in each communicative event, we need to examine what textural devices they have chosen in order to 'produce/decode' a text. In this light, Beaugrande and Dressler have a very insightful perspective. They set forth seven standards of text as a communicative occurrence. The seven standards are cohesion, coherence, intentionality, acceptability, informability, situationality, and intertextuality (1981:3-7). The seven standards of textuality are called constitutive principles of a text by Searle (1965), in that they define and create textual communication as well as set the principles for communicating. Only after fulfilling all the seven standards can a text realize the principles of 'efficiency', 'effectiveness' and 'appropriateness' (Beaugrande and Dressler 1981:11). However, different texts may have different functions which are controlled or regulated by the the text conventions that frame language in particular contexts so that readers will respond the corresponding or intended ways. A study of the language of literary text often needs an analytic tool of stylitics.

Stylistics was originally connected with Aristotelian rhetoric which aimed at making use of particular techniques to allow a speaker to persuade the audience. The term, of course, has changed over time to refer to the particular manner to express one's ideas or meaning. In light of this definition, style can be said to be individual, and everyone has his/her own style whether she/he is a writer or a translator. In systemic functional linguistics or a critical approach to language studies, the choices are always made from the language systems. Once we view the text in terms of Halliday's (1978, 1994) metafunctions, the text will be composed of different strands of meaning (Matthiessen 2014). In this case, style is thus connected with the context in which the choice made. So the context is very significant in understanding of the meaning of the literary productions. Language performs different functions which can convey various strands of meaning, thus any use of language is the result of choices made at the different metafunctional levels. All choices made in the system are meaningful. In this sense, style is the product of the context and dependent on it for the audience to interpret the meaning of the choices made by the author or the translator.

So in the stylistic studies of texts, what is of interest to stylisticians or translation studies scholars focusing on stylistic aspects of the translations is why a particular choice is preferred to another, or why a particular description is preferred to some others. This is important strategy for writers to realize their mean-making by exploiting available linguistic choices in the system of language. When particular choices are selected by the translator, they are expected to have meaning of their own against the options of the language system. At this point, Matthiessen has a very clear statement:

Choice means there are always alternatives, both in interpretation and generation; and these alternatives or options in meaning are embodied in the **meaning potentials** of the language of the original and translated text. (Matthiessen 2014: 272-3, original emphasis)

So when these choices occur in some patterns in a particular context, even when

they are unconscious choices on the part of the writer or translator, they will be considered to be motivated and will have an impact on the ways in which texts are interpreted, that is, “they may contain some ideological meaning behind the surface of the text” (Huang 1998:7). Therefore, the writer’s stylistic choices will enable certain readings on the part of readers while suppressing others.

In this present research, the concept of “transitivity” will be used in exploring the characterization in a different semantic sense from its traditional meaning where it just serves to identify verbs which can be followed by objects directly. Transitivity here means the way in which meanings are encoded in the clause and the way different types of processes are represented in language. So the concept of “style as choice” means that the system of transitivity provides systematic choices. In such a sense, translation is also a process of simultaneous choices among the options of the systems of the three metafunctions. A translation is the recreation of meaning in the context through all these choices (Matthiessen 2014: 272). So the critical approach to the interrelationship between transitivity patterns and the construction of characterization in literary texts can turn out to be a significant methodological tool in stylistic analysis and in investigations of translational texts. So we can say stylistics is of great significance in the study of literary translation where particular depictions or characterizations of the protagonist may play an important role in the investigations. The idea style as choice can direct readers to understand the characters in a particular world by referring to the components of the context in which the meaning emerges.

As can be seen from the above discussions, the links between the texture and the semiotic structures (e.g. the genre, discourse and text type) have shown that particular choices at the lexico-grammatical levels can produce particular meanings at the semiotic and ideological levels in a particular context. Of course, this can, as Baker (1992:129) claims, “help to heighten our awareness of meaningful choices made by the speakers or writers in the course of communication and therefore help decide whether it is appropriate” by making

certain choices at the textural levels.

As a brief summary, in the communicative approach to the translation as communication, there are different socio-cultural processes which result in different discourses imbued with different ideologies or semiotic values, or the ways in which the speaker/author manipulates his language to achieve or some purposes, or “justify their lives” (Malmkjaer, 1991: 2). Individuals of a particular discourse community play assigned roles on the different occasions – genres, which will eventually affect the textual organization and its texturing systems through which these participants choose to communicate.

### *3 Data design and its use*

On the basis of the division of the three SCDs through the original text, this research will mainly focus on the transitivity patterns constructed around the characterization of Alice in both the original and translation texts and their ideological influences on characterization development. In light of this perspective, all the processes involving the protagonist Alice as participants will be registered, numbered and put into the data set according to the chapter in which they appear. Here in the following are all the processes that have appeared in each chapter of the whole book of AW, listed according to the chapter where they appear.

Chapter	1	2	3	4	5	6	7	8	9	10	11	12	Total
Subtotal	157	110	50	170	110	125	92	119	88	58	54	43	1176

Table 2.2 Processes in each chapter of AW

Above are the numbers of the processes involving Alice as participants that appear in each chapter of AW. In the data set, their process types will be



categorized and annotated. And then, the translated processes and shifts will be listed in a parallel fashion, for which the shifts type will also be annotated and listed correspondingly. In so doing, a clear contrast can be formed between the processes in the original and those in the target text. So the first process involving Alice as participant in Chapter one like: *Alice was beginning to get very tired of [...]* will be registered and annotated as follows: C1-01: *Alice was beginning to get very tired of [...]*: relat. While, its TT will be looked at and it is found that the C1-01 was rendered as 坐得好不耐煩 (Back translation: [Alice] sat in a very irritated manner) in the TT. Here a shift has been observed, the relational process has been rendered as material one. This is a “process to process” opposition (which will be discussed in chapter Six, section 2) and also an *expansion* into material process and will be registered as \*M in the data set.

By investigating the shifted processes, this research will look at the ideological influences on the characterization in the translation; whether the language and character in the original language appropriate for the descriptions of dreamland fantasy have been demystified or distorted in the translated text, simultaneously, in the hope of providing some implications for the future research.

#### 4. Conclusion

By adopting a critical stylistic approach to the translation as a communicative activity and socio-textual process, the focus will thus, as has been discussed above, be the communicative event which consists of texture, discourse and context. All of these levels are interconnected with each other and the study of one level may lead to the investigation of other levels. This means that in any communicative event, what the interactants, both the speaker and the readership, communicate is not only the propositional content encoded into the textures and the textual structures, but also the pragmatic and semiotic effects. And eventually the focus will actually be on the study of mechanisms used to disclose the

ideological structures that underlie communicative exchanges. This approach is descriptive-explanatory in nature. Coincidentally, Toury's (1995:36-9) approach to translation studies leading to a socio-cultural sphere is also of tripartite dimensions which take into consideration the text within its culture. This descriptive-explanatory approach is also advocated by Perez (2002:36) who referred to it as consisting of description, explanation and exploration. At the descriptive level, the linguistic features, such as transitivity, mood, modality, cohesion and thematization, ect., can be studied. The explanatory component is concerned with the pragmatic and semiotic features, the theoretical framework "discourse, genre and text type" that are closely connected with ideological meanings (Perez 2002:208). The exploratory component is concerned with the potential effect the translations may have on the target audience and culture. This tripartite divisions or dimensions are actually similar in nature to that of CDA advocated by Fairclough we have discussed in the beginning section of this chapter.

As discussed in the above section, it is very significant to note that text, discourse and genre are mutually interconnected entities within the producer's purpose towards a communicative goal. The analysis of the texture and structure is only a means to such an end, which ultimately enable the expression of discourse under which the ideational and interpersonal resources of meaning making can be subsumed. In order to make use of the resources, discourse is enabled by 'genre', the intermediary structure at the interface of text and discourse. Genre will impose its constraints on the textures in a communicative event.

Since translation is often assumed to be a communicative activity between source culture and target culture as well as between original text and target texts, translators read and interpret the original textural units with propositional contents as well as pragmatic and semiotic meanings. They interpret the pragmatic aspect of a text in terms of the tripartite division of speech acts and convey their semiotic effects through the parameters consisting of genre,

discourse and text type. Because of the close relations between the lexico-grammatical patterns at the textural level, any change in the textural levels, say, transitivity, modality, thematic structure, etc. may result in the change in the interpretation of the pragma-semiotic effect on the audience's part.

Therefore, the analysis of the patterns of transitivity, modality, thematic structure can reveal how the three metafunctional meanings are functioning and how the text 'means' what it means (Eggins 1994:84). So it is very interesting and thus meaningful to examine the links between transitivity patterning and the pragma-semiotic effects it conveys in translating as a socio-textual and -cultural activity and communicative event. Within this theoretical framework, we will see constraints imposed by the genres, discourse and texts can facilitate translator's pursuit of translational adequacy in the translation practice.

### Chapter 3 An Analytic Model of Transitivity Analysis

When we use language, there are always different possibilities for us to encode the ways in which we talk about or describe a particular event. By the same token, when an event takes place, the context can always dictate a particular series of words to describe it. So one of the aims of Systemic Functional Linguistics (SFL) is to provide a theory to explain how language functions in our society, which has to explain linguistic structure and phenomenon by reference to the concept that language plays an important role in our lives and it must fulfill our different types of demands. The first function language aims to fulfill is the so-called ideational function, through which the speakers encode his/her experience of the real world phenomena, which also include the experience of his internal consciousness: his reactions, perceptions, cognitions and his acts of speaking and understanding. Within this ideational function, there are two sub-functions, which are the *experiential* and *logical* functions respectively. The second function language serves is called *interpersonal* function through which the speakers can intrude into the speech event, express his attitude, comments and evaluations. This function also helps the speaker establish an interpersonal relationship with the audience by adopting the roles of informing, questioning, greeting, persuading and the like. Here, language serves to establish and maintain human relationships and it also serves as means of integrating the individuals into the social groups, whereby the individuals are identified and reinforced. The third function is referred to as textual function which is concerned with the production of the text, through which language establishes links with itself and with the situation. Here discourse becomes possible because the speakers can produce a text, and the audience can recognize it. According to Halliday (1971:92), text is a function-semantic unit and is not definable by its size. So the textual function of language is not limited to the establishment of relations between sentences, but also concerned with the internal organization of the sentence, with its meaning as message in itself as well as in relation to the

context.

Halliday (1971:94) gives a tentative categorization of the principal elements of English syntax according to the above mentioned three functions, for which he argued that the way the syntax of a language is organized expressed as a whole the series of linguistic functions it aims to fulfill. This does not mean each sentence embodies a particular function. However, it is common that each sentence embodies all the three functions, one of which may be more prominent than the other two; and of course, as Halliday points out, “most constituents of sentences also embody more than one function, through their ability to combine two or more syntactic roles.” (1971:93)

So when we experience the events in the world or talk about it, it consists of “flow of events, or goings-on” in Halliday and Matthiessen’s (2004:170) terms. We will always chunk them into different quanta in terms of the grammatical knowledge of the clause. And then “each quantum of the change is modeled as a figure—a figure of happening, doing, sensing, being, saying and having” (Halliday and Matthiessen 1999). All the so-called figures consist of processes unfolding through time. And there will be participants directly involved in the processes, and there may be circumstantial elements such as time, space, cause, manner or of some other types. The grammatical system by which we encode our experience of the world is called transitivity. And the transitivity system construes the world of experience into a manageable set of process types. Each process type sets its own model for construing a particular domain of experience as a particular figure (Halliday and Matthiessen 2004:170). As far as the material process is concerned, there have been scholars, such as Francis and Kramer-Dahl (1992), who have done relevant research by incorporating the Hallidayan functionalist classification of transitivity. Francis and Kramer-Dahl compare two medical texts by putting the analytic tools provided by Systemic Functional Linguistics to the analytic practice, and reached very relevant results. According Perez (2007:72), “they constantly find differences regarding all of the processes

through which the participants/patients are presented and diagnosed.”

### *1. Six Types of Processes in Experiential Grammar*

According to systemic functional grammar, there are altogether six kinds processes expressed in the vast quantities of English clauses. They are:

- Material process
- Mental process
- Relational process
- Behavioral process
- Verbal process
- Existential process

When we examine the major kinds of the processes represented in English clauses – material, mental, relational, behavioral and so on, we are also involved in identifying the types of participant roles and circumstances these processes usually contain. According to Halliday and Mathiessen (2004:175), a clause as representation consists at least of the following three components:

- 1) a process unfolding through time;
- 2) the participants involved in the process;
- 3) circumstances connected with the process.

So these three components are organized in such a way that they can provide models for construing our experience of what goes on in the world. Here participant roles are sometimes shortened for *roles*. In fact, all the material processes always involve a participant entity that is *acted upon* in some way, in which the role is called *medium*. All mental processes involve a participant which performs the mental processing, in which the role is called the *senser*. Each process type can have several participant roles connected with it. Of course, then entity, or who/what fills the particular kinds of process directly involved with particular kinds of processes is very important. Here in the following, the list of

the major process types will be given by following Halliday and Matthiessen (2004:172):

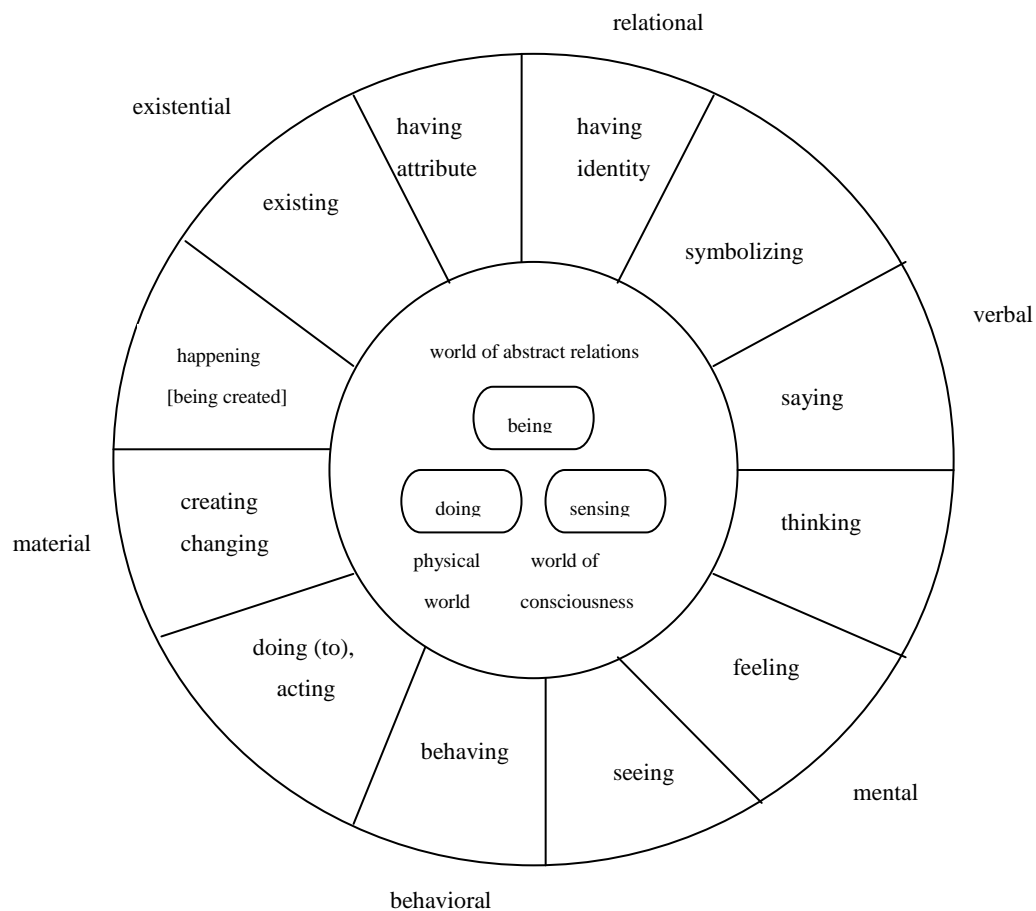


Figure 3.1 The grammar of experience: process types in English (Halliday and Matthiessen 2004:172)

In the clauses, besides the participant roles and the processes, there is still another element that is worth mentioning: the element of circumstances, that is, the adverbial phrases of time, place, manner and so on. So semantically speaking, a typical English clause will contain a process, one or more associated participants, and optionally one or more circumstantial elements. In the following space, I will give a detailed transcript of characterization of the major processes, participant types associated with them.

### 1.1 Material process

As was mentioned previously, material processes entail verbs of *doing*. In a material process, something physical and observable is done or takes place. We can identify a material process by asking “what did [the subject] do?” or “What happened?”

Eg. 1) Alice opened the door.

What did Alice do? Or

2) The door of the house opened.

What happened?

Also it is worth noting that material process usually entails a medium participant, the entity to which something happens or is done. Grammatically speaking, the medium can become the subject, as in the above example 2) if the clause is intransitive. Here in the following I will present the participant roles by putting them into the examples:

1) Agent. In general, an agent is a human intentional actor who acts upon a given medium; so when we probe clauses, the first thing we identify is the medium of the process, before identifying any agent.

a. Alice opened the door.

b. The cook was stirring a large cauldron.

2) Medium

a. Her sister was reading the book.

b. The rabbit-hole went straight on like a tunnel.

3) Effected Medium (in which the medium comes into existence in the course of the process)

a. Alice drew a beautiful picture.



4) Client (usually preceded by *for*), one of the two kinds of Beneficiaries subdivided by Eggins (1994:235), means the one for whom something is done; the Recipient indicating the one to whom something is given; and the Client

a. Jim bought a book for me.

b. Mary made Jane a big cake.

5) Recipient (often preceded by *to*)

a. He posted to me a letter last week.

6) Instrument (often preceded by *with*)

a. Alice opened the lock with the little golden key.

7) Force (often preceded by *by*)

a. The ship was ruined by the storms.

b. The time has wrinkled his face.

The material processes can still be subdivided into two subtypes: transitive and intransitive material processes. In the transitive clause, the actor unfolds the process to an outcome different from its initial phrase and extends to another participant, the Goal, affecting it in some way. This material clause represents a doing, while in an intransitive clause, the outcome will not extend to another participant because there isn't another participant to extend to, that is, the outcome is only confined to itself, and there is only one participant inherent in the process. Such a material clause represents a happening. So we can say the process *Alice opened the door* is a transitive material clause, while the one *The door opened* is an intransitive one.

To summarize, in material processes, besides the obligatory medium participant, which is the *done-to* participant, there can also be a *do-er* participant. In the transitive clauses, there can be three types of *doe-er* participants,

- (1) a conscious human agent; or
- (2) an inanimate instrument manipulated by an implied or explicit human agent; or
- (3) an inanimate natural force performing completely beyond human beings.

Actually, there is a fourth type of *do-er* role, which is called human medium-actor in the intransitive clause, which we will discuss in the further section. Here in the following more examples will be given in terms of the concepts of *Medium*, material process:

<b>Medium</b>	<b>Material process</b>
The door	opened

<b>Agent</b>	<b>Material pro.</b>	<b>Medium</b>
Alice	opened	the door.

<b>Force</b>	<b>Mat.Pro.</b>	<b>Medium</b>
The wind	opened	the door.

<b>Instrument</b>	<b>Mat.pro</b>	<b>Medium</b>
The saucepan	grazed	the baby's nose.

### *1.2 Mental processes*

Mental processes are those of *sensing*, which are “concerned with our experience of the world of our own consciousness” (Halliday and Matthiessen 2004:197). They usually have a human-like participant. The target of the mental processes can be a thing as well as a fact, which can be called *phenomenon*. The present tense is usually used in the mental process, thus participant roles include:

Senser: the individual (often human) who does the sensing, realizing and reacting, etc.

Phenomenon: that which is sensed, realized, etc. by the sense.

Both roles can be demonstrated in the following diagram:

Senser	Mental Pro.	Phenomenon
I	can't stand	her exaggerated talking.
Alice	loved	the gift.
Alice	found	a bottle on the table.

It is worth mentioning the research of Francis and Krammer-Dahl that when they focus on the mental processes displayed by the two texts: A and B, they reached the conclusion that the processes differ at this point, since Kertesz's female patient didn't actively participate, on the contrary, she is very often deprived of her senser's role. This conclusion may be of very much help to the text analysis for the present research.

### *1.3 Relational processes*

Relational processes serve to characterize or identify (Halliday and Matthiessen 2004:210). They are often realized by *be*, *seem*, *appear*, *become*, etc. Francis and Krammer-Dahl (1992:60-61) strongly emphasized the relational process and specifically highlighted the attributes that distinguish the nature of carriers and attributants. Relational processes can be said to do two basic things: they either contribute some quality or status to an entity, eg.

Sally is very sexy.

Sally is an idiot.

Or they identify as having a particular role or standing,

e.g. Sally is sexiest woman in the office.

So we can say that relational clauses are attributive or identifying, which can be summarized in a formula provided by Halliday and Matthiessen (2004:216):

(i) attributive: *a* is an attribute of *x*.

(ii) identifying: *a* is the identity of *x*.

Participant roles: Carrier and Attribute (non-reversible descriptions)

Carrier	Relaitonal Pro.	Attribute
Alice	is	scared.
Alice	is	a polite girl.

Identified and identifier (reversible description)

Identified	Relational Pro.	Identifier
Alice	is	the most scared creature in the story.

#### 1.4 Behavioral process

These processes indicate those of physiological and psychological behavior (typically human), such as *breathing*, *coughing*, *laughing*, *dreaming* and *staring*. According to Halliday and Matthiessen, this type of processes are the least distinct of all the six types, because they have no clearly defined features of their own (2004: 249-250). In these types of processes, an animate participant behaves in a way that neither intentional nor accidental, but mainly through the reflex or instinct. The only participant, that is, the behavior, is typically a *conscious* being, like a senser, but acting *unconsciously*. So behavioural processes are within the boundaries between material and mental processes, but closer in nature to the latter when the behavioral process are used, they are usually in the progressive aspect:

e.g. The Cheshire Cat is smiling at Alice.

Participant roles:

Behavior, the “do-er” of the process, which is the sole role of the clause.

#### 1.5 Other two types of processes

So far, I have outlined four types of processes and their related participant roles: material, mental, relational and behavioral. These types of processes are the major types in terms of their status in the English language as well as the fact that

they will be made full use of in my present research. Actually, Halliday and Matthiessen (2004:248) point out, the first three types of processes are the principal types, which present three distinct kinds of structural configuration and account for the majority of all clauses in a text. There are also other two subsidiary types of process types, verbal and existential processes, which are located within the boundaries between relational and material processes. I just give them both a very brief mention because of their low frequency in the current research data set.

#### Verbal process

These are processes of saying. Typically, there will be a human sayer.

Participant roles:

Sayer, a said, and an addressee.

#### Existential process

These are processes of existing indicating something exists, usually introduced by *there*. Existential processes are not very common in discourse, according to Halliday and Matthiessen (2004:257), of the order 3-4 percent of all clauses, but “they make an important, specialized contribution to various kinds of texts,” for example, they can serve to introduce central participants in the placement stage in a narrative story. However, for the purpose of this thesis, this process is very important actually to the interpretation of the dreamland in the original text. Because it is a way to avoid agency in describing an action or event taking place or has taken place in a particular situation or a context.

Participant roles:

Only the existent

	<b>Existential pro.</b>	<b>Existent</b>
There	was	an old man of Dover.

Above are the six types of processes and participants in the English clause, which

are often accompanied by the third element, the circumstantial elements. And these are often prepositional phrases, adverbial phrases or clauses. The information they carry is usually not essential in a structural or grammatical sense, but semantically significant for the stated process in terms of the information they provide.

Presenting the clauses as consisting of participant roles and processes which convey the material, mental, verbal, relational or existential processes in any of their variants is decisive in creating a kind of impression on the audience and will regulate their interpretation towards a certain direction. This effect can usually be perceived by the audience consciously or unconsciously. That means, the study of processes reveals the experiential meaning while linking the latter to the social and ideological effects; while at the same time, processes are closely connected with the structural and cohesive systems.

Among the six process types listed above, I will mainly concentrate on the first two categories of processes, that is, the material and mental processes, which are often thought to be most relevant to the characterization in fiction (Toolan 2001:107), although my discussion will involve other process types, esp. those verbal and relational processes. Of course, this does not mean the other two processes are not important in any way, but just because the first two fit in better with the present research objectives of translating the descriptions of dreamland and the characterization of the protagonist *Alice* in the fantasy fiction. Through a thorough look at the transitivity patterning in the TT, the shifts at both the clausal and (con-) textual levels will be identified, along with their semiotic effects discussed on the basis of quantitative and qualitative explorations. So in following sections, I will, based on the transitivity theories provided by Halliday and Mathiessen (2004) to develop an analytic tool to reveal the subtle ways in which transitivity are organized and signified in the dream fantasy of *Alice in Wonderland*, for which not only the hidden meaning, but also the poetic attitudes and values of the author will be conveyed in a text.

In fact, the so-called ‘hidden meaning’, the author’s ‘poetic attitude and values’ in the original and translated texts are the very objective of my present study. Nevertheless, before we go any further in this direction, we would like in the following section to outline the practical framework as an analytic tool for the contrastive analysis in following chapters.

## *2. A theoretical overview of the methods in transitivity analysis*

As discussed in previous sections, the ideational meaning has two main components, the experiential and the logical. The experiential component is realized by the transitivity patterns, while the logical one includes “the form of coordination, apposition, modification and the like” (Halliday 1971:91). In transitivity analysis, we can find out how our experience can be encoded into the language about the world.

Hasan defines “transitivity” as concerned with “who does what to whom/what, where, when, how, and why” (1985:36). Therefore, it suggests that the transitivity analysis involves the process, participants and also the circumstantial elements in relation to the process. This means that the choices made by the speaker/writer between the different types of participant roles and process types can give a map of the general characterization. Obviously, this transitivity profile can provide insights into the literary effect and the interpretation of the features of the main characters in the narrative stories. This kind of analysis has been applied to profiling characterization by many scholars (Halliday 1971; Burton 1982; Kennedy 1982; Francis and Krammer-Dahl 1992; Simpson and Montgomery 1995). In the following we’d like to give a brief review of the methods these scholars have used in their research of profiling the characterization in their narratives.

Halliday applies the framework of transitivity analysis to Golding’s novel, *The Inheritors*, into which he explores the linguistic patterns which encodes the

mind-style of the various Neanderthal peoples. In this novel, Golding is offering a “particular way of looking at experience” (Halliday 1971:106), through which he conveys this particularity inherent to the Neanderthal man in the syntactic prominence. Most of the story is narrated from the perspective of Lok, one of the primitive groups of the Neanderthals. The later stages of the book saw Lok and his people replaced by a more advanced tribe, whom they call at first “others” and later “the new people”. Halliday argues that choices in transitivity reflect the very transition. The behaviors of the Lok’s tribe are described as discontinuous and rather aimless, where physical actions hardly affect objects in the immediate environment. In experiential terms, Lok’s language is marked consistently by material processes which realize an actor element, but without the goal element. What is important here is that these goal-less processes make the actions specified seem self-engendered, even when these actions are brought about by the external agency of Lok’s enemies as can be seen from the narrative context. Lok’s failure to see a coherent world of actions and events is therefore conveyed through systematic choices in transitivity patterning. However, there were no such limitations realized in the transitivity patterns that belong to the more advanced tribe whose way of configuring the world is more similar to our own.

By establishing connections between transitivity patterning and the interpretations of the activities of a particular character in terms of process types and participant roles. Halliday has shown to us that the text’s linguistic structure embodies its meaning as discourse. In his study, Halliday has made a strong memetic claim about the explanatory power of the transitivity patterns in construing the characters in narratives.

Apparently, Halliday’s work has motivated many stylisticians and pointed the directions in unmasking ideologies beneath the take-for-granted linguistic structures. Burton (1982), in applying the transitivity analysis to a passage from Sylvia Plath’s semi-autobiographical novel *The Bell Jar*, argues that no method of literary analysis can be neutral or objective, so she advocates that there is a



political dimension in textual interpretation and suggests that the power relations can be articulated clearly through the rigorous and principled methods of stylistic analysis. In the analysis, the processes involving the “persona” as participant were isolated, and process types and participant roles were marked accordingly. Then a world in which: “who does what to whom” (Burton 1982:198) is presented to us. In the whole event, the nurse and the doctor’s actions were usually represented in the form of “material: action: intention” processes, while the processes used to represent the persona were mainly mental processes, which means that the persona under Burton’s focus was put in a position where she could only feel and perceive, but rarely enact upon other objects in her immediate environment. This analysis presents us a persona as a helpless and detached victim.

By the same token, Kennedy applied the model of transitivity analysis to a passage from Conrad’s novel, *The Secret Agent*, in which Mrs Verlac was discovered to have killed her husband Mr Verlac with a carving knife. What is striking is that, in the narrative description of four hundred words, no mental processes are attributed to Mrs Verlac, giving little indication of what Mrs Verlac’s feeling, thinking and perceiving. It is very strange that the processes involving Mrs Verlac as participant are rarely goal-directed, although it is assumed that her actions *should* be goal-directed since it was she who did the killing or murdered Mr Verlac. However, in fact, the transitivity patterns like:

- 1) She passed on.
- 2) Her right hand skimmed lightly the end of the table.
- 3) The carving knife had vanished.

.....

And together with other similar transitivity patterns, Mrs Verlac was represented as a woman whose actions are done without directly affecting the entities (including her husband) in the environment.

In contrast with the description of Mrs Verlac, the depiction of Mr Verlac's being killed was also very dramatic. She was represented through the mental processes. Thus, Mr Verlac was depicted as one who could be aware of everything, but paradoxically, he was just unable to take any actions to prevent his being killed. This depiction works collaboratively with that of Mrs Verlac to serve to express the literary theme of novel. As Simpson (2004:77) points out, the use of metonymic agency in the excerpt that "the disembodiment of character makes what they do, say or think appear involuntary, cut adrift from conscious intervention".

Simpson further asserts that the deployment of such transitivity patterns are sometimes connected with a style of writing of a particular genre, which are made use of to account for the broader dimensions of style in a critical sense. When evaluating the work of Kennedy, Carter (1982:82) says that what is important in the study is that the stylistic analysis can be used successfully in any text rather than only directed at the foregrounded examples of linguistic deviations. Thus the critical stylistic analysis of the text of "unremarkable" style can provide insights into the literary effect which serves the theme of the text on the global level. At this point, Montgomery (1985:127-142), Simpson and Montgomery (1995) also established the meaningful relationship between transitivity patterns and the construction of characterization in the fictional texts. The latter two also extended their research to the different textual medium, say, the film. In their co-authored work, Simpson and Montgomery (1995:129) made a distinction between plot and discourse. They defined the *plot* as the basic story line in which events happen in all chronological order; and *discourse* (or narrative discourse) as the stylistic devices which promote the narration of the plot. These devices may include flash, prevision and repetition, etc., which may disrupt the basic chronology of a story (Simpson and Montgomery 1995: 141). Of the six reference points, two are concerned with characterization: characterization 1 and characterization 2, the former of which includes *Actions*

and *Events*, the latter is concerned with Focalization. The first of the two components of Characterization 1 is about how character, actions and events interact. This also accounts for the ways in which the events of narrative are related to what characters do, think and say.

In their research, they found that the main character Cal is mainly represented through mental processes of perception or the material processes where Cal acts as actor, but whose agency is severely circumscribed. His actions don't tend to affect others, but rather take place involuntarily. So in this way, the patterns of choices constructed around Cal contribute to the meaning of him as inactive. Thus, a close relationship between the transitivity choices and construction characterization is established. The model of analysis, in Simpson's (2004:120) words, "can be replicated on any narrative text". Having a command of the patterns of transitivity choices can thus produce insights into the characterization in the analysis of literary texts.

Francis and Krammer-Dahl's (1992: 56-90) work seemed to be radical in comparison with those above mentioned in that they are dealing with a different genre by means of the analysis of transitivity choices in the two medical texts. One is Olover Sack's "The man who mistook his wife for a hat", which is a non-conventional medical report; while the other text is Andrew Kertesz's "Visual agnosia: the dual deficit of perception and recognition", which is a conventional medical report in comparison with the first one. In comparing the two texts, Francis and Krammer-Dahl found that the transitivity patterns constructed in Sacks's text are different from those represented in Kertesz's text.

Following Halliday's line of three metafunctions, they explored how the lexicogrammatical patterns of both texts realize the metafunctional options available at the semantic level, and in turn, how they realize the options in the context of culture. At the very start, they investigated the process types chosen by Sacks and Kertesz in order to introduce the history of the patient before they consulted with the two specialists. And they found the distribution of processes

was “strikingly similar” (1992:59). However, the impression Sacks patient Dr P gave is that he had a definite and “almost caricatured personality”, while that of Kertesz’s 41-year-old patient is “dry and factual”. Why had these different impressions been created? In the examination of the processes on the part of two patients, it is found Sacks’s Dr P assumed *–er* roles in Hasan’s (1985) terms in most of the processes he participates. And he was also capable of observing and evaluating his own reactions. In comparison with these, Kertesz’s patient played *–ed* roles in all the mental processes. In the material processes there were a few instances in which she acted upon the goals, which were, however, all inanimate. She did say something, but there was no recipient following her saying, so most of her roles are distributed along the lower-middle part of the “scale of dynamism” (Hasan 1985:46). Francis and Krammer-Dahl, whenever Kertesz’s patient is actor, what she does is overwhelmingly mechanical, never creative (1992:61).

As far as the relational processes are concerned, they are defined as “processes of being and having” (Halliday and Matthiessen 2004:210), which indicates that they are “intensive” (X is A); or possessive (X has A) or “circumstantial” (X is at/in/on A). In accordance with the classifications, participants are either “carriers” (the topic of the clause) or attributes (what is being said about the topic). Obviously, Francis and Krammer-Dahl also found some distinct differences between the two texts. In Sacks’s text, they found that the choices are of largely “evaluative and subjective” attributes which contrasts sharply with Kertesz’s neutral and objective ones. This distinction can be found out from the following clauses:

Sacks:

-- Dr P was a musician of distinction, well-known for many years as a singer.

-- Had he not always had a quirky sense of humor?

-- His musical powers were as dazzling as ever.

Kertesz

-- This 41-year-old woman was in a serious automobile accident, in October, 1965.

-- and was unconscious for 18 days.

-- Her deficits appeared to be essentially stable.

In the examination of the mental processes shown in both the texts, Francis and Krammer-Dahl found that Sacks's patient Dr P often observes and assesses the world around him:

He could remember the incidents without difficulty, had an undiminished grasp of the spot... He remembered the words of the characters... (1992:87)

This description forms a contrast with that of Kertesz's female patient who never participates actively but is often deprived of the role as the senser:

Photographs of 16 famous people, politicians, heads of state, actors, etc., recognition of whom was expected for her educational level, were presented individually. (1992:86)

Francis and Krammer-Dahl also looked at the behavioral and existential processes in Sacks's and Kertesz's texts. For example, they listed the numbers of behavioral processes in Sacks's text, but did not give any analysis of them. The relatively larger number of the behavioral process (totaled 7) shows the patient's stronger participation in the events, while there are none on the part of the patient in Kertesz's text. As far as the existential processes are concerned, there are 3 in Kertesz's text, while there are none in Sacks's text. This interesting contrast shows again Sacks's and Kertesz's attitudes towards their patients. That is, Sacks wants to activate his patient in many ways by placing the latter as actor, behavior, senser, carrier, etc.; while these active roles are always suppressed on the part of

female patient in Kertesz's text. This is reflected in the transitivity patterns throughout the two texts.

Very quite recently, Perez (2007) contributed to the field of translation of language and politics in a framework of communication informed by the principles of critical discourse analysis. By deriving the tool from Systemic Functional Linguistics, Perez investigated her contrastive corpus of 52 political speeches made in the European parliament in both English and Spanish along with their translations. Perez analyzed the shifts at both the sentence and textual levels through a basic theoretical framework consisting of three components:

- 1) The overall framework of communication on the basis of the theoretical assumption that any form of communication is a complex network where visible and non-visible constituents are tied to various levels of meaning in a non-random manner;
- 2) The analytic tool formulated within the above mentioned framework for the study of transitivity shifts;
- 3) A corpus consisting of parliamentary speeches for the purpose of investigating ideological influences.

The combination of the above three components leads to a practical study of transitivity phenomena connected with the translation of the political speeches. By focusing on the shift patterns in the translation, Perez's research explored the depths of the pragma-Semiotic and ideological meanings hidden beneath the linguistic structures.

By presenting participants in the clauses as actors/goals, sayers/targets, sensors/phenomena, carriers/attributes, the texts can create a general profiled impression on the audience by manipulating the distribution of the different types of processes. And this impression will affect the audience's judgment about participants and the world of events and relations. Thus this impression is usually connected with the generic and discoursal considerations that may be perceived

by the audience. So the study of the process types and participant roles will reveal the experiential meanings, which may further reveal the semiotic and ideological issues related to the genre of the text. That is, the surface textual arrangements may serve the global purpose of the genre.

As outlined in section 1 of this chapter, there are six types of processes inherent in the clause as representation. Each of them has its own participants. The participants and processes are realized in the clause and are thus the main the devices to convey the experiential in a communicative exchange. However, in light of the larger proportion material processes take up in the textual distribution (Matthiessen 2001: 43-7), which makes it “one of the most salient types” (Thompson 1996: 79), this research will have the material processes as one of its focuses. Since in the construction of characterization, the mental processes also play a significant role and will thus be examined in the following chapters.

Of course, this does not mean that other processes are not significant in the construction of the characterization. On the contrary, they may also become important in a particular context. As can be seen from the discussion of Francis and Krammer-Dahl’s study in this section, relational processes may also play a role in characterization in that they present the static status of the characters in the text, and can thus illuminate the textural aspects from an ideological perspective. The study of transitivity choices involve the examination of how actions are represented, the kinds of action that may appear in a text: who did it to whom, how, when and why. In applying the textual analysis, the focus will be on the roles of participants because these can help to reveal “the subtle ways in which not only meaning but also hidden attitudes and values of the author can be conveyed in the text” (Chen 2005:48). It can be clearly seen that “the hidden attitudes and values” in both the original and translation are the real focus of this present research. In the following, we would construct an analytic tool on the basis of the work of the above mentioned scholars, esp. that of Hallidayan linguistics (Halliday 1994; Halliday and Matthiessen 2004), Kies (1992), Hodge

and Kress (1993), Perez (2007) and many others in field of critical linguistics informed by Hallidayan linguistics.

### *3. Constructing a Transitivity Analysis Model for the research*

The analysis presented in the above section has indicated that the transitivity structure is concerned with “who does what to whom or what, and where, when, how and also why”. However, the concepts of Actor, agent, goal, action, senser and behavior are apparently not sufficient to give a full description of the process patterns in the text of *AW*, since they are applicable only to the several types of processes that represent the world. Therefore, we now need to make some more delicate subdivisions of the process types to suit for the need of describing the different processes in the corpus of the present research. In the following sections, I will go over the several important process types and tap into more delicate aspects of them. This transitivity analysis model draws on Halliday (1971,1985), Halliday and Matthiessen (2004), Hodge and Kress (1993), Hasan (1985), Kies (1992), Perez (2007) etc.

#### *3.1 Material process: Action vs Event*

So far, there are many scholars having done the research on the material processes and made a detailed division of them. As can be seen from the previous analysis, human beings can act as the actor, on the one hand; the inanimate thing can also act as actor, on the other. These are actually two roughly extreme cases of the actors’ dynamism, that is, “the quality of being able to affect the world around them, and of bringing change into the surrounding environment” (Hasan 1985:45), therefore the semantic value entailed in each kind of the various actors must be seen as distinct and should be distinguished based on a more delicate typology. A clause of material process can also make further choice involving a finer distinction in semantic meaning. According to Berry (1975:151), material



processes can also be subdivided into action and event processes. An action process is the type of material process which is usually performed by an animate being, which means that this type of process has an animate participant in the role of actor. An event process is the type of process which is often performed by an inanimate being, that is, it usually has an inanimate participant in the role of actor. So the following two clauses are action clauses in the sense that that both have the human beings act as Actor:

C1-17) She ran across the field.

C1-97) Alice opened the door.

While the following clauses are event processes:

1)\* The door of the house opened. (AW 70)

2) A large plate came skimming out. (AW 70)

Berry also added, there is no question of their having been brought about intentionally or unintentionally because inanimate participants as actors don't have free wills in the case of the event process. Instead, in the case of action processes, they can be further subdivided into intention process, in which the participant taking up the role of actor performs voluntarily; and supervision process, in which a process "just happens" (Berry 1975:151). Hasan (1985) also noted this type of material processes. She referred to these processes as mostly like *doing* in the normal sense of the word and then she pointed out that the words, like *fall*, *slip*, *break*, *grow* and *shrink*, etc. are more like *happening* than *doing*. So we can have the following figure in terms of what has been discussed above:

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\* The instance clause in which Alice does not appear as participant will not be registered and listed in the corpus design, but will be indicated with the page number where this clause appears.

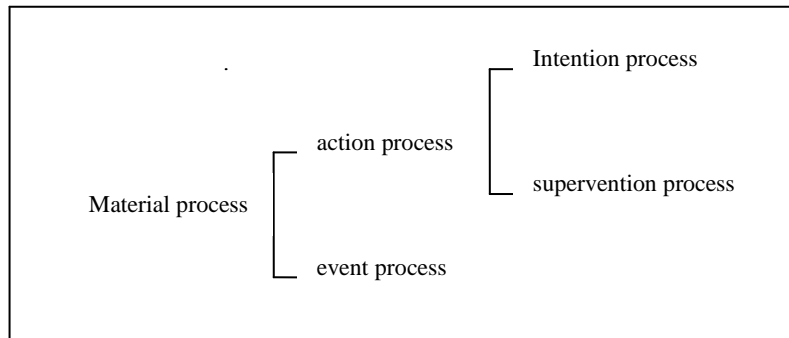


Figure 3.2 The typology of material processes

However, among the two types of clauses of action processes, a further category can still be classified, as shown in the figure 3.2 above, on the basis of the distinction in which the participant in the role of actor extends its action to the other participant, say, the goal in the same process. If it does, the process can be called transitive, and if not, it will be called intransitive processes in Halliday's terms (2002:109). Halliday analyzed the language of Golding's novel, *The Inheritors*, in his brilliant article "Linguistic function and Literary Style". In Golding's novel, Lok, from whose point of view the story is mostly narrated, is Neanderthal man, whose primitive mind can't grasp the significance of "the new people" who are a group of more advanced human beings and invading Lok's tribe territory. However, Lok could not understand "the new people's" invasion and their invading actions. His incomprehension is registered partly through the writer's use of intransitives. It must be noted that Halliday's binary concepts, transitive and intransitive, are different from the definitions in traditional grammar where the transitive is understood to be followed by an object and intransitives is not. In order to avoid the naming confusion of this pair of binary concepts, this research will follow the Hodge and Kress (1993:40) terminological system in which they call transitive as transactive where the actor extends its action to the other participant in the role of goal, and they call intransitive as non-transactive where there may be only participant in the process, and thus the action does not pass from one participant to another. So the above four example

clauses can be represented as follows:

- 1)' Alice opened the door.: Mat. pro: Action: Intention: Transactive.
- 2)' She ran across the field.: Mat. pro: Action: intention: Non-transactive.
- 3)' The door of the house opened.: Mat. pro: Event: Non-transactive.
- 4)' A large plate came skimming out.: Mat. pro.: Event: Non-transactive.

In the further section, the details on the distinction between transactive and non-transactive, and their structuring and functioning will also be discussed.

### *3.2 Transactive vs Non-transactive processes*

In the last section, the binary concepts of transactive and non-transactive (transitive and intransitive in Hallidayan sense) have been discussed due to its relation to the concepts of another binary concepts transitive and intransitive utilized by Halliday in his brilliant article in the exploration of the transitivity patterns of the language of *The Inheritors*. When discussing their uses in representing human perceptions, Hodge and Kress (1993:38) gave the notions of *transitive* and *intransitive* the names of *transactive* and *non-transactive*, respectively. For the non-transactive like the clause *Alice ran across the field*, Hodge and Kress noted:

the linguistic form constitutes a model, which strongly influences the interpretation of perceptions, since it requires that the event be analyzed into two parts before it can be communicated. This classification becomes so automatic that it seems to inhere in the percept itself. (1993:38)

Actually, this is a point which was highlighted by Halliday (2002:88-125). Just as Halliday points out, the non-transactives serves “a visualization which provides motivation for their prominence relevant to subject matter expressed.”

There are differences between the so-called transitive vs intransitive in the

traditional discussion and transactive vs non-transactive in terms of their semantic structure. On the surface, the intransitive has only one nominal entity in the clause, and in the transitive clause there are usually two nominal entities directly connected with the process. So when we speak of transitives and intransitives in traditional sense, we are referring to the surface syntactic form of models. The distinction between transactive and non-transactive is based on the semantic structure at a deeper level. In the transactive, there are two participants linked by the process. One is seen as causing the action, while the other is affected by it. In the clause *Alice opened the door*, the action is seen as passing from the actor across to the affected. However, this analysis does not apply to the so-called non-transactive because there is only one entity as participant in the latter. So it is difficult to know which role this entity is in, thus difficult to know which role this entity is in, and difficult to distinguish it as actor or affected, since it is here that the model makes it vague to tell the precise causal and affected status (Hodge and Kress 1993:8). Thus the defining difference between transactive and non-transactive lies in the fact that whether the action has been passed from the actor to the affected; or in other words, whether the action has been confined to only one entity. This can be a judging standard to decide whether a material clause is a transactive or non-transactive.

### *3.2.1 Transactive verb + prepositional extensions*

We have discussed the binary concepts in the above section so it is not difficult to make judgments about the distinction between transactives and non-transactives. Hodge and Kress (1993:44) cited an example from the text of Francis Bacon's *The Advancement of Learning* (I, iv: 5):

This kind of degenerate learning did chiefly rein among the schoolmen.

They claim that "among the schoolmen" is not itself a participant of the process, but just a prepositional extension of it. In this clause, they assumed that a

transformational result *degenerate learning* is in the status of *actor/initiator*. However, the non-transactive model has obscured the causal relations, but in the example cited this obscurity is further strengthened by the nominalization used in the role of actor. So in Hodge and Kress's view, the prepositional extension *amongst the schoolmen* has a very obvious function, that is, to delimit the "scope" of the transactive model, although it has implied a further (affected) participant, which can be represented in a transactive version: *degenerate learning ruled the schoolmen*.

So the differences between transactive and non-transactive lie in the diffuseness of the non-transactives (Hodge and Kress 1993:45). The same thing can also apply to all the following clauses: *Long reign over us*.

The sugar dissolves in the coffee.

So Hodge and Kress claim that in the non-transactives, spatial relationships have a wide variety of causal relationships in the transactive processes. Their effect can be said to be that prepositional extensions is to make the nature of the causal relationship diffuse or obscure.

### *3.2.2 Mental transactives and non-transactives*

A "mental" process construes a quantum of change in the flow of events taking place in our own consciousness (Halliday and Matthiessen 2004:197). Mental processes are not construed as a physical act which deals with our experience of the material world. Hodge and Kress (1993:46) also distinguished transactives and non-transactives among the mental clauses. Let's have a look at the following two clauses:

- 1) Alice *saw* the bird.
- 2) Alice *looked at* the bird.

The first clause can be referred to as a mental transactive, unlike the material transactive processes, mental transactives do not in fact establish any causal links

in any similar way. As shown in the first example, Alice is not acting on the bird. In other words, the bird is not changed in any way by Alice's seeing it. However, the opposite case is truer, that is, Alice is changed a little by seeing the bird, because in this model, the image of the bird impinged upon his retina, and he inevitably saw it. So in this case, Hodge and Kress claim that in such a process, the transactive model is termed *patientive*: the perceiver is passive in the sense that his "action" (if his seeing can be termed as action) is nothing but a reaction. Of course, this process can also be some other types of reactions, like perception or cognition, sometimes.

The second clause cited above can be termed mental non-transactive process, with an "effect of blurring the direction of causality" (Hodge and Kress 1993:46), which consequently obscured the distinction between *agentive* and *patientive*. As a result, the normal tendency of such a mental non-transactive process functions to focus on the fact of action blurring causal relations, so that *look* is both active and passive, a self-caused action which is also response. So Hodge and Kress assert:

Perception represented through the mental non-transactives is characteristically seen as a more active and purposeful process on the part of perceiver than through patientive transactive model. (Hodge and Kress 1993:47)

So it is not difficult to infer that in the mental transactive process, the perceiver's reaction is dependent on the object of perception, while in the non-transactive it is not the case. Thus it can be inferred that the reaction, mental transactives are more passive than those non-transactive mental processes. Here in the following is the figure of the typology of the mental processes that can be classified into three types: perception, reaction and cognition.

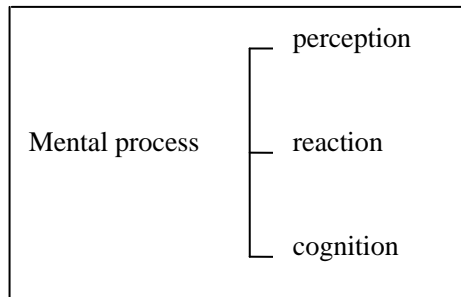


Figure 3.3 The typology of mental processes

Among the three categories of mental processes which are termed as internalized ones (Berry 1975:152), the perception can be those like *see* or *hear*; the reaction process can be those like *hate* or *like*; the cognition process can be those like *think*, etc. These are more delicate classifications of the mental processes. From this figure 3.3, it can be seen that the perception and reaction are more passive than the cognition process. However, they will all be called reactions in this research for brevity.

### 3.3 Causality

In the previous sections, the causal relations concerning the distinction between transactive and non-transactives have been discussed in part due to their inherent nature involved in the processes. When commenting on the non-transactive uses in Golding's description of Lok, the Neanderthal man, viewing the world, Halliday (1971:113) noted:

I have suggested elsewhere that the most generalized pattern of transitivity in modern English, extending beyond action clauses to clauses of all types, those of mental processes and those expressing attributive and other relations, is one that is based not on the notions of actor and goal but those of cause and effect [...]

Based on the features of the clause types, Halliday also concluded the overall characteristics of the causality inherent in the processes of the transitives and intransitives, which Hodge and Kress (1993) termed as transactive and

non-transactives, respectively. “Transactive” is the explicit form of causality and non-transactive can be described as implicit causation. Hodge and Kress (1993:19) also stresses the significance of the causality distinguished between transactives and non-transactives:

In the transactive model there is an actor, the verbal process, and an affected entity. Thus the source of the process (physical or other) is indicated in the actor, who is presented as the causer of the process; and the entity which is affected by the process is equally indicated, actor and affected being linked by the verbal process [...] this is a rudimentary version of mechanical causality. On the other hand, the non-transactive model presents only one entity directly involved in the process, which is not typically distinguished as either actor or affected.

So the question put forward by Hasan (1985:36) “who does what to whom” can be distinguished in the causative process. However, the direction of causality in the non-transactives is always left uncertain, that is, the answers can not be given in terms of cause and effect, because there is no distinction between causer/actor and affected, the so-called beginning and end of the causal unit. The distinction between causative and non-causative processes in *AW* is a rich area to probe into because of so many shifts involved in the translational text from non-causative processes transformed into causative processes, which will be discussed in detail in the following chapters.

According to Herbert (1982:207), the so-called non-causative transactives usually presuppose “a kind of full control by the subject”. It seems that the agents acts on the reality around them and are completely responsible for their action. In the clause:

Alice opened the door.

It is very clear that the action of *opening* is under full control in the incident, leading no doubt to the fact that Alice should be responsible for the *opening*



action. Of course, the implicit causality in the form of non-transactives has also been connected with participants that, in Halliday's (1971:109) words, "do not act on things". So it can be imagined that such participants do not relate to any animate or inanimate participants, over which this control can be enacted.

So far, we can see the previous classifications of the processes in terms of action vs event, intention vs supervision, transactive vs non-transactive can be said to be complemented to each other. And also they can be subdivided by the binary concepts, which will prove to be a very important analytic tool in the analysis of the pragma-semiotic effects in the following chapters.

### *3.4 Transitivity and passivization*

So far, transitivity has become a main vehicle of carrying the ideational meaning. In the previous sections as well as in the following chapters, passive constructions are also used in the original text in order to represent the fictional world. Hodge and Kress subsume this kind of constructions under the heading of transformation, that is, they are transformed from the active constructions. Active and passive are traditional labels for a system which is called voice.

Following Halliday and Matthiessen (2004:297) and Hasan (in Cloran et al 1996:75), the previous divisions can be further divided in terms of the voice system. In this system, there are three ways in which transitivity can be realized: the Middle, the Operative and the Receptive voices. Halliday and Matthiessen give the definitions of the three, respectively:

A clause with no feature of "agency" is neither active nor passive but *middle*. One with agency is non-middle, or *effective* in agency. An effective clause is then either operative or receptive in voice. In an operative clause, the subject is the agent and the process is realized by an active verbal group; in a receptive the subject is the Medium and the process is realized by passive verbal group. (2004:297)

Due to the delicate divisions and subdivisions in the above section, here I will focus on the passive processes in which the subject is the medium and the process is realized by a passive verbal group.

In the original literary text, passivization is used to mystify power relations on the surface of the clauses. The passive clauses realize the transactive processes by backgrounding the agents as circumstantial elements and foregrounding the affected participant in the place of agents formally. So, generally, the transactive process will be represented in the structure of *affected entity* + *verb* + *circumstantial agent*. Often the circumstantial agent can be deleted for some purposes. That means, all the processes in the receptive voice may express their agents explicitly or they can conceal them or keep them implicit for some purposes on the speaker/writer's part.

### 3.5 Nominalizations

Nominalization is another linguistic form of carrying ideological meaning. Following Halliday (1994:41), it is defined as a constituency-bound mechanism:

a structural feature [...] whereby any element or group of elements is made to function as nominal group in the clause. (1994:41)

In Perez's words, the "element or group of elements" is actually nothing but a transitivity process (Perez 2007:94). The relations encoded thus are typically static, timeless and "possessed". So theoretically speaking, all kinds of processes may be stripped off their so-called "kinesis and agency" forms and "rank-shifted" into a relatively static agentless state: nominal form.

Nominalizations have focused essentially on the ideational functions. In Matthiessen (1995) and Halliday and Matthiessen (1999), nominalizations are essentially seen as a resource for constructing the speaker's experience in a nominal manner. Therefore, describing a nominalization such as *Tom's cleaning of the kitchen* and a gerund nominal like *Tom's cleaning the kitchen* in terms of

the types of processes underlying them and the participants accompanying them can provide us insights into the functions they have in the representation of human experience. Thus the consistent use of nominalizations in the text will create an emphasis on the objects rather than the processes and participant roles, which will affect the audience's interpretation of the character in question. In the following the nominalizations are classified according to their underlying processes:

*a) Nominalization (Action/Transactive)*

"In that case," said the Dodo solemnly, rising to his feet, "I move that the meeting adjourn, for the immediate adoption of more energetic remedies--"  
(AW 30)

*b) Nominalization (Action/Non-transactive)*

There seemed to be no use in waiting by the little door, so she went back to the table. (AW 10)

*c) Nominalization (Event/Non-transactive)*

After a time, she heard a little pattering of feet in the distance and she hastily dried her eyes. (AW 10)

*d) Nominalization (Verbal)*

The first question of course was, how to get dry again: they had a consultation about this. (AW 28)

*e) Nominalization (Mental)*

Before her was another long passage, and the white Rabbit was still in sight, hurrying down it. (AW 8)

*f) Nominalization (Existential)*

"That was a narrow escape!" said Alice, a good deal frightened at the sudden change, but very glad to find herself still in existence. (AW 22)

Nominalization has a hybrid nature with a mixture of noun and verb phrase, for which Halliday (1994:353) stresses:

It does not thereby lose its own semantic character as a process, which it has by virtue of the fact that congruently it is realized as a verb; but it acquires an additional semantic feature by becoming a noun. (1994:353)

Nominalization, when viewed as a noun, offers opportunities for concealing information, such as the information about the participants, time and modality. In this sense, it deletes the information about how the process is carried out together with the circumstantial elements. So there is a very important point here, in critical discourse analysis, the nominalization is often seen as an implicit process, but they need to be vague about how the process takes place; and what has caused the process to happen? What are other participants involved in the process? For this, Fowler et al (1979) commented that “the effect of nominalization is to use a simple lexical item to present a complex relation.” Fairclough also stressed a similar opinion that “nominalization turns processes and activities into states and objects, and concretes into abstracts” (1992:181). In so doing, they are vague about the ways speakers/writers accomplish this transformation.

In summary, nominalization turns transitivity process into static nouns that conceals agents, pushing them to the background. In this way, “nominalizing is the single most powerful resource for creating grammatical metaphor” (Halliday 1994:352). So it is no doubt that nominalization can be a powerful locus of ideology.

#### *4. Transitivity comparisons between English and Chinese*

In this chapter, the general types of transitivity patterns and their functioning are classified and analyzed. This functional analysis can be applied to English as well as to Chinese. However, it should be noted that there are differences between English and Chinese in terms of transitivity systems.

This present research is a comparative study of transitivity between the English original and the Chinese translation text. Thus it is not intended as a comparison between English and Chinese in a general sense, but just as an analytic tool to explore the characterization of Alice, the protagonist in its translation. Nevertheless, it seems to be appropriate to give a brief account of their similarity and differences, if any. This step will serve to classify translators' transitivity shifts in the translation texts in terms of the headings of "obligatory", "preferential" and "optional". Of course, it can be imagined that this comparison is not an exhaustive analysis but only serves to stress the particular cases for the present research.

Many researchers have conducted comparative studies on the different aspects, such as Liu Miqing (2006) and Lian Shuneng (1993), whose work mainly focuses on the comparisons. According to their studies, Chinese is a language of parataxis, which means the coherence of a text in Chinese relies on the meaning and the potential logic of the sentences rather than linguistic forms; while English is a language of hypotaxis, which means the coherence of the text must be supported by its linguistic forms to demonstrate its syntactic relations and connection with the whole text globally. According to the observation of the original and translational texts, three areas of differences can be identified in accordance with the purpose of the present research:

- 1) passivization;
- 2) Transactive vs non-transactive;
- 3) causality.

This means that, according to the comparative grammatical studies, the two languages differ mainly in the forms and semantics of passivization, the representation of non-transactives and causality.

#### *4.1 Expressing passivization in English and Chinese*

As has been noted in the previous discussions, English has a particular form of receptive voice which is considered the “passive proper”. The “passive proper” is usually represented by the construction “to be + past participle”, in which the agent can appear in 1) or not appear in 2), eg.

1) The door was opened by Alice.

2) The door was opened.

However, in Chinese the situation is very different. The passive sentences can be classified into two main types in terms of their markedness of passivization. The markedness refers to the features of those clauses in which there are some discourse markers, such as *bei*(被), *jiao*(叫), *shou*(受), etc., to indicate the passive status of the clauses in question. Wang Canlong concluded that the verbs that comprise the unmarked passive must be the transitive verb (Wang 1998:15) in the traditional sense. For instance:

飯做好了。

(Back translation: *Food prepare good.*)

The food is prepared well.

The majority of passive sentences are those that can be subsumed under the heading of unmarked passives, which actually take on various forms. According to the purpose of the present research, the following types passives can be concluded:

1) Affected + *Bei* (被) + verb, in which the function of *bei* is to indicate the direction of the verb.

2) Affected + *Bei* (*jiao* 叫, *rang* 让, *gei* 给, etc.) + Agent + verb, in which the agent appears as a circumstantial element.

3) *Bei* (*gei/jiao*/etc.) + agent + verb, in which there is no subject, but which can be inferred from the co-text or context.

4) Affected + Be + \_ de (的), in which the empty slot is usually filled by Agent or circumstantial elements or verbs,

eg. 這事是他乾的。

This thing is he did.

Back translation: This thing is done by him.

5) Affected + shou (受/遭) + (agent) + nominalization, for example,

他遭到了敵人的毒打。

He *shou* the enemy's bitter beating.

Back translation: He was bitterly beaten by the enemy.

However, the meaning of passives in Chinese differs from that in English. The marked clauses with discourse marker *bei* to indicate their passive status usually carry with them some negative meaning, because the marker *bei* is developed from *zao/shou* (遭/受) with a heavy connotation of “suffering”, although this negative connotative meaning has been reduced in Chinese to a certain extent due to the westernization of Chinese. In this sense, the English passive proper is not used so often in modern Chinese, so many of them are expressed by the unmarked passives, which can thus form equivalent representation of the English passive proper.

In addition, the *ba*-construction in Chinese is regarded as an active construction in its semantic sense. For example, from the perspective of truth conditions, the following two sentences are assumed to have the same meaning:

1) 阿麗思把手套和扇子撿了起來。

Back translation: *Alice ba gloves and fan picke up.*

2) 手套和扇子被阿麗思撿了起來。

Back translation: Gloves and fan are picked up by Alice.

Clause 1) is material transactive clause, while clause 2) is the passive form of the 1). They have the same semantic meaning. However, the two clauses describe the action from a different point of view. In clause 1), the agent is highlighted, while in the clause 2), the affected *Gloves and fan* (手套和扇子) and the action itself are highlighted.

#### 4.2 Comparison of causality between English and Chinese

The causality is closely connected with the distinction between transactive and non-transactive. In transactives, the agent is usually the initiator or causer of the action, while in non-transactives, the causal relations are often obscured or left implicit. The ways of expressing causality for both English and Chinese are roughly the same. The most obviously causative clauses are those with agent and transitive verbs that extend the action to another participant, the goal in the process.

In English, there are differences of causation between single and bi-clausal expressions because they are used to indicate different causations. Single-clausal expressions, such as *Alice opened the door* may be used to interpret the causal chains involving only one participant and thus can be construed as a single event. In bi-clausal expression of causations, such as *Alice made the Rabbit open the door* will be used to interpret the causal chains involving two agents. So this bi-clausal expression cannot be viewed as a single event any more. Both English and Chinese are analytic SVO languages which may have many entities as their possible seeming agents, for example,

At this moment, the door of the house opened, and a large plate came skimming out, straight at the Footman's head. (AW Chapter 6)

Chao. 說道這裡，那個大門開了，一隻大盤子對著那跟班的從裡頭橫飛過來。



Back-translation: After saying this, the big door opened, a large plate against the Footman's head came skimming out from inside.

Apparently, the so-called entities, such as *the big door* (那個大門) and *a large plate* (一隻大盤子) may be called as agents on the surface though they are not the causer or initiator in the strict sense of the word. This indicates that English and Chinese express causation in a very similar way. According to Huang (2013:106), systemic functional grammar can be easily applied to analyzing the transitivity in both English and Chinese.

### 5 Conclusion

From what has been discussed above, we can see the models of the transitivity analysis can be employed to analyze the text's ideational meaning, and further the interpersonal meaning, along with the pragma-semiotic effect. Transitive construals aim to describe the structure of the processes, participants and circumstances which feature in the clause. Just as Halliday points out, a work "embodies the writer's individual exploration of the functional diversity of language" (1971:360). So the transitivity pattern analyses have been used as a useful tool to understanding and identifying an author's style and his poetic purposes. For instance, Simpson and many other critics have commented on the "flat feel" of Hemingway's writing styles, because linguistically speaking, the characters are the participants who are sure to play agentive or affected roles, and thus an analysis of their transitivity patterns can reveal the hidden aspect of meaning of this characterization.

## **Chapter 4 Location of ST Context and Transitivity Patterning**

The production of a literary work can not be isolated from its context. So in this chapter, the environment of the source text will be explored in order to give a relatively detailed characterization of it. The specific historical and cultural circumstance in which the text was produced, along with the author's background, will be briefly discussed. Due to the focus of this present research, the textual status of *AW*, esp. in terms of transitivity patterns will be located because it is these transitivity patterns that play the significant role in the construction of the characterization of the novel. So in the following section 1, the socio-cultural factors of this novel will be outlined; in section 2, the generic features will be described, and in section 3 the analysis of the ST transitivity patterning will be explored at the clause level; in section 4 the signification of the transitivity patterning at the textual level; and in section 5 the three stages of characterization development will be outlined and then a tentative conclusion will be reached at the end of this chapter.

### *1 Socio-Textual Characterization of AW*

*AW* was written in 1862, when the Britain was under the rule of the Queen of Victoria, whose rule roughly spans from 1832 to 1901, for about 70 years, which is called now the Victorian period after the Queen. The Queen was very notoriously decorous in her behaviors and stubborn in her beliefs and manners. Her subjects just followed suit and became more attentive to their manners, so status, and notion of propriety. This was also a period of affluent riches and social stress, which is characterized by great upheavals filled with industrialization, rail travel, intercontinental cables, the advent of compulsory education and some important scientific discoveries. In fact, the running rabbit for the Duchess is just a kind of vivid description of the sense of time pressure felt by the adults as well as by the children. So people are always warned to be “on time”, eating on time, attending class on time, going to work on time,

sleeping on time..... So the fear of being late can always linger in children's imagination. This can be reflected in the hurrying Rabbit for attending the Dutch's party in *AW*. So the Victorian period is a period that we usually associate with rigid rules of behavior and the preoccupation with the outer proper appearance.

The rigidity of the rule and people's behavior partly explained the writer's enthusiastic interest in the power of human imagination towards ghost stories and tales of superstition, such as the Gothic novels, or some other elements of the distant past. When Lewis Carroll wrote the book of *AW*, the norms of Romanticism and its enthusiasm towards fantasy and fairy tales were occupying a central position in the English literature, but anyway the Romanticism was declining at the time. The passion of the Romantic Movement for fantasy promoted the genre to be absorbed into the children's literature. Lewis was not the first to write a fantasy story, before him there had been several stories written by Perrault, Grimm and Andersen, etc. However, at the beginning of 19<sup>th</sup> century, the prevailing norms of children's literature had been very didactic and realistic (Shavit 1986:76). According to Shavit, fairy tales were even forbidden by the educational authorities before the Romantic Movement and the genre was quite rare in the English children's literature at the time. However, like other classic children's literature, there was always some strong moral tendency in the children's fairy tales. When discussing the children's literature in the Middle 19<sup>th</sup> century, Gillan Avery pointed out:

All these early fairy tales have a strongly moral and didactic slant. None of the writers hesitates to use the conventions of fairyland for the purpose of teaching some useful lesson.... Enchantment in all the books is only in the nature of supernatural machinery. There is no highly imaginative writing, no strange fairy tale settings, no original characterization. Invariably the supernatural is used to point the moral, not because the writers feel an intrinsic interest in it. (Avery 1971: 323)

It was generally accepted that this moral contained in the stories must adapt itself to the current educational views, in the purpose of promoting children's development of moral character education. Chan also noted that there is trend of didactics in the Chinese *Zhiguai* tales (Chan 1991) in which the main character is usually coaxed by some superpowers that were derived from some kinds of ghosts or animals. However, Carroll's *Alice's Adventures in Wonderland* represented a turning point in children's literature history (Darton 1958; Muir 1969; Townsend 1977). This is not because he introduced into children's literature the model of fantasy, or he created a new model, but because the methods he used for the manipulation of fantasy models made him a turning point in the history of British children's literature. It is his manipulation of the models that already existed at the time that earned him the status for the text, which eventually became a classic and imitated by other writers very much behind him.

Here an exhaustive analysis will not be made of the text, but to stress that Carroll had made use of the con-current models to give them a kind of ambivalent structural features in order to make them sound like fantasy, because in all the fantasies at the time, a clear distinction was made between reality and fantasy. Fantasy was defined very clearly within an explicit boundary. So the writers at the time felt it a duty to stress the imaginary nature of the fantasy text and the fact that it has no realistic basis. In this sense, there was no highly imaginative literature and there were no strange fairy tale settings, nor original characterization. As a consequence, it is no accident that the supernatural power was always used to point the moral lessons.

As was mentioned above, Carroll's writing of the *AW* text is based on three models that existed in the children's literature at that time and he integrated the three models and distorted them and at the same time made some alterations to them. So the combination of the two prominent models – that of the adventure story and that of the fantasy story are mixed up with the model of the nonsense

story<sup>4</sup>. According to Shavit (1986:81), the first model had been prominent in children's literature in preceding 50 years, while the latter two were just beginning to gain recognition. When writing the novel, Carroll himself seemed to be conscious of the novelty of the story due to the changes he made to the concurrent models. He even declared that "I can guarantee that the books have no religious teaching whatever in them" (Green 1960:51; cf. Shavit 1986:81). Here, Carroll abandoned the moral principle of the current canonized literature for children. However, very interestingly, the children in Carroll's time loved the book precisely because it hadn't got a moral in the book. Gardner once cited Lord Bertrand Russell on whether children today still like to read *AW*, to which Russell answered:

My experience... is that they don't, and I think this because there are so many children's book now and because when I was young, it was the only children's book that hadn't got a moral. We all got very tired of morals in books." (Gardner 1969:151-152)

In fact, the novelty does not only reside in the lack of a moral in the book, but also there are many other aspects, such as the aspects of the nonsense properties and linguistic features in the combinations of the three concurrent models at that time.

## *2 The Generic Features of AW*

As was previously discussed above, *AW* has incorporated three models: the *adventure* stories, *fantasy* stories and the *nonsense* stories. The first two had existed in the preceding fifty years, while the last one had just gained recognition at the time. This combination and mixture of different models had gained great success and wide recognition among the readers and scholars of children's

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<sup>4</sup> The nonsense story was at the time said to have originated from the inventor of limericks and creator of "Jumbles" and "The owl and the pussy cat", Edward Lear, who was assumed to have influenced Lewis Carroll in one way or another when the latter started to write the book of *Alice's Adventures Underground* in the year 1862.

literature and criticism. Now, it is widely acknowledged that *AW* is a dream fantasy by many different scholars (e.g. Mango 1977; Demurova 1982; Tigges 1988; Rackin 1991; Abram 2004). The whole book except the beginning and the ending paragraphs where it is controversial to be included into dreams, can be conceived as a dream, in other words, all the events of the story take place in Alice's dream until she woke up in the ending paragraphs.

Thus it can be assumed that the language of the dreams, by incorporating the models of fantasy and nonsense, must have their own special characteristics that are worth exploring. How did the author construct a fictional reality that can exist in a remote distant underground world that has a faraway distance from the reality? Of course, this is concerned with the relations between language and reality, in which, as Halliday emphasizes, language plays the important role in constructing the experience of human beings.

In the dream fantasy, the magic and supernatural elements always exist. As claimed by Tigges (1988:152) and Hark (1978:117), one of the prominent aspects of *AW* is its episodic nature, and the links between cause and effect are always tenuous and frequently nonexistent in this type of nonsense fantasies. In the discussion of *AW*, Taylor also points out the story "grew out of separate bits and pieces linked up more by the associations of ideas rather than cause and effect" (1952:48). Rerchert also calls the characteristics of the nonsense fantasy in the story of *AW* as an arrangement of isolation, disintegration, detachedness and disconnection (1974:20; see also Tigges 1988:152). Levin also commented that the dream-vision in *AW* has been pieced together (1965[1971]:231) out of different separated events. Just as Ede correctly points out, change is an important theme in the story of *AW* (1975:9), in which the world Alice experienced is always metamorphosed. The language used in *AW* is different from the language of science in that it disguises the causal relations in the processes, in which the initiator of the process is often ignored, while the consequence and phenomenon are often concentrated upon.

As can be seen from above analysis, *AW* can be subsumed under the heading of the literary genre, but a more special literary genre which not only has the universal features of literary genres, but also has the following characteristics that are specific to the dream fantasy of *AW* itself:

- The use of imagination and holding the disbelief of suspension;
- The use of language to create fictional magic and fantastic world, in which the supernatural can take place anywhere and at any time;
- The story consists of dream visions which are in nature episodic, disconnected and isolated;
- The syntax is seemingly very simple and expressive, though some are extraordinarily complex at some particular points;
- The author purposefully obscured the relations between reality and fantasy by making use of some specific techniques and constructed a fictional world that exists in a fantastic and magic space, or the *secondary world* in Tolkien's (1962:113) terms, in which the magic can take place as it really does in reality. This is a quality that attracts children as well as adults;
- Due to the special characteristics of the dream fantasy genre, the text has to hide and conceal the causes, whereby magic and supernatural forces take place as if they act automatically.

The above points are some of summarized characteristics of the dream fantasy of *AW*, included in but not limited to the fantasy genre. These generic features are embedded in the language of *AW*, especially in the patterned textural features, such as lexico-grammatical levels.

### *3 Socio-textual Features in terms of Transitivity Patterning*

In this section, I will analyze the socio-textual features in terms of transitivity patterns demonstrated in the original text of *AW*, in which the focus will be on

how these transitivity processes at the clause level can produce the desired social-semiotic effect in creating a fictional reality that is magic and fantastic in directing his readers towards certain interpretations. However, it must be noted that different poetic strategies have been employed in the original in order to produce the same effect of creating some mysterious and magic dreamland effect. The processes of the clauses have special characteristics, which deviate regularly from the everyday process patterns that are employed, thus it forms the so-called the “motivated foregrounded patterns” (Halliday 2002:98). It is assumed that different processes are predominantly used in the language of *AW* in order to produce the following effects:

- 1) Mystified actions (shortened for *Mystification*);
- 2) Magicalized happenings (*Magicalization*);
- 3) Dreamland-like effect (*Dreamland*);
- 4) Characterization of Alice (*Characterization*).

These four components can actually cover the characteristics of happenings existing in the underground and wonderland world, which thus form the foundation of Carroll’s poetic fictional reality constructed. As shown in the following figure 4.1, the *fantasy world* (FW) and the *fantasy characterization* (Character.) are all built up on the basis of the strategies of *mystification*, *magicalization* and dream illusion created by the language. With the several components combined, a fictional fantasy world (FW) can be constructed. Their relations can thus be represented in the following figure:



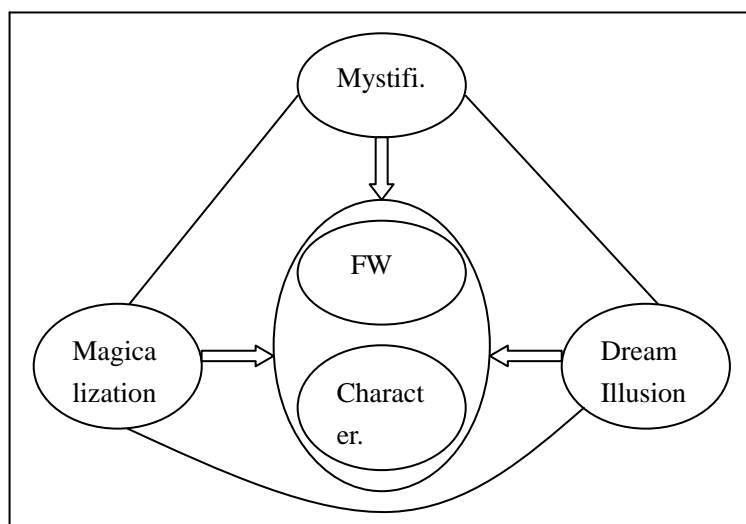


Figure 4.1 Functioning Components Constructing the Fantasy World

So in the following subsections, I will examine the different effects in terms of different transitivity processes at the clause level, linking them to the analysis of the transitivity patterning and to the pragmatic and semiotic effects in the original language.

### *3.1 Mystified actions*

Generally speaking, the writer has a poetic purpose in any piece of writing that belongs to literary genres, that is, he has to concentrate on the aesthetic aspect of literary nature. When commenting on Spitzer's achievements in stylistics, David Lodge pointed out that a particular ordering of language can produce a particular literary effect (Lodge 1966:53). In fact, the modern linguistics informed by systemic functional linguistics can explain the effectiveness of a particular literary text. So the processes used in the language of AW serve to highlight the mystified fictional world created deliberately by the author.

The mysterious aspect of the fiction of dream fantasy lies partly in the fact that the processes of the clauses, be they material processes or mental processes, are left implicit or just concealed from the readers' eyes. First, I would give some examples of material processes in the following:

- 1) At this moment the door of the house opened, a large plate came skimming out, straight at the Footman's head: it just grazed his nose, and broke to pieces against one of trees behind him. (AW 71)

This is a description of the scene in the fifth chapter in which Alice had at first a talk with the Frog-like Footman and then just as she wanted to enter the door, the door itself *automatically* opened. Actually nobody opened the door for her and subsequent things could happen in an unbelievable manner. The process underlined in the quoted text has no external cause to keep track of due to the author's putting the *Medium* at the subject position, which is assumed to take the responsibility of the proper human agents. This inanimate participant occupying the place can actually conceal the real agent of the process, that is, the agent that does the opening is left implicit and concealed. The audience can not recover who did the action from the context. In so doing, the initiator responsible for the action is nowhere to keep track of, on one hand; and no mention of the cause on the author's part can save a lot of trouble in conveying the mysterious sense of the dream fantasy, on the other. The readers, in the suspension of disbelief, may take this mysterious phenomenon as natural as if it is happening in real reality.

Of course, in order to conceal the external causes of the material processes in creating a mysterious fictional reality, the author may also use the passive constructions apart from the use of the active processes with the *Medium* as the only participant. Here in the following there is an example text in describing Alice's dropping herself into the Rabbit-hole – the mysterious hall – in which she felt very anxious and wanted to get out of it:

- 2) There were doors all round the hall, but they were all locked, and when Alice had been all the way down one side and up the other, trying every door, she walked sadly down the middle, wondering how she was ever to get out again. (AW 8)

The process underlined in this case is a causative action, but whose initiator has

been concealed deliberately by the author from the readers' eyes can also from their mental recovering abilities. First, in such a strange place with so many doors, one can't help wondering why the doors are all locked. And who have locked them, that is, they are locked by whom? Secondly, doors here act as *Medium*, which further makes the recovery of the Agents of the action (to *lock*) more impossible. As a result, the main character Alice was completely trapped into difficulty and helplessness, all of which, however, is shrouded under a kind of mysterious atmosphere. This effect provoked by the signification signaled by the lack of the actor's participation is in nature semiotic and ideological. From the writer's perspective, as we have mentioned previously, this ordering of the process could actually reflect his attempt to conceal the real agent of the action, or more directly, he just wants to suppress the appearance of the Agent in this context, in order to create a kind of mysterious fantastic world.

We can also take a look at another example in the following in which Alice was talking to the Cheshire Cat which was also a mysterious animal in the underground dreamland world, let's see how the author represents the animals mysteriousness:

3) "You'll see me there," said the Cat, and vanished.

Alice was not much surprised at this, she was getting used so well to queer things happening. While she was still looking at the place where it had been, it suddenly appeared again. (80)

This time, there are Agents in the underlined material processes: *the Cat* and the pronoun *it* (indicating the Cat). However, we can find that the two processes seem to have functioned as event processes, which means, semantically speaking, they are more like happenings than actions. Although *the Cat* is the agent of the processes *vanished* and *appeared*, the actions don't extend to the other participants. In other words, they just happened automatically on their own. Taking the semantic meaning of the two processes "vanished" and "suddenly

appeared” on the part of the Cat into consideration, the actions are made mystified.

### *3.2 Magicalized happenings*

AW is a fantasy story embedded in dreams, which follow mostly in line with magical stories. It is magical in nature. Referring to it as ‘magical’ means the events and actions in the story are free from the laws and realities of the external world, and can thus function with special powers to bring things about in one way or another. Magical thinking, however, is not concerned with outer reality and it doesn’t engage itself in searching for reflection, reason, or figure out strategies or exercise discriminating judgment. So when an action takes place, it usually takes place automatically and therefore magically. The author can thus resort to a series of strategies to make these happenings and events take place in a magical way.

The first strategy the author often made use of in his writing of making magic is to avoid the direct mention of the external causes of the processes. In so doing, the attention of the audience will be drawn to the reading of the processes while concealing the reason that has caused these processes to happen. What impresses the audience is only the action, process or events, but they may have forgotten ‘to whom what has been done’ in this context. Avoidance of mention of explicit external causes can be obtained in various manners that are impossible to happen in the real world.

In order to reach such an objective, the author can adopt various methods, one of which is to use non-transactives, that is, to make the form of causation implicit, in Kennedy’s (1982:87) words, the participants “do not exercise any control” over other participants:

- 4) After a while she remembered that she still held the pieces of mushroom in her hands, and she set to work very carefully, nibbling first at one and

then at the other, and growing sometimes taller and sometimes shorter, until she had succeeded in bringing herself down to her usual height. (AW 66)

As can be seen from the underlined clauses, the heroine Alice functioned as an agent of the process, but whose action didn't extend to any other participant: *she just set to work, and she grew taller or shorter, and then she succeeded*. In fact, all the three clauses are Material: non-transactive. In such a sense, Alice has been seen to be quite passive rather than being active human participant *agent*. So her *growing taller or shorter* is more like an event than an action, because such participants don't relate itself to any animate or inanimate participants over which control can be exercised. However, the forces that make Alice *grow taller or shorter* are not directly mentioned. Anyway, what forces are so magic? Is it the mushroom? Does a piece of mushroom have so magical power? Of course, both the questions can not be reasoned in this way. Apparently, avoidance of the goal keeps the whole process in a magical condition. This situation reflects directly lack of the external cause, or the motivation of causation.

Secondly, the author may also use relational clauses in order to create a magical reality. In describing the magical happenings and events in the wonderland, the author may give up the material clauses and detach any signals from agency, which means that these signals lack the explicit active human participants as well as *affected Medium*. As a result, this descriptive process stresses the innate characteristics of the explicit inanimate participant and where there is no external human participant-generated cause. The things just stay there as they are. Here we come back to a text cited previously but this time we will just look at its relational processes:

5) The rabbit-hole went straight on like a tunnel for some way, and then dipped suddenly down, so suddenly that Alice had not a moment to think about stopping herself before she found herself falling what seemed to be a very deep well. (AW 4)

As has been underlined in the text, there are relational processes in this cited text. The first two clauses contain actional verbs *went* and *dipped* respectively, but they are actually not actions, describing only the rabbit-hole's appearance and are thus relational processes according to Halliday and Matthiessen (2004: 243). It seems to be quite clear from the text that the unique and magical rabbit-hole was just there, detached from any human agency and actions. The last relational process in this cited text what seemed to be a very deep well is a further description of the rabbit-hole. Have we ever seen a rabbit-hole that "seemed to be a deep well"? No! But here, it stays in the story, existing in quite a magic manner.

Thirdly, nominalizations have also been used in the original text. In this case, both the *agents* and *goals* are left implicit in the purpose of being detached from the activity and agency. When the author chooses to nominalize the 'action' of a clause, he simultaneously conceals that action possibly together with its participants into a noun. In other words, he also chooses to obscure the causal relations initiated by agents, whose action may extend to the other participants in the clause. In fact, the recovery of the external causes may be harder than it should be in the previous cases, such as passive constructions, etc.

6) 'one side of what? The other side of what?' thought Alice to herself.

'of the mushroom,' said the Caterpillar, just as if she had asked it aloud, and in another moment, it was out of sight. (AW 60)

The underlined word sight is the nominalization of 'see', a mental process. The relational clause 'it was out of sight' is a description of the wonderland scene seen from the perspective of the protagonist Alice. However, the author didn't choose to use such clauses as 'Alice didn't see it' or 'she could not find it any more.' He deliberately concealed the occurrence of an active agent in the mental process in this case. In Fowler's words:

Nominalization is a radical syntactic transformation of a clause, which has

extensive structural consequences, and offers substantial ideological opportunities. (1991:80)

The reason for Fowler's referring to the structural consequences is that nominalization has been transformed from different processes, and therefore entails 'substantial ideological opportunities' or effects. So it is inherently and potentially mystifying, which will contribute to magic aspect of the narrative of the story.

### *3.3 The effect of Dreamland illusion*

The wonderland in the context of *AW* actually consists of episodic dream visions in which the dreamland effect which I call it *dreamland illusion* may be created by the deliberate transitivity patterning deployed by the author. However, the dream visions in *AW* are primarily of verbal nature, whereby a series of dream visions are created. These dream visions can also be entailed in the structures which represent them as they tell the story. The structures that represent the dream visions are fundamentally a sequence of images. Following this line of thought, the things the clauses represent structurally are also a sequence of images. The author also used some poetic techniques in the representation of the clauses in *AW*. Here is a text I choose from the seventh chapter of this novel when Alice just entered the beautiful garden 'at last' by 'nibbling at the mushroom':

7) Then she set to work nibbling at the mushroom till she was about a foot high: then she walked down the little passage: and then – she found herself at last in the beautiful garden, among the bright flower-beds and the cool fountains. (*AW* 98)

As is apparent in our dreams, most people would have such experience in their dreams which consists mainly of dream visions or episodes, in which one's actions usually are not directed at particular goals. That means, in the material

processes, there are not any goals to be extended to by the agent. While in other processes, like in the mental processes, the participant, that is, the sense actually reacted or perceived towards the phenomenon 'herself'. But note, it is only reaction, or perception in this case -- 'she found herself'. This is not an action which extends a process to a goal, but just 'found' it. The process is more like a *happening* than an active *doing*. So 'she' in the clause 'then she walked down the little passage' can be concealed to be an episodic dream vision represented by a non-transactive material process; while 'she found herself at last in the beautiful garden' is thus another episodic dream vision represented by a mental process.

As is shown in the first clause of the text cited above in this section, non-transactive material processes may also be used in the creation of the dreamland illusion effect in terms of representing the characterization of Alice in the underground dreamland world. As for the characterization of the protagonist Alice, we are going to explore it in the following section in more detail.

### *3.4 Characterization of Helpless and Perplexed Alice*

As a very important creative strategy, the writer not only used words to communicate the magical and fantastic aspects in the fantasy fiction, but also, more importantly, he will identify himself and the audience with the chief character in the fiction, so in this sense, 'the fantasy should be viewed as the magical creation of chief character' (Wilson 1983:16). Now that characterization is so significant in understanding the fantasy that some readers follow a fantasy by identifying themselves with its hero or heroine and thinking in a magical way. Wilson suggested those investigating such a story should also make an investigation of the characterization of the chief character in the story.

As can be seen from Wilson's comments on the significance of characterization in the magic fantasy stories, the significance in the unfolding and development of the magical fantasy stories can be clearly revealed. So how did the author



identify himself with the protagonist, Alice? How did he characterize it? However, whatever he did, he must make the audience concerned with the heroine's mood, and her situation, and the development of her characterization through the whole story. As far as the characterization of Alice in *AW* is concerned, we can explore its development in terms of the organization and distribution of participant roles and processes in the clauses, because this can provide us a lot of information about Alice's characterization we need in order to explore and keep track of its different stages of development. One of the strategies of the author is to use non-transactive material clauses to represent Alice's activities in the dreamland. In the non-transactive material processes, although Alice acts as an agent of the Material processes, but her action does not extend to any other participant, thus she can't exert any influence on her surroundings:

8) Either the well was very deep, or she fell very slowly, for she had plenty of time as she went down to look about her and to wonder what was going happen next. (*AW* 4)

9) As she said these words her foot slipped, and in another moment, splash! She was up to her chin in salt water. (*AW* 22)

In the instance 8) of the text we cited here, there are two material clauses in which 'she' (Alice) acts as actor of the process. However, the action she exerted is just confined to the body of *herself*, in other words, it doesn't extend to the other participant. In fact, in the clause, the action 'fell' is the one that Alice could help. And she just feel and cannot control her *falling* action. So is the clause in the same text in the same text instance: she went down in a somewhat automated sense.

In the 9) instance text, the item that occupies the position of the subject is actually 'her foot' that becomes the actor or agent of the material clause. *her foot slipped* and then she was instantly into the pool. This is quite unintentional on

Alice's part, because it is not *she* but *her foot* that *slipped* that caused her into the pool. She was totally passive in this whole process.

In fact, in the text of *AW*, there are a large proportion of such processes in which Alice serves in the role of actor or agent but actually her action doesn't extend to any other participant in the processes. Either Alice occupies the *actor* position, or her body parts occupy the position. The clauses are usually non-transactive so that the actions the actors exert can only be confined to themselves and have nothing to enact upon.

As can be seen from the above analysis, the non-transactive material clauses, the audience just can't make it clear that *who is doing what to whom*, or what is acting on what, because there are usually only one participant in these processes, and the directionality of the causal relations is thus indeterminate consequently. However, in the clauses that characterize the protagonist Alice in the narrative, there is still another type of clauses that may attract the audience's eye in the description of Alice's behavior. Here are some examples:

10) 'And now which is which?' she said to herself, and nibbled a little of the right-hand bit to try the effect: the next moment she felt a violent blow underneath her chin. (*AW* Chapter 5)

11) So she began nibbling at the right hand bit again, and did not venture to go near the house till she had brought herself to nine inches high. (*AW* 66)

12) Then she set to work nibbling at the mushroom till she was about a foot high. (*AW* 98)

From the underlined clauses we have cited here, the audience can find that they have special characteristics. They are material processes in which there is an actor, plus the material process 'nibble', but the Goals seems to be very illusive. In the first underlined clause, it is 'a little of the right-hand bit', which seems to be far from being a concrete entity; while in the second underlined clause, it turns out to be more illusive because following the process 'nibbling' is a

prepositional phrase ‘at the right-hand bit again’, which makes the directionality of causal relations in the process much more obscure than that in the first one. The impression and signification left to the audience seems to be that Alice had very great difficulty in ‘nibbling’ the mushroom, so she was just trying efforts in ‘nibbling’ *at* it. But in so doing, it remains very much obscure that *whether* her action of *nibbling* has produced any effect and extended to the other participant, ‘the right-hand bit’. So in the two instance clauses, we can find that even Alice function as Agent of the material processes, but her participation in the processes is quite limited, and thus can not exert any concrete influence on the other participants. It seems that she was rather passive than active in the context. This point can also be felt from the following mental processes I choose from the AW text:

13) She was close behind it when she turned the corner, but the Rabbit was no longer to be seen: she found herself in a long, low hall, which was lit up by a row of lamps hanging from the roof. (AW 8)

14) “That *was* a narrow escape!” said Alice, a good deal frightened at the sudden change, but was very glad to find herself still in existence. (AW 22)

The two underlined clauses in the cited instance texts are both mental clauses in which the protagonist Alice acts as the *senser* in the two processes. It seems, in this sense, that Alice, as the senser of mental process, plays a kind of active role of finding something (the phenomenon). In fact, these mental processes do not establish any causal relationships as that in the transitive material processes. As demonstrated in the first example clause:

13)’ She found herself in a long, low hall.

‘She’ is not acting upon anything in the clause, not even on herself, ‘she’ just found ‘herself’ there in a dream-vision-like manner. ‘herself’ is not changed in any way by her *finding*. However, the opposite seems to more true. In such mental process, the perceiver is usually passive, that means, her *sensing* or

*perceiving* is a reaction, rather than active action or mental processing of the mind.

This analysis is also true to the process in the clause in the example 14) to find herself still in existence. It shows that the sense in such processes as very passive. And the act of the *perceiving* is just one of the automatic response. Here Alice just remains a passive *sneser* and can not do anything but only reacting to the things she happened to meet with and these things include the body of *herself*.

Therefore, as brief conclusion to this section, it may be safe to say that in the processes used to describe the dreamland world, non-transactive material processes are often used in order to obscure the causal relations of the actions and create a magical and mysterious dreamland-like world. In the *characterization* of the protagonist Alice, it is a little complicated in that it involves the uses of material processes as well as the mental ones. The original author had used both processes to highlight Alice's statuses at different stages in the dreamland world.

#### *4. Signification of Transitivity of Analysis at Textual Level*

Through the transitivity analysis at the clause level, it can be quite apparent that the author may have his own poetic strategies to arrange the language patterns in order to achieve certain poetic purposes in his dream fantasy. The strategies can be demonstrated on the surface of the clauses by distributing participant roles and processes. So different arrangements of participant roles and processes may imply a different signification at a deeper level and direct the audience's interpretation towards a different direction. Therefore, when similar particular transitivity forms a pattern, it must have its own meaning and purpose from a semiotic perspective at the textual level. The selection presented here tries to avoid overlapping while still managing to illustrate how transitivity analysis maybe used together in the purpose of promoting a common pragma-semiotic

and ideological effect in the writing of a piece of literary genre.

In the conveyance of the mysterious, magical and dreamland-like atmosphere in the novel, the author has consistently used non-transactive material clauses, in which either Alice acts as an actor, but whose action doesn't extend to any other participant at all; or in some other cases, an inanimate thing acts as the actor, which is in fact the Medium or effected Medium that has no 'power' to enact upon the other participant. So it seems to the audience that whole chain of causal relations of the happenings and events is nowhere to keep track of.

In order to keep the audiences 'disbelief in suspension', the author purposefully avoided the more direct and blunt use of the transactive material clauses: Action: Intention. Sometimes the author even uses the relational and existential processes to create an effect for which the magic stuff is there and it is the fact! This fact allows audience to concentrate only on the effect, on the event and process, on the surface instead of exploring the complicated causal relations hidden behind the seemingly simple processes:

-- ① Alice started to her feet; (AW 4)

-- ② She was close behind it when she turned the corner, but ③ the Rabbit was no longer to be seen. (AW 8) (① relational process; ② non-transactive material process; ③ passive constructed material process)

-- Would the fall never come to an end?(6) (non-transactive material process)

-- Either ① the well was very deep, or ② she fell very slowly, for she had plenty of time as she went down to look about her. (AW 4) (① relational process; ② non-transactive material process)

-- At this moment, the door of the house opened. (AW 71) (Non-transactive material process, with the Medium at the subject position)

Actually, in the original text of the story, there are some processes in which Alice

acts as actor, and her action also extends to the other participant, where Alice seems to be active and acts as an intentional Agent:

-- 'Oh, there is no use in talking to him,' said Alice desperately: 'he's perfectly idiotic!' And she opened the door and went in. (Transactive Material process: intentional)

However, this kind of clauses are very rare, particularly in first five chapters of this fiction where Alice remained timid and frightened all the time until she mastered the magic mushroom to come to learn to control her body size after she got the advice from the Caterpillar at the end of the fifth chapter. So it is no wonder now that Alice's dynamic force in activity is becoming stronger in this chapter. This point I will also discuss in detail in the seventh chapter by focusing on the development of Alice's characterization as the protagonist in the story. But here in the following I would like to briefly demonstrate the textual the textual patterns that can help exemplify the author's transitivity choices and selection in the representation of the protagonist Alice in the dream fantasy.

-- She found herself in a long, low hall. (8) (mental process)

-- it flashed across her mind<sup>①</sup> that had before she had never seen a rabbit<sup>②</sup> with either a waist-coat-pocket or a watch to take out of it. (4) (①mental process; ②mental process)

-- Soon her eye fell on a little glass box that was lying under the table. (14) (mental process)

-- When she got to the door, she found she had forgotten the little golden key, and when she went back to the table for it, she found she could not possibly reach it. (12)

By the same token, the mental processes cited here have formed very prominent textual patterns in the original text and are thus foregrounded. In these processes, Alice has been projected in a very passive manner. Although she acts as a *senser*

in these clauses, she did not make any charge to the phenomena. Interestingly, the contrary seems more true, that is, the actor is changed in some way by her *sensing* or *perceiving* these phenomena. These patterns formed out of the processes consistently have played a significant role in the development of Alice's characterization of the three stages which we will discuss in detail in the seventh chapter.

#### *5 Alice's Three Stages of Characterization Development (SCD)*

The scholars, like Halliday (1971), Montgomery (1993), Simpson and Montgomery (1995), have established the relations between patterns of transitivity and the construction of the central character in the fiction. Here in the following is the figure following Hasan to indicate the scale of the widower's dynamism (Hasan 1985:46) which forms a cline along which processes showing different degrees of dynamism, illustrated and adapted, are listed in a successive fashion as in the following figure.

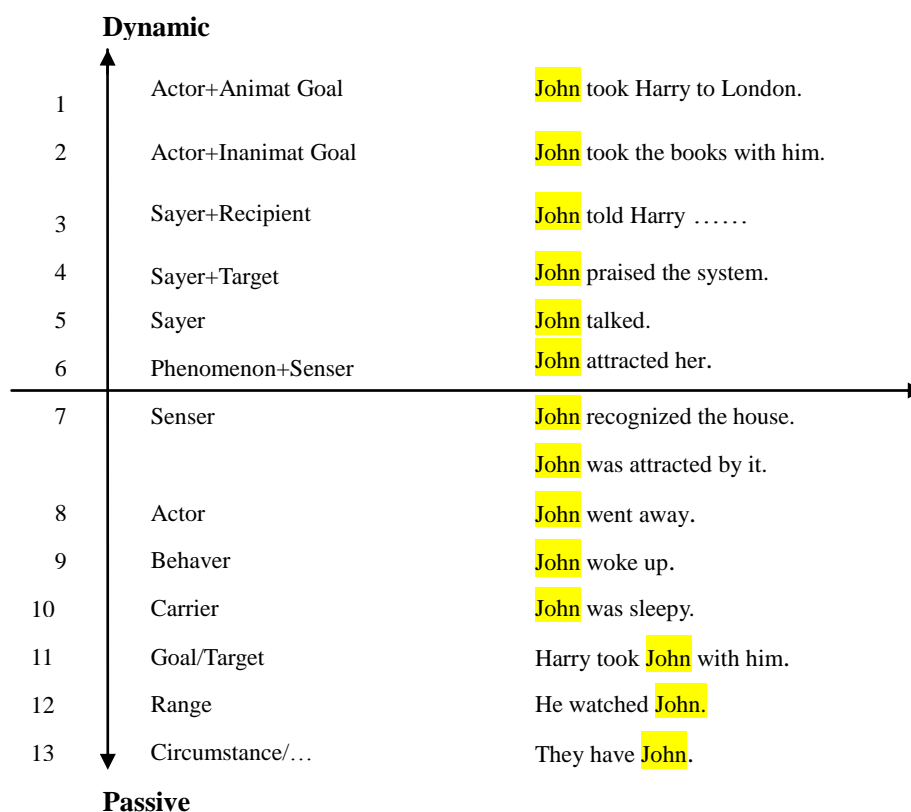


Figure 4.2 Scale of dynamism of the instance clauses

As can be seen from the figure, a human agent acting upon a human goal stays at the top end showing the strongest dynamism, while the human acting as the circumstances stays in the very opposite bottom end to the dynamic end, i.e., the passive. Hasan (1985: 46) takes node 6 at where “John attracted her” as the half-way point of the dynamism, classifying the processes of mental clauses along the downward scale towards the passive end. So here, the vertical axis represents two opposite trends towards two ends of both active in the upper and passive in the lower. And a horizontal axis is drawn here just below the node 6 in order to show the distinction between the passive trend contained in the mental process “John recognized the house” in which John acts as phenomenon and the dynamic trend contained in the mental process “John attracted her” in which John acts as senser. Taking into consideration the fact that the material and mental processes play a significant role in the construction of Alice’s characterization in the fiction, this thesis will only consider the two types of



processes and their effects on the characterization in the three different stages.

Based on the discussion of the data, three stages of Alice's activity and hence characterization developments can be divided, which roughly corresponds with Tigges's (1988: 153) division of the story into three stages in terms of the story development in the novel, for which she asserts that "Spontaneous as AW may have been (and the evidence of this from the mouth of the author himself may be taken as incontestable), a certain order can still be detected" from the development of the story<sup>5</sup>. This division of the stages should be in accordance with narrative development in which Alice changes with the different powers she had in the different periods she experienced in the wonderland world. Based on the distinction proposed by Tigges, three stages have been divided in this research according to the degree to which Alice could control her body size and the confidence she had to behave herself. In all these events, it is assumed that language certainly plays an essential part in the construction of Alice as the main protagonist in the story. And the changes of characterization can be reflected in the linguistic structures of the clauses. The three stages are respectively as follows:

*SCD1* roughly covers the first chapter when Alice fell down into rabbit hole and later on she was very timid and very puzzled with contradictory world of wonderland, to the chapter 5 where this timidness culminates when she was attacked by the pigeon;

*SCD2* starts from chapter 6 after she asked some advice from the Caterpillar at the end of Chapter 5 and became sort of more confident when she learned to control the size of her body by eating different sides of the mushroom, to

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<sup>5</sup> Ede speaks of a tripartite structure: the first four chapters initiate the reader to Wonderland, establish Alice's essential reliability as a guide, and introduce language as a crucial element in the dialectic between order and disorder. Chapter 5 through 7 clarify the relationship between language, identity, and meaning ... The final chapters of the work, which occur inside the long-anticipated garden, elaborate on what Alice has both lost and gained by her rejection of wonderland. (Ede 1975:90; also see Tigges 1988:153)

the 7th chapter where Alice was approaching the gate of the Garden. These two chapters can be assumed to be an interim stage where Alice has grown to more confident, but not fully confident as a brave personality.

*SCD3* starts with the chapter eight where she had been in the garden, to the last chapter 12 where she was not scared any longer. She became courageous or even wildly presumptuous by saying to all ruling members present at the court that “you are nothing but a pack of cards!”

The above elaborated three stages form a continuum of Alice’s characterization, along the cline of which Alice gradually become brave, courageous, and confident enough finally in the ending chapter, which symbolizes her unavoidable grown-up process as a mature woman who usually experiences in real world.

Along the three stages, the descriptions made up of the language as shown in the examples have changed along the continuum, but the translations, according to my observation of the data, don’t seem to be very conscious of reflecting this change. So what I want to explore is how these translational shifts have affected the characterization of the fictional protagonist, Alice herself.

### *5.1 SCD1*

The first SCD is characterized by the impotency and inability on the part of Alice to act in the wonderland world. This stage starts from Alice falling down into the Rabbit-hole and into the underground world, where she was very timid at first. The status of impotency and timidity is permeated through the first several chapters from the first to a large part of the fifth, which is particularly construed by the transitivity patterns characterized by material non-transactive superventional processes and mental processes. The transitivity features are obviously significant to the characterization of Alice’s status at this stage in terms of Alice’s inability “to affect the world around her, or bringing the change into

the surroundings” as a dynamism or effectuality (Hasan 1986:45). Thus, the semantic value of the transitivity features is very significant to the interpretation of Alice’s role of affecting the environment, which may include *herself* in the wonderland world. Here in the following I will list the typical processes that represent Alice’s status in the story.

In view of the roles material and mental processes play in the construction of characterization, we will list the two types of processes only. Of course, this does not mean other types of processes are not important. On the contrary, all the process types used in the text play their roles and contribute to the construction of the protagonist, for example, the relational processes, esp. the attributive relational process serves to express and represent the static status of Alice, which resulted from the impotency and inability. So the experiential analysis of transitivity can help to reveal the ways in which a character (or characters) impacts the world.

### **Material processes**

C1-13: Alice started to her feet.

C1-17: She ran across the field.

C1-21: down went Alice after it.

C1-23: ... how she was to get out again.

C1-27: ... stopping herself.

C1-29: ... falling down.

C1-33: ... as she went down.

C1-45: she fell past it.

C1-50: she fell past it.

C1-31: or she fell very slowly.

C1-39: what she was coming to.

C1-44: she took down a jar.

As can be seen from the above clauses, most of them are material non-transactives, of which clauses C1-13, C1-29, C1-45, C1-50, C1-31, C1-39 belong to the category of material superventional ones. Others cited above are the ones which can be termed as material intentional ones, that is, the actions are intentional on the part of Alice. However, on a closer look, they seemed more to be brought about by another agent, such as the Rabbit, rather than by Alice herself. For example, the clauses C1-21, C1-27, C1-39, etc., are all initiated by Alice's following the Rabbit down into the hole in a series of events.

Even for the material transactives, there seemed to be something in the way that may function to obstruct the action to be extended from the agent to the affected. This point can be seen from the clause C1-44, where a preposition "down" was inserted between "took" and the affected "a jar". This phenomenon I have discussed in Chapter 3, section 3.2.1, and will be discussed again in some detail in Chapter 6, section 3.4.

Of course, there are some other material processes which have Alice as Goal or affected entity. Such as,

C1-07: the hot day made her sleepy and stupid.

Such clauses with Alice as the Goal can certainly involve the passivity on the part of Alice, who is constructed to be affected rather than affect the things around her. In this case, Alice is not an agent in the material processes---not an effective "actor", but the affected entity that is impacted upon in a certain way. This seems to be significant to interpret Alice's role in the first SCD. In the stage, there are actually some clauses which are transactive, but most of them are *confined to* Alice herself or her body parts.

## **Mental processes**

Mental processes can play a very significant role in the construction of characterization and promote the audience to achieve identification with the protagonist, Alice. This identification, according to Wilson (1983: iv), is often required in the writing of creative and imaginative fantasies. Here in the following the mental processes are listed:

C1-06: so she was considering in her own mind.

C1-08: nor did she think it out of the way.

C1-10: when she thought afterwards.

C1-11: ... it occurred to her that ...

C1-12: she ought to have wondered at this.

C1-162: soon her eye fell upon a little glass box ...

C4-31: her eye fell upon a little bottle that stood near her.

C4-178: it occurred to her that ...

C4-183: her eyes immediately met those of a large blue caterpillar.

As discussed in the previous section in Chapter 2, participant roles are often used to represent the roles the participants play in the different types of processes. Quite unexpectedly, a large proportion of mental processes have been found in the first SCD characterized by Alice's passive status. There are altogether 172 mental clauses in the first SCD covering Chapter 1 to Chapter 5 out of a total of 556 processes involving Alice as participant, which can be shown in the following Table 1.

<b>Chapter</b>	<b>Mental pro.</b>	<b>Process in each chap.</b>	<b>Percentage</b>
1	51	153	33%
2	33	104	32%
3	12	48	25%
4	52	150	35%

5	24	101	24%
Total	172	556	31%

Table 4.1 Mental processes in SCD1

As can be seen from the above table, mental processes account for 31% of the total processes that appear in the SCD1. This unreasonably large proportion of mental processes points to her mental activity and lack of physical activities, esp. the lack of material intentional processes. As can be seen from the cited clauses, even in the mental processes, Alice's mental processing ability doesn't seem to be sharp enough as to control her own mental behaviors. Her mental behaviors seem to be "happening" rather than intentionally "doing", which is quite mechanical in some way. For example, in the instance C1-162, Alice's sensing seems to be mechanical and she even didn't have the ability to direct her "seeing" at "a little glass box". This is very typical of several other mental processes that appear in the SCD1: C1-11, C1-14, C1-162, C4-31, C4-178 and C4-183, ect.

In all the instances of mental processes, Alice, here construed as the *senser*, against the background of mental processes, has been very much reserved to "sense". The internal world view construed by these processes indicates Alice's impotency and inability to affect the world. She even could not "sense" what is going on in the wonderland world in the first SCD. So when the processes are represented through the form of metaphorical mental processes, Alice's passivity is reinforced by the mechanicalness or rigidity involved in the clauses using her body parts or inanimate "it" to function as the formal *senser* or *actor* of the process. This arrangement shows the author's poetic writing strategies in the development of the characterization of the protagonist Alice at different stages in the story. From the instances just cited above, she is construed in the mental processes in very negative ways – impotent and inactive in impacting the surrounding world, that is, she can not "think" or "see" properly.

So as can be seen from such an analysis, the number of the mental processes

account for a big proportion when compared with other process types. Specifically, Alice is construed as the *senser* in the mental processes of perception, but she could not manipulate her *sensing* in the way as a normal human being often does. This kind of transitivity patterning gives a vivid portrayal of the character in the fiction.

## 5.2 SCD2

As mentioned above, the second stage of characterization development is characteristic of an intermediate stage through which the protagonist was developed from the ineffectual and impotent character into a relatively more effectual and active character. In this stage, it is assumed that there will be some indicators in the transitivity patterns that show Alice's becoming more active than she was in the first SCD. They can also be represented by having particular elements foregrounded and some others suppressed at the same time in the transitivity patterning. If looked at in terms of impotency on the part of Alice, she seemed to be more potent, more able than she was in the first stage. Here in the following Table 4.2 are the different process types that appear in the stage:

<b>Process Type</b>	<b>Mat.</b>	<b>Ment.</b>	<b>Relat.</b>	<b>Behv.</b>	<b>Verb.</b>	<b>Exist.</b>	<b>Total</b>
No. of Pro.	58	68	5	2	74	0	207
Percentage	28%	33%	2%	1%	36%	0%	100%

Table 4.2 Process distribution in the SCD2

As can be seen from the table, the biggest proportion of the process types is of the verbal process, which is quite unusual because verbal processes usually occur in a lower proportion in comparison with “the three principal process types” (Halliday and Matthiessen 2004:248). It seems that Alice's participation in the different events is largely confined to her speaking. Then what come next closely

to the verbal processes are the mental processes, accounting to 33% of all the processes that appear in the SCD2. This forms a stark contrast with the number of material processes, 28%, which should be expected to be much higher than that of mental processes and all the other process types in a narrative text, like prose fiction. As mentioned in the previous sections, due to the role material and mental processes play in the construction of characterization, I will focus on the two types that are typical of the SCD2.

### **Material processes**

C6-04: ... what to do next.

C6-09: ... and crept a little way out the wood.

C6-14: she had to run back into the wood.

C6-33: ... and went in.

C6-58: ... and get an opportunity.

C6-70: ... keep tight of its feet.

C7-54: so she helped herself.

C7-74: she got up.

C7-75: ... and she walked off.

C7-93: ... nibbling at the mushroom.

Typically, Alice's actions are represented through material non-transactives. However, different from that in the SCD1, the overall tendency is in the intentional direction, that is, these actions are intentionally enacted by Alice. Therefore the dynamism on the part of Alice is promoted to a certain degree, pointing its further development towards a dynamic activity. What is even more prominent is the use of the action verb "nibble", in C7-93 where there are not so many "small words" hindering in the way between the action "nibbling" and the Goal "the mushroom" as the previous "nibbling" actions, which are indicated at



the end of the fifth chapter through seventh. These several “nibbling” actions can, to a great extent, demonstrate Alice’s increasing dynamism from another aspect during this stage of development through three chapters including the fifth where Alice first received the advice from the Caterpillar and managed to learn to control her body size. Here in the following are the clauses that represent Alice’s passive status which may involve changes in them:

C5-49: ... and *nibbled* a little of the right-hand bit.

C5-109: ... *nibbling* first at one, and then at the other.

C5-122: so she began *nibbling* at the right-hand bit again.

C6-134: till she *nibbled* some more of the left-hand bit of the mushroom.

C7-93: (Then she set to work) *nibbling* at the mushroom.

As can be seen from the instances cited above, we are provided with a whole picture of Alice changing in this stage, though these changes seems be subtle in appearance. The clauses in the context symbolize Alice’s difficulty in eating the mushroom. This point we will further discuss in detail in Chapter 6, section 3.4.

### **Mental processes**

An obvious difference of the mental processes at this intermediate stage is that there are much fewer metaphorical mental processes in this stage any longer, only one in number, the C7-38, which forms a sharp contrast with those in the first stage. The mental processes, although there are many, in the biggest proportion in comparison with other processes in this SCD2, are mainly represented through those of perceptions and cognitions. Here in the following there is a list of the mental processes in the successive chapters, of which the mental non-transactive are picked out Table 4.3 for a comparative purpose.

<b>Process Type</b>	<b>Chap. 6</b>	<b>Chap. 7</b>	<b>subtotal</b>
No. of Pro.	45	23	68
Non-transactive	14	10	24
Percentage <sup>6</sup>	31%	43%	35%

Table 4.3 Mental non-transactives in the SCD2

If we confine the comparison within the same SCD, from Chapter 6 through Chapter 7, a distinctive change can be detected in terms of the number of mental processes in each chapter in succession: 23 in Chapter Seven and forms a stark contrast with that in the Chapter Six: 45. This may mean that Alice's mental processing ability has come down and other abilities may be increased accordingly.

Very interestingly, the proportion of the mental non-transactives over the two chapters has had a steady increase. There are 14 out of the total of 45, accounting for the proportion 31% in the Chapter Six, and in Chapter Seven this proportion has increased to 43% with 10 mental non-transactives against the total of 23 mental processes in this chapter. This increase in the proportion of mental non-transactives shows Alice's increase of dynamism or effectuality in her mental processing ability.

The proportion of mental non-transactive processes in this SCD2 is 35, which is a sure increase in comparison with those of the SCD1: Alice is becoming more dynamic and effective.

### 5.3 SCD3

The SCD3 is climactic stage in which the protagonist Alice recovers her original dynamism and effectuality in terms of her abilities of affecting the surrounding environment. Alice becomes a human being in the true sense in that she was not

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<sup>6</sup> This percentage is the comparison of mental non-transactives with the total number of mental processes of each chapter.

timid and weak any more at the end of this SCD. Not incidentally, such status of Alice is also realized through transitivity patterns of choices characterized mainly by material and mental processes. In order to represent the shift from the status in the previous two stages, it can be safely assumed that the patterns of transitivity choices, including the distribution of the choices, should also be different from those in the previous two stages. By analyzing the data, the following table 4 is listed as follows for a comparative look:

Chap	Mat	Pct.	Mnt	Pct.	Rlt	Pct	Behv	Pct	Verb	Pct.	Exis	Pct	Ttl	Pct.
8	39	39%	38	38%	5	5%	1	1%	17	17%	0	0%	100	100%
9	20	25%	22	28%	2	3%	0	0%	35	44%	0	0%	79	100%
10	17	32%	11	21%	4	7%	1	2%	20	38%	0	0%	53	100%
11	15	33%	21	46%	3	6%	0	0%	7	15%	0	0%	46	100%
12	16	38%	10	24%	3	7%	0	0%	13	31%	0	0%	42	100%
total	107	34%	102	31%	17	5%	2	1%	92	29%	0	0%	320	100%

(\*Chap=Chapter Serial Number; pct=percentage; mnt=mental process; rlt=relational process; verb=verbal process; exis=Existential process; Ttl=Total)

Table 4.4 Processes in the SCD3\*

As can be seen from this table, the overall tendency in the SCD3 in the material and mental processes and their proportions as “principal clauses” (see Matthiessen 2007: 44) have come to a normal level, at which material processes accounts for the biggest proportion, that is, 107, accounting to 34%, while there are 102 mental processes, accounting to 31% of the total processes occurring in this stage. However, there is a very marked phenomenon here that the verbal processes account to a proportion of 29%, which seems to be contradictory to Matthiessen’s observations that verbal process is a minor process type in narrative text. But if we take into consideration the fact that *AW* is a novel in which dialogue plays a significant role in pushing forward the story, its relatively bigger proportion can be given a reasonable explanation.

So the overall tendency discussed in the above section also signals that Alice has

come to a normal state as a human being. Alice begins to do things and interact with the surrounding environment. She had relatively more freedom in terms of mental processing abilities. All this can be detected from the high frequency of occurrence of the material and mental processes. And also, this increase of dynamism on the part of Alice can also be represented through the main types of processes: material and mental. Here in the following space I will analyze the ways the two types of processes are used to convey such status.

### Material processes

As mentioned previously, material processes can represent the dynamism in the form of carrying out the actions. However, different types of material processes may entail different degrees of dynamism on the part of Alice, for example, the material intentional transactive processes involve much more dynamism than material superventional ones as can be seen from the figure of dynamism scale in Chapter 4, section 5, formulated by Hasan (1985:46). Here in the following is the Table 5 of a brief analysis into the data of material processes of this SCD3, of which the intentional and transactives are listed for a comparative look.

Process	Chapt.8		Chapt.9		Chapt.10		Chapt.11		Chapt.12	
Total Mat.	39		20		17		15		16	
Intentional	38	97% <sup>*</sup>	18	90%	17	100%	14	93%	16	100%
Transactive	14	37% <sup>#</sup>	7	39%	5	30%	6	43%	9	56%

Table 4.5 Material processes in the SCD3

As can be seen from the above table, most processes involving Alice as participant at this stage are intentional material processes, which account for in each chapter above 90% compared to the total in the same chapter. As far as the

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<sup>\*</sup> the percentage indicates the comparison of intentional processes with the total number of material processes in each chapter.

<sup>#</sup> this percentage indicates the comparison of transactive processes with the intentional ones.

material transactives indicating Alice's strong participation in the events (and hence dynamism) are concerned, there is a sharp increase in both the quantity and proportion in comparison with those in the previous two SCDs: SCD1 and SCD2. In the Chapters Eight and Nine, the percentages of the material transactives are 37% and 39% respectively, the dynamism of which has been promoted to a higher level than that in the SCD2. These strong-dynamism-carried percentages are increased to 43% and 56% respectively in the last two chapters of this SCD3. Obviously, 56% is a very conspicuous prominent number if we look at 9 transactives out of a total of 16 material processes in the very last chapter, which is also a climactic point along the cline of dynamism on the part of Alice. This is an obvious indicator of Alice's strong intervention into the events in the wonderland world, on which she began to exert her impact. Here are some instances from this SCD 3:

C8-02: she went nearer.

C8-07: she stood.

C8-55: ... managing her flamingo.

C8-57: ... getting her body tucked away.

C9-19: so she bore it.

C9-63: But she waited patiently.

C9-72: ... to sink into the earth.

C10-03: ... but checked herself.

C10-38: ... she got up.

C10-45: she had sat down.

C10-63: ... as she ran.

C11-06: ... to pass away the time.

C11-21: but she stopped herself hastily.

C11-26: This, of course, Alice could not stand.

C11-27: she went round the court.

C11-31: ... taking it away.

C11-32: she did it so quickly.

C12-04: she jumped up in such a hurry.

C12-05: ... upsetting all jurymen on the heads of the crowds.

C12-11: ... began picking them up.

In the above 20 instances from the SCD3, it can be seen very clearly that all of the processes entail the intentionality on the part of Alice, that is, these actions are initiated by Alice herself. Of the processes, C8-02, -07, C9-63, -72, C10-38, -45, -63, C11-27, C12-04 are material non-transactives. Though her actions do not impact other participants, all of them are intentional processes. All the rest of the above cited instances belong to the material transactives, which, along the scale of dynamism of Hasan (1985:46), are the most dynamic and active form, esp. when the affected entities extended to by the agent is an animate being. There are many such cases indicating Alice's strong dynamism from the SCD3, which can be referred to as staying at the endpoint of the cline of strongest dynamism, the point whose opposite endpoint is of passiveness and impotency. The transactives, apparently, culminated in the proportion in comparison with other process types in the last chapter of the book. These are strong signals of Alice's recovery of dynamism as a normal human being who can act freely in terms of her own actions of impacting other in the environment. Of course, this recovery can also be detected through looking at the patterned uses of mental processes in this stage.

### **Mental processes**

There is also a very conspicuous feature that is typical of the mental processes in this SCD3: which can also be seen from the Table 4 in this chapter, the number of mental processes in each chapter of the SCD3 is distributed in a decreasing manner along the cline of dynamism of the five successive chapters. Taking into consideration the fact that mental processes are often used to represent the relative passiveness and inertness on the part of Alice, it can be safely assumed that these decreasing numbers of mental processes in distribution have also signaled the steady increase of dynamism and engagement of Alice in her surroundings in an inverse proportional direction. Furthermore, within the internal transitivity structure of the mental processes, there ought to be some other indications showing that Alice's dynamism is also increased in this aspect. In Chapter 3, section 2.2.2, the distinction between mental transactives and non-transactives has been established, and it is asserted that the mental processes represented through non-transactives usually involve more dynamism than those through transactive forms. Here, the statistical data concerning the mental processes in the SCD3 will be listed in the Table 6 that follows.

	Chap.8	Chap.9	Chap.10	Chap.11	Chap.12	Total
Ment.	38	22	11	17	10	102
Non-trans.	12	8	5	8	5	41
Pct.	31%	36%	45%	47%	50%	38%

Table 4.6. Mental process in SCD3

The overall proportion of the total mental non-transactives in comparison with the total number of the mental processes is 38%, which is 3% higher than that in the SCD2: 35%. Although this increase is not so distinct, it has been enough to have accumulated a strong dynamism on the part of Alice if the increasing proportions of the non-transactives to the total of each chapter from 8<sup>th</sup> to 12<sup>th</sup> in the SCD3. So this increase has formed an overall tendency of increase in Alice's

dynamism. This overall tendency, of course, has to work in collaboration with the tendency of increasing dynamism constructed in the transactives: intentional over the successive chapters in this SCD3 so that a fuller picture of Alice's recovery of normal human being can be construed in the context of the underground dreamland.

## *5. Conclusion*

In this present chapter, the source text has been characterized according to their distribution of participant roles and processes in terms of the socio-textual parameters of discourse, genre and text type. Based on the four assumed effects of the dream fantasy as a literary genre, the transitivity processes are analyzed under the headings of the four effects, which not only has signification at the clause level, but also at the textual level. So the following aspects have been explored in this chapter:

1. The socio-textual characteristics of *AW* as a literary genre have special language patterns to represent its magical and dreamland-like fictional world;
2. Then four basic features are picked up out of the original which are as follows:
  - a. mystified actions;
  - b. Magicalized happenings;
  - c. dreamland-like effect;
  - d. Characterization of helpless and perplexed Alice.

Then the characteristics of the transitivity patterning are discussed under each of the above headings;

3. Very importantly, the transitivity processes have formed some textual patterns in the source text and convey the significations of creating the



mysterious, magical and dreamland-like world at the pragmatic and semiotic levels; and play a significant role in the development of the characterization of Alice from the very beginning when she followed the Rabbit down the hole to the end when she recovered to her normal size and consciousness.

4. Through the analysis, it can be seen that the source text transitivity processes are not randomly distributed but can be found to be used consistently by forming textual patterns to convey the pragmatic and semiotic effects, and then reinforce its ideological purposes;

5. The observed similar transitivity features and textual patterns are often manipulated in order to serve the creation of a particular semiotic effect in order to realize its requirements of the very literary genre.

Throughout the analyzing procedures, it is very interesting to note that the ST author used non-transactive clauses for physical processes, while he used transactives for mental processes to serve similar poetic purposes. The consistent use of the non-transactive material processes has provided the audience the images of self-generated, irrational processes that correspond to the episodic dream-visions represented in the source text. The manipulated poetic use of the non-transactive transitivity processes has pointed its indeterminate nature in the chain of causal relations, while transactive mental processes are used to represent the senser's passivity and inability. Thus in the following chapters, I will turn to the analysis of translations and start from the assumption that the modification of transitivity characteristics and patterns in the translational text will necessarily result in the shifts of the pragma-semiotic effect in the construction of characterization of the protagonist. The assumption will be confirmed by the contrastive analysis in the following chapters.

## **Chapter 5 Translation Shifts of Transitivity at the Clause Level**

The concept of “shift” in translation has been approached from a variety of perspectives since the 1950s. The most influential models are those proposed by Vinay and Darbelnet’s (1958/1995) comparative stylistic model, Catford’s (1965) linguistic model, Blum-Kulka’s (1986) discoursal model and van Leuven-Zwart’s (1989, 1990) model designed for the analysis of key concepts of delicate micro-level shifts in translation of the four shift analysis models, it is worth noting that Leuven-Zwart’s is a combination of comparative and descriptive methods to apply to the translation studies of literary texts in attempting to uncover the evidence of the translator’s voice in comparing translations with their original. The STs and TTs may differ in many aspects and at different levels which may cause potential translation shifts. Van den Broeck (1986:41) classifies shifts into two types: (1) shifts in stylistic functional means, and (2) the shifts in rhetorical structures. In the first type of shifts, they consist mainly of the textual components which give the text “its global or super structure.” In fact, this so-called “global or super-structure” can be understood as the pragmatic and semiotic effect. In this research, I plan to follow Blum-Kulka, who defined shifts to be the deviations in the translation from the source texts, which “necessarily entails changes both at the textual and discoursal levels” (Blum-Kulka 1986:178).

In her very famous paper “Shifts of cohesion and coherence in translation”, Blum-Kulka concentrates her attention on the shifts at the levels of cohesion and coherence. Blum-Kulka hypothesizes that increased explicitation of cohesive links is the general strategy made use of by all translators. She shows how the modifications at the level cohesion may bring about functional shifts in texts. On the level of cohesion, the shifts of cohesive markers can affect translations in the directions of explicitness and text meanings (Blum-Kulka 1986[2000]:299), while on the level of coherence, she asserts that:

I agree with Edmondson who equates coherence with the text’s interpretability. In considering “shifts of coherence” through translation on

the most general level, I will be concerned with examining the possibility that the text may change or lose their meaning potential through translation. (Blum-Kulka 2000:304)

For this she gives an explanation of the concepts of coherence and cohesion in terms of the shifts in the translated text:

The search for coherence is a general principle in discourse interpretation. Coherence can be viewed as a covert potential meaning relationship among parts of a text, made overt by the reader through processes of interpretation. (Blum-Kulka 2000:298-99)

She further argues that the reader must be able to relate the text to “relevant and familiar worlds, either real or fictional” in order to realize the interpretation process.

From the comparative look at the above two scholars’ discussion of the concept of shifts, it can be said that van den Broeck’s stylistic functional means is generally equivalent to Blum-Kulka’s cohesion level, which is connected with the texture of a text. And the former’s rhetorical structure is equivalent to Blum-Kulka’s coherence level which is mainly concerned with the semantic and contextual aspects of the translational text. So we can basically conclude two types of translational shifts at the present stage:

- 1) The shifts at the level of texture, such as the transitivity, modality, etc.
- 2) The shifts at the levels of semantics, pragmatics and semiotics (the three types of meanings expressed and the pragma-semiotic effect conveyed through 1) in a particular context.

Blum-Kulka identified three types of translation shifts at the level of the texture, which are caused by:

- a. The obligatory differences between SL and TL systems;

- b. Different stylistic preferences between the SL and the TL;
- c. The translation process *per se*.

(Blum-Kulka 1986:18)

The three shifts can be respectively termed obligatory, stylistic preferences and process-related categories, for the sake of clarity. In light of the three differences, Blum-Kulka argues that only the latter two types of shifts which can be called “optional shifts” are worth being investigated, because they “can be legitimately used as evidence for showing certain trends in shifts of cohesion through translation” (Blum-Kulka 2000:312).

For the first, texts are assumed to cohere with its subject matter, with its genre conventions or with any possible world evoked or presupposed by the text. Thus for the reader, the text is “a coherent discourse if he can apply relevant schemas to draw the necessary inferences for the understanding the letter as well as the spirit of the text” (Blum-Kulka 2000:304). In this sense, the shift of coherence is the change in translation caused by the “switching between the audience” (ibid.:304), while the text-focused shifts are those,

[that] often occur as a result of particular choices made by a specific translator, choices that indicate a lack of awareness on the translator’s part of the SL text’s meaning potential. (Blum-Kulka 2000:309)

It can be seen here that the *text-focused shifts* can occur partly due to the linguistic differences. However, just as Blum-Kulka correctly predicts, the most serious shifts that occur are mainly due to the fact that the translator failed to realize the functions of “a particular linguistic system, or a particular form in conveying the ‘indirect meaning’ in a given text”.

For the *reader-focused shifts* of coherence, they are often related to the prevailing normative system in which the translator works, and are thus very complicated to measure. Thus in this translation data set, it is found that the shifts largely belong

to the second type of shifts, text-focused. Both the original text and the target text serve similar functions respectively in their own cultures, that is, to serve as a magical dream fantasy which is aimed at child readers, they both are recreational and entertaining as literary genre. In such a sense, both the ST and the TT are given the same status in the comparison, which confirms the belief that most shifts investigated in this research “indicate a lack of awareness on the translator’s part”, and are “optional” and thus significant to reveal the ideological meanings underlying the transitivity patterning in the texts.

This chapter is a quantitative study which demonstrates the different shifts that occur at the clause level in the translational texts. The purpose is to find out the optional translation shifts in Blum-Kulka’s terms and reveal their effects on the characterization of the protagonist Alice in the translation at a global level. However, the pragma-semiotic effect may defy quantitative methods of analysis from the text-focused perspective. So following this chapter, there will also be a qualitative investigation of these shifts.

### *1 Types of transitivity shifts in the translation*

The constructed analytic model and the discussion of shifts at different levels have led to the classifications of the following types of shifts. Because the shifts often result from particular choices made by the translator, they, to a great extent, can demonstrate the translator’s lack of awareness of the meaning potential of the ST. In each type of the shifts, the contrastive analysis of the examples will be carried out at the clause levels. The number of the shifts in the translation comes to a total of 522, whose broad categories of shifts that are identified at the clause level can be listed as follows:

- *Expansion*: there is no relevant process in the ST, but there are “corresponding ones” added in the TT; or in another case, there is one process in the ST, but this process is expanded into two or more in the TT.

(1.1)

-- *Contraction*: there are processes in the ST, but no processes in the TT. (1.2)

-- *Dematerialization*: the material processes in the ST are rendered as processes of other types, such as mental processes, or verbal, or whatever otherwise. (1.3)

-- *Materialization*: this type of shifts is quite opposite to those of dematerialization in that the ST non-material processes are rendered as material processes in the TT. (1.4)

-- *Mentalization*: the non-mental processes in the ST are converted into other different types of processes in the TT, this is a process of adding mental processes to the TT which may render the protagonist passive in the context. (1.5)

-- *Dementalization*: the mental processes in the ST are converted into material processes or those of other types in the TT. (1.6)

-- *DT* (shortened for *Different types of material processes between the ST and TT*) shifts: this is a significant type of shifts that may impact the characterization of the protagonist because these shifts appear inside the material processes themselves, that is, they belong to the same material category, but they are different material processes in the ST and TT at more delicate levels (other than shifts identified in 1.2 and 1.3). (1.7)

So a diagram can be formed by summarizing the above types of shifts in order to have a characterization of protagonist in the fiction and the translation.

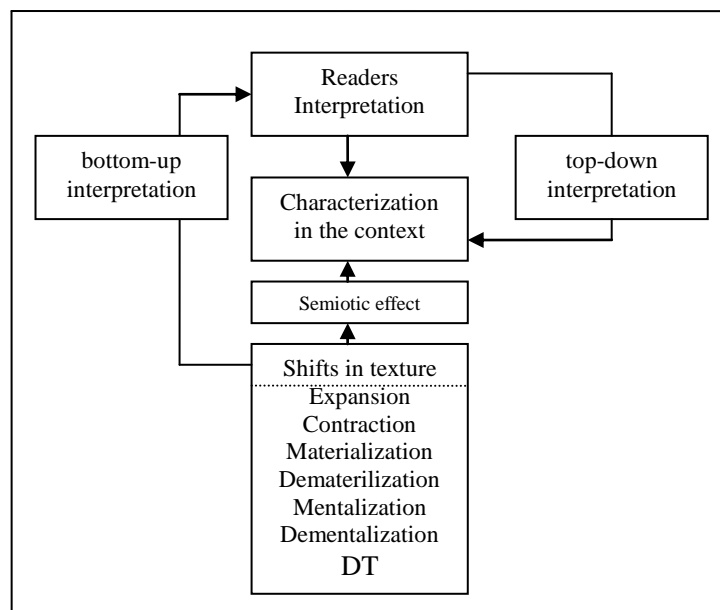


Figure 5.1 Process of Readers' interpretation of the protagonist in terms of shifts in translation

In the following space, I will address the issue of the possible shifts at the level of transitivity according to their prominent features. It means that their classification is based on their most relevant distinctions even if the ST may differ from the TT in a number of ways. For example, the shifts and the ST and the TT concerning causation are very different in terms of other characteristics as well but these differences are not recorded. This recording will highlight these differences according to the functions they have in the original text. The effects caused by the divergences in the translations will be discussed in the next chapter.

### *1.1 Expansion*

There are altogether 206 instances of this type of shifts that have been recorded in this data set. The collected data show that there are many instances in which no processes in the ST are expanded into processes in the TT; or one process into more than one process. This expansion at the transitivity level can surely affect the meaning of the pragma-semiotic level and change its interpretations.

Of the number of shifts, the kind of expansion instances come to a total of 145 instances in which there is no process (or which takes the form of prepositional phrases) in the ST, but there are ‘corresponding’ processes in the TT, those which may take the form in different types. The data contain 24 nominalizations rendered as processes and 37 instances in which circumstance prepositional phrases are rendered into processes in the Chinese TT.

LC1-07.1. (There was nothing so very interesting remarkable) in that [...]

C1-07.1. [就是]阿麗思看見一隻紅眼睛的兔子[也沒什麼大不了的]。

Back translation: that is Alice has seen a red-eyed rabbit [...]

LC1-18. [...] after it [...]

C1-18. [...]就緊追著那兔子。

Back translation: [...] she thus pursued the rabbit.

LC1-122. [...] at the thought...

C1-122. 她就想到...

Back translation: She thus thought of...

LC2-41. [...] her hands on her lap.

C2-41. (手)放在腿上。

Back translation: she put her hand on the legs.

LC2-102. with all her knowledge of history.

C2-102. 雖然阿麗思念過很多歷史。

Back translation: Although Alice has read a lot of history [...]

LC12-03. in a flurry of moment[...]

C12-03. 她慌張到(忘了剛才幾分鐘...)

Back translation: she was so nervous that [...]



The first example C1-07.1 shown above is transformed from the prepositional phrase “in that” which indicates the fact that Alice just saw the Rabbit running close by her in the co-text. And it is rendered into a mental process. The second instance C1-18 in which the circumstantial element *after it* is rendered into a material clause: Action: intentional, whose intentional action is reinforced again by the circumstantial element, that is, the use of 紧 (*jin* meaning *closely*). The instances C1-122 and C12-03 are also prepositional phrases, but are rendered into mental processes: cognition 她就想到 (she thus thought of...) and 她慌張到...(she was so nervous that...), though the latter is a relational process, but its semantic meaning may promote its dynamism on the part of the protagonist. In the instance C2-41 and C2-102, the circumstantial elements are also rendered into a material processes: actional: intentional. These expansions, to a certain extent, have reinforced the Alice’s dynamism as an active participant in the “sensing” and “doings”. The absence of processes in the ST may be filled in by all types of processes in the TT. Among the 165 instances of expansions, there are 145 cases in which there are not any processes in the ST, but there are “corresponding” processes in the TT. Of the 145 instances, 72 instances belong to the type of active action: intentional processes, while 2 are action: supervision processes; and 71 instances belong to the mental process types of shifts. In the next chapter the effects of these shifts on the characterization will be discussed at the qualitative level according to the three stages in which they have appeared.

As far as the very purpose of this research is concerned, the significant instances are those of added processes of action: intentional processes or event and mental processes, because these processes can indicate Alice’s participation in the events that happen in the wonderland story and function as an indicator of her dynamism of characterization. According to the analysis of the data, the main character Alice in the agent position is found to be more actively engaged in the TT events than their ST counterparts in the first stage of development of characterization (SCD1):

C1-80. She found herself in a long, low hall.

Chao. 她覺得自己走進了一個長而低的廳堂。

Back translation: She felt she has entered a long low hall.

C1-92. it would not open any of them.

Chao. 她一個也打不開。

Back translation: She could not open any of them.

In the first instance C1-80, the mental transactive is expanded into two processes: one is mental: perception process and the other is material action: intentional. The second instance C1-92 entails a shift of agent roles. In the ST, “it” refers to “the key”, which is an inanimate agent in the role status; while in the TT, this role is transformed into an animate one, which is Alice herself who carries out the intentional transactive action. While in the second stage of character development, Alice’s passiveness doesn’t seem to be relieved in the progress in the story development, although she becomes more dynamic than she was in the first stage, but not dynamic enough to reach the degree to be represented in the SCD3. A very apparent example is the action of Alice when she *nibbles* at the sides of the mushroom she obtained by following caterpillar’s advice. In the Seventh chapter, there is the very last mention of this *nibbling* action just before she entered the garden:

C7-93. Then she [...] nibbling at the mushroom. (98)

In order to form a contrast with its previous counterparts, the several “nibbling” actions will be listed as follows, with chapter number appearing in the brackets following each of the clauses in order to show the progressive development of the protagonist’s characterization:

C5-49. (She said to herself,) and nibbled a little of the right-hand bit. (chapter 5: 62)

C5-109. (she set to work very carefully,) nibbling first at one and then at the other. (chapter 5:66)

C5-122. so she began nibbling at the right-hand bit again [...]. (chapter 5: 66)

C6-134. [...] till she nibbled some more of the left-hand bit of mushroom [...]  
(chapter 6: 82)

C7-93. she set to work nibbling at the mushroom. (chapter 7: 98)

In order to show its clear development of the character's dynamism along the line of the story, the chapters and pages where these actions appear are provided here. From the contrasts, it can easily be found that Alice's dynamism is developed step by step to the point where in the seventh chapter (the very intermediate stage consisting of two chapters which connects the SCD1 with the SCD3) she just worked on "nibbling at the mushroom" which indicates her more dynamic activity by reducing distance between the action "nibbling" and the affected goal "the mushroom" right on the temporal point of entering the garden. However, this particularity of increasing dynamism seems to have been ignored in the translation, here in the following is Chao's translation:

Chao. 她又咬了一點右手裡的蘑菇。(Chapter 7: 99)

Back-translation: she nibbled a little bit of the right-hand mushroom.

By having more words "inserted" between the action and *affected goal*, plus a prepositional extension, Alice's action still remains difficult all the same as before when she just received the magic mushroom by following the Caterpillar's advice. Of course, this lack of awareness of the dynamism change can also be reflected in the translations of the third SCD, in which Alice is more active especially in the last chapter than she was in the previous chapters. Generally speaking, due to the similarity of transitivity structures between English and Chinese, problems seldom arise in this aspect, because in this stage Alice is appearing in capacity of the actor/agent and specifically as an agent, and her action extends to another participant. In other words, she can act on something else, or something animate except *herself*, which is a very significant change different from those in the first two stages of character development. However, some obvious shifts concerning

agents can still be detected:

C12-05. [...] She tipped over the jury-box with the edge of her skirt. (Chapter 12: 160)

Chao. 她的裙子邊帶翻了陪審團座廂。

Back translation: The edge of her skirt turned over the jury-box.

This instance entails a change of agent from “she” (indicating Alice) to “the edge of her skirt”, which makes the original material: action: intention process into supervision event process. As a result, the dynamism was reduced very much on the part of Alice. This change of agent actually reflects the translator’s unconsciousness of Alice’s highest dynamism culminating in the third SCD, esp. the last chapter of which is the climax of the whole fantasy story.

In addition to the 182 expansion shifts from no process and prepositional phrases in the translation, it is also found that there are still 24 English ST nominalizations which are converted into processes in the TT. The concept of “nominalization” itself is a nominalization, which is often typically used in imprecise ways that conceal the underlying processes. This we have discussed in the Chapter Three, section 1.1. Here the nominalizations are listed as an exception since they stand between processes and *no processes* for the deletion of agency and actions. However, they presuppose in some way that these processes exist because they are derived from processes. According to Hodge and Kress (1993:56-60), there are four basic types of nominalizations that are derived from material, mental, verbal, relational, and existential processes. The duality has been emphasized for the ideological significance they carry. Birch, for example, emphasizes that:

A nominalization is a phrase that functions like a single noun but relies for its meaning on a verbal process of some description. The point of a nominalization is that it leaves these questions unanswered – the agents of the actions and those affected are often hidden from view – and therefore requires inferences to be made as to identities. (1989: 160)

So it can be seen that nominalizations occupy a central position in the continuum between process and *no process* when its role is taken into consideration in the construction of Alice's characterization in the dream fantasy, such features they have in concealing processes are particularly highlighted. Consequently, their static features (of no processes) become apparent when they are set against the more explicitly active material processes. Here in the following are some examples from the first stage of characterization development (SCD1) of the ST.

C1-122. (Her face brightened up) at the thought.

Chao. (她臉上登時現出喜色)她就想到[...]

Back translation: (Her face produced a delightful color) she instantly thought of [...].

C2-69. [...] to find herself still in existence.

Chao. [...] 看到自己還好好地站在那裡。

Back-translation: [...] to find herself standing there safe and sound.

C4-05. since her swim.

Chao. 自從她在河裡游水之後。

Back translation: Since she swam about in the pool [...]

In the instance C1-22, the prepositional phrase *at the thought* contains nominalization, which is rendered as mental process. Thus the underlying process is transformed into an explicit one which may increase the protagonist's mental processing ability in the context. In the instance C2-69, the ST nominalization *existence* has a particular feature of an existential process on the one hand, and it also has the features of a static noun which indicates Alice's passiveness and inability in the surroundings on the other hand. This status is changed to be active when the nominalization is rendered as a material intentional process "standing there". This effect is even more obvious when the

word *swim* used as a noun in the original but is rendered as an actional verb in the TT. From the comparison between the original and translation, it can be easily seen that the use of these nominalizations is very prominent for the effect it creates in deleting the degree of kinesis, agency and causality.

So far, all the general expansions have been reviewed in this section: the expansions from no processes, from the prepositional phrases (short for prep.) and from nominalizations (nominal.), respectively. The following table can represent their respective sources:

<b>Expansion from</b>	<b>no process</b>	<b>prep.</b>	<b>nominal.</b>	<b>Total</b>
No. of shifts	145	37	24	206

Table 5.1 Three sources of expansion shifts

<b>no process to</b>	<b>material process</b>	<b>mental process</b>	<b>others</b>
No. of shifts	56	58	31

Table 5.2 Expanded processes from no process

<b>Prep. phrases to</b>	<b>material process</b>	<b>mental process</b>	<b>others</b>
No. of shifts	14	7	16

Table 5.3 Expanded processes from prepositional phrases

<b>Nominal. to</b>	<b>material process</b>	<b>mental process</b>	<b>others</b>
No. of shifts	17	4	3

Table 5.4 Expanded processes from nominalizations

Of course, if we want to investigate how these expansions can affect the eventual characterization in one way or another in the translation, we have to look at further what types of processes they have been expanded into from these

non-process types. In other words, how these shifted processes can affect the characterization has to be under the focus of our study. As shown above, the tables 5.2, 5.3 and 5.4 function as supplementary figures of the Table 5.1, which summarizes and actually provides an analysis for all the expansions from the ST *no process*, *prepositional phrases* and *nominalizations*. As shown by the figures in the tables, the expansions are mainly into material and mental processes which may have strong tendency to distort the characterization in the ST.

### 1.2 Contraction

In the last section, the expansion has been discussed, in which processes can be expanded from no processes or circumstantial elements in the ST. These added processes may have reinforced the fluency of the reading of the translation but undoubtedly have resulted in some damages to the representation of the author's poetic purposes, that is, to represent Alice's characterization along a cline of dynamic development from a completely passive status through relatively active to a completely active and interactive stage in the dreamland world. Contrary to the *expansions*, some clauses in ST English original are omitted or deleted in the TT for different purposes on the part of the translator. This may take the form where the original clause is omitted or is just contracted into a word or phrase. In this sense, contraction in the translation corpus consists of 76 instance shifts, which may serve to demonstrate the pragmatic and semiotic nuances that are conveyed by the ST.

C1-24. [...] that Alice had not a moment to think (about)[...]

Chao. 阿麗思都沒來得及想[...]

Back translation: Alice could not be able to think in time about [...]

C1-11. [...] it occurred to her that she ought to have wondered at this.

Chao. [...] 這是應當詫異的事情。

Back translation: This should be a surprising thing.

C1-48. [...] so managed to put it into one of the cupboards.

Chao. [...] 她巧巧地把它放了進去。

Back translation: She skillfully put it into it (the cupboard).

The above three instances are all *contractions*. The instance C1-24 contains two clauses, a relational and a mental process, but it has been converted into a mental process because 來得及 (*laideji*/be in time) in Chinese is usually assumed to be an adverb. In the instance C1-48, the process “managed to” is omitted. By linking it to the context in which Alice was falling down the hole while she still had time to manage to put a bottle into the cupboards, this process is there to help to represent magical and mysterious aspect of the dream fantasy story. In the instance C1-11, the process “it occurred to her” is actually connected with Alice’s passiveness in the situation: she even could not think freely, but in the way in which *it* simply “occurred to her”, this passiveness is not alone in the aspect of mental processes. Very close to this process there is another metaphorical mental process

C1-14. [...] it flashed across her mind [...]

This is a non-transactive which thus echoed Alice’s mental passiveness in the context, where she could not even think freely, and she had no choice but only to accept everything passively. This kind of contraction can also be seen from the particular direct deletion of the ST processes which may serve to highlight Alice’s passiveness and inability to enact upon her surroundings around herself; here are two examples from the first SCD in which she found she was falling along the seemingly deep well:

C1-28. [...] she found herself [falling down...]

Chao. [...] 往一個很深的井裡[掉了下去...]

Back translation: [...] down a very deep well [(she) fell].



C3-07: Alice kept her eyes anxiously focused on it.

Chao. 阿麗思恭恭敬敬地瞅著它。

Back translation: Alice very respectfully watched it.

In the C1-28, the mental process representing Alice's passive status is deleted in the TT for the sake of fluency or smoothness of the text. Together with this omission, the passive *senser* and the process which accompanies the dreamy atmosphere are also deleted. So Alice's inability to enact upon her soundings is nowhere to be represented in the co-text in the translation and thus the effect they are intended to create is also eliminated altogether. In the instance C3-07, the material process "Alice kept her eyes" is also omitted in the TT. Although this is a material action intentional process in which Alice acts as agent, the goal of the process is her body parts (*eyes*), which means the scope of the goals Alice can enact upon is quite limited. She actually has nothing to enact upon but herself or her own body parts. This is a case in point that Alice was *enacting upon her eyes* in the original, but nothing else. Interestingly, while the first material process was deleted, and the second was rendered as a mental process which is non-transactive of strong intentional nature.

### 1.3 Dematerialization

Converting the ST material processes into other types of processes, such as mental, relational and behavioral processes, or even no processes, can be subsumed under this heading. In this sense, the conversion of material processes into other types is a process of eliminating actional nature of the process and can thus be called dematerialization, which is a very common kind of shift in the translational text. Dematerialization may be derived from ST processes which may take on various forms, such as actions or events, transactives or non-transactives, agent explicit or implicit, causative or non-causative, intention or supervision, etc. The dematerializations can reduce the semiotic influence and ideological meanings

they are designed to carry in regard to the construction of characterization in the ST. There are altogether 59 instance shifts under the heading of dematerialization.

The data set shows that there are 21 ST material processes in SCD1 (covering from Chapter one through Chapter 5) which are converted into various types of processes; while in the SCD2 (covering from chapter 6 through chapter 7), there are 7 material processes that are converted into other types; and in the SCD3 (covering from chapter 8 through chapter 12), there are 31 material processes into various types of processes. Here in the following a few instances are being presented here:

C1-144. [...] she could not possibly reach it.

Chao. 太矮了。

Back translation: Too short.

C1-27. (Alice hadn't a moment to think about) stopping herself.

Chao. (阿麗思跑得那麼急)連想停(都沒來得及想)。

Back translation: (Alice ran so fast that) she hadn't got a moment to think stopping.

C1-147. when she tired herself with trying [...].

Chao. [...] -- (no translation)

C3-06. She kept her eyes (anxiously focused on it).

Chao. -(阿麗思恭恭敬敬地瞅著它)。

Back translation: - (Alice very respectfully watched it).

C6-40. Alice quite jumped.

Chao. 阿麗思嚇了一跳。

Back translation: Alice was frightened.

C7-02. (when they saw) Alice coming. (Chapter 7: 2)

Chao. (他們看見) 阿麗思。

Back translation: (when they saw) Alice.

C8-07. She stood.

Chao. –(omitted).

C8-44. she was walking by the Rabbit.

Chao. – (omitted).

C11-10. but she had read about them in books.

Chao. 但她曾看見書裡講過。

Back translation: but she had never seen such a thing in the books.

C12-37. (she was not afraid of) interrupting him.

Chao. – (omitted).

It will be better to discuss these instances according to the SCDs in which they appear. In the SCD1 characterized by Alice's passive status, there are 21 material processes that are rendered into various types of processes, this is a relatively big number of the processes dematerialized. However, taking into the consideration the structure of the clauses, the processes mostly have no goals to enact upon or in some cases where they have goals but the goals are only confined to Alice *herself* or *her body parts*. Referring to the above cited instances, the first material clause C1-144 is dematerialized and converted into adjective phrase: 太矮了 (too short.), which turns out to be a rather static judgment made by the narrator rather than a “neutral” description of Alice's paralyzed state of inability to “reach” the key or get into the garden. The second clause C1-147 which describes Alice's weak and helpless situation was just omitted in the translation. It is a process of dematerialization in particular. In the instances C1-27 and C3-06 which still belong to the SCD1, Alice does really enact upon something,

but this very *something* is nothing else but her own body or her “eyes”. In the SCD2, Alice’s dynamism is relatively stronger than it was in the SCD1. In the two instances C6-40 and C7-02, it can be seen that the dynamism is promoted by the use of material action intentional processes. The instance C6-40 was rendered into a relational process. In C7-02, it can be seen that the clause “Alice coming” is omitted in the translation. Taking into account the fact that it occurs in the seventh chapter where Alice is on the point of going into the garden. At this point of time, she was becoming relatively more active and dynamic than she had been in the previous chapters. In the instances C8-07 and C8-44, this dynamism is maintained and becoming even stronger in C11-10 when Alice “read about them” in which Alice began to enact upon “them” which is inanimate and in C12-37, Alice’s dynamism reaches a high climactic point where Alice has affected the animate entities when she had the strongest dynamism on the dynamism scale in terms of Hasan’s (1985: 46) scale of dynamism theory.

Moreover, her dynamic activity and strong engagement are also detected from the perspective of other “people” (animals) in the story, which makes her relative dynamism more significant in relation to the context. However, this material was omitted in the translation since this omission has avoided any mention of the explicit or implicit agency. It also eliminates the active, kinesis connotations of material processes. As a result, it is not hard to imagine what effect will be caused if such material processes are dematerialized in the SCD3 where Alice becomes more and more active to the extent she can ultimately control the whole situation at last in the last chapter.

The translational text also contains 4 instances in which the metaphorical mental processes (which appear in the form of material processes) are conveyed as TT mental processes. The use of “*run*” in the following ST clause is different from the TT text:

C7-38. A bright idea came into Alice’s head.

Chao. (阿麗思)想到一個聰明的主意。

Back translation: [Alice] thought of a good idea.

C12-13. [...] the accident of the goldfish kept running in her head [...]

Chao. [...] 她總想到那金魚缸的事。

Back translation: she always thought of the goldfish tank accident.

In the instance C7-38, “a bright idea came into Alice’s head” and in the instance C12-13, the idea of goldfish can keep running in her head. It is worth noting that this type of processes does not appear in the SCD1, but in the SCD2 and 3. This difference is significant in that Alice at these latter two stages is not as passive as she was in the SCD1 any longer but rather more active and interactive. In the first SCD, she can only and generally react to the surroundings; while in the second and third SCDs, she can begin to accept the things and the things can keep “running in her head”. This shows her increasingly active interaction with her environment.

It is also observed that there are 39 material processes which are translated respectively into relational processes (8 instances), mental processes (19 instances), verbal processes (8 instances) and behavioral processes (4 instances):

C1-112. Alice was not going to do that in a hurry.

Chao. 阿麗思絕不會這麼冒失。

Back translation: Alice would never be so rash.

C2-98. she had never done such a thing before.

Chao. 她從來沒對老鼠說過話。

Back translation: She had never spoken to a mouse.

C6-51. while she was trying to fix on one.

Chao. 她正在想著。

Back translation: while she was thinking [...]

C8-56. she succeeded in (getting her body tucked away).

Chao. 她想法子 (把它的身體夾在她膀子底下)。

Back translation: She thought of some ways (to get her body tucked under her arms).

The clauses cited above are ones of the instances that are material: intentional: transactive in the first SCD, which is designed to describe Alice's realistic aspect in the absurd dreamland, although this realism always comes to be ridiculed at last. So the conversion of material processes into relational processes renders TT processes more static or abstract than its counterparts in the ST. Although the instance C1-112 was material: action: intentional process on the part of Alice, it is an action which is negated and never enacted upon. When it is rendered into a relational process “阿麗思絕不會這麼冒失”, it becomes a rational judgment which emphasizes Alice's rationality in the context. This is obviously contradictory to the descriptions from perspective of the original author. This kind of analysis also applies to the instance C2-98 where the action is also negated and never enacted upon. The instances C6-51 and C8-56 are both rendered into mental processes, which to a certain extent reduces the dynamism of the protagonist just recovering from her passive situation.

In addition, there are some metaphorical mental processes in the ST, which take the form of material processes. That means, when these processes appear, they may convey a kind rigid, mechanical, unnatural and passive status of the protagonist. In the TT, these material processes can also be dematerialized by being replaced by mental processes. Here are two instances example from the SCD1:

C1-162. Soon her eye fell on a little glass box that [...]

Chao. 不一會兒她又看見桌子底下[...]

Back translation: Soon she found again under the [...]

C3-06. Alice kept her eyes her eyes anxiously focused on it.

Chao. 阿麗思恭恭敬敬地瞅著它。

Back translation: Alice very respectfully watched it.

By transforming the metaphorical mental processes into a purely mental one, the translator also brings about the change of participant roles, that is, the agent “the eye” is changed into Alice who reacted to the phenomenon lying under the table. In the ST, “her eye” actually implies a participant without being explicitly specified. This process seems more material than mental and it denotes parts of human being rather than denoting the intending human being as a whole. In the instance C3-06, Alice seems to have affected something in this context, but the *entity* she is affecting is “her eyes”, that is her own body parts, nothing else. So rendering “her eyes focused on it” into a purely mental process may lead to the similar result to the translation of the C1-162. In this sense, the kind of passiveness and inability on the part of Alice stands out in the ST context. However, this layer of meaning is eliminated in the translation.

#### *1.4 Materialization*

Different types of processes, such as the mental, relational, existential and verbal processes, even along with the nominalizations, can be rendered into material processes and thus be materialized in the TT. According to the observations of the corpus, the TT material processes may take on different forms, such as action or event, transactive or non-transactive, causative or non-causative, etc., in these cases, materialization is used to replace the ST non-material processes or even nominalizations for the sake of a better readability on the part of the audience. The number of materializations comes to a total of 63 in this section.

In the corpus, Mental processes are used to represent Alice’s passive status,

especially in the SCD1 and SCD2, although the non-transactive mental processes are used sometimes to indicate certain increase of dynamism on the part of Alice in the SCD2 and SCD3; while material processes are used to represent her dynamism, especially when these processes take the form of action: intention: transactives. It is observed that there are 6 instances in which mental processes are converted into material ones.

C1-131. She tried to fancy what the flame of a candle looks like.

Chao. 她就模仿一個吹滅了蠟燭的樣子。

Back translation: She thus mimicked the appearance of a candle blown out.

C1-169. [...] to feel which way (it was going).

Chao. [...] 摸摸是向上還是向下。

Back translation: [...] to touch (her head) whether it is upward or downward.

C7-86. Once more she found herself in the long hall.

Chao. 一下子她又走進那間大廳裡。

Back translation: Suddenly she entered the big hall again.

In the first cited instance C1-131, the mental process “tried to fancy” is converted into a material process 模仿 (*Mofang*: mimic) which enables a mental process to take on some dynamic force on the part of Alice. While in the instance C1-169, it seems that the process “feel” and Chinese counterpart 摸摸 (*momo*) have the very similar meaning and are usually assumed to belong to the same process type. In fact, they don’t! 摸摸(*momo*) is different from “feel” in the ST clause in that it is a material process. With this conversion, Alice seems to be very conscious of her situation and in a sense can actively respond to the situation around her, which is actually not the case in the original, but the reverse is true. The third instance C7-86 is even more apparent that the dream-vision-like feeling Alice had



is that she suddenly “found herself in the long hall”. However, the materialization of this mental process renders this dream-vision-like effect completely destroyed in the TT.

The corpus contains 12 instances of shifts from the relational to material processes. It has been very clear that the relational clauses are often used to represent the static state of situations or the solid statements. When they are rendered into material processes, the function they have had may get lost in the ST. Here are some clauses in the following:

C1-78. She was close behind it.

Chao. 她已經追上得很近。

Back translation: she had chased the rabbit very closely.

C1-82. When Alice had been all the way down one side and up the other.

Chao. 阿麗思沿著一邊走下去，再沿著那邊走回來。

Back translation: Alice walked down one side and walked up back along another side.

In the instance C1-78, Alice was actually *running* after the Rabbit, but the author did not represent it as it has appeared. He used a relational process instead in the purpose of conveying Alice’s passiveness. She is *running*, but the action of running under the writer’s pen feels magic and very much blurred in the underground world from that in the real world. The second instance C1-82 actually contains two clauses in the TT, both of which are material processes with 走 (walk) as an intentional action, although the ST has been used to represent the magic and mysterious world in which Alice could not manipulate in any way.

There are also 9 instances of shifts that belong to nominalizations, but which are rendered into material processes in the TT. Of the 9 shifts, 5 cases are the nominalizations in the sense that they play a role of noun, and 4 cases are from

the so-called gerund, that is, by putting a suffix *-ing* to the end of a verb that plays the role of a noun. Here in the following, two instances are presented:

C2-102. with all her knowledge of history [...]

Chao. 阿麗思雖然念過許多歷史 [...]

Back translation: Although Alice has read a lot history [...]

C1-106. [...] in waiting by the little door [...]

Chao. [...] 等在小門那裡 [...]

Back translation: (Alice) waited at the little door.

C8-109. (in search of her hedgehog)

Chao. 去找她的刺猬。

Back translation: [...] looked for her hedgehog.

It can be clearly seen that the nominalizations are used here to promote the descriptions and characterization of Alice in the way of passiveness and inability. With the materializations in the translation, Alice becomes dynamically active and even her action becomes intentional and transactive in the sense “she read history” (她念過許多歷史). This conversion is very significant in that they increased the dynamism on the part of Alice, esp. in the SCD1, in which Alice had been intended to be quite in a contrary direction of character development. While in the instance C8-109, the nominalization *search* is rendered as a mental process 找 (*looked for*) in Chinese. If we remember Chapter 8 belongs to the SCD3, and from this very chapter, Alice’s dynamism is becoming increasingly stronger and her action begins to enact upon other things, even those animate things.

Of course, an obvious case in the materialization in that material processes may be produced out of no-processes. This means that there are non-processes (which may take the form of prepositional phrases or adverbs, or even the implications

inferred by the translator) in the original but these non-processes are rendered into material processes in the TT. This may belong to the type of expansion. But it will be expounded a little here due to its distortions of the ST semiotic effect. There are altogether 36 shifts in this respect from no-processes to material processes. Here are some examples from the translation:

C1-84. [...] (trying every door)

Chao. [...] (一個一個都試過來)一個都開不開。

Back translation: (trying every door)(Alice) could not open any of them.

C1-102. [...] (and wander about among those beds of bright flowers and those cool fountains).

Chao. [...] (走到那些鮮花和清泉里)玩。

Back translation: (She walked into those fresh flowers and clear fountains) to play.

C4-168. (as she leant against a buttercup) to rest herself and fanned herself.

Chao. (阿麗思靠著一株黃花菜)歇歇，拔了一根菜葉子，當扇子搧搧。

Back translation: (Alice leaned against a buttercup) to have a rest; she pulled out a vegetable leaf, and used it to fan herself.

What is significant in these three instances is that the material processes are not only out of non-processes, but also they are rendered as transactive: intentional actions, in which Alice's action has extended to the other participant in the process: *the door* in the C1-84. In the instance C1-102, the process, 玩(*to play*) is created to create fluency of the text on the translator's part which has largely increased the dynamism and intentionality of the character. In the instance C4-168, the translator added a material action: intentional: transactive: “拔了一根菜葉子” (*pulled a vegetable leaf*), which he might have inferred from the co-text “fanned herself”. This added materialization has a conspicuous effect to

Alice's dynamism increase especially when we take into consideration the SCD1 the protagonist stays in. In this very instance shift, Alice enacted an action which is very intentional on her part, "pulled a vegetable leaf", which she seldom did in comparison with her previous passive actions.

### *1.5 Mentalization*

The term "mentalization" is coined here after materialization in the sense that there are some shifts from non-mental processes into the mental processes. Due to the important role the mental processes play in constructing the characterization of the protagonist, it is very necessary to spare a section to discuss the changes and even distortions made to the mental processes in the translation. The non-mental processes may be of various types which may include verbal, relational, existential or even nominalizations or out of non-processes. The TT mental processes may take on the form of mental transactives or non-transactives. So in the case of mental transactives, mentalization can be used to highlight the sender's *reaction* and *perception*, while the non-transactive mental processes are used to emphasize the fact of action by blurring the causal processes. Perception represented via the non-transactive mental processes is characteristically viewed as a more active purposeful process on the part of the perceiver than via the patientive transactive mental processes. However, in the patientive transactive mental process, the perceiver's reaction relies on the object of perception, while in the non-transactive it does not. It is observed that there are 91 instances of shifts under the heading of mentalization.

The corpus records 14 instances of shifts from relational processes to the mental processes, of the 14 instances, 5 of them are from the SCD1, 2 from the SCD2, while 6 (metaphorical mental processes) from the SCD3. These processes mostly focus on the protagonist's passiveness and inability, or they can be used to highlight the established facts, for which the relational processes are used to reinforce such functions:

C1-57. she was rather glad [...]

Chao. 她這回倒覺得 [...]

Back translation: This time she actually feels [...]

C1-64. And Alice began to get rather sleepy.

Chao. 阿麗思覺得睏得慌了。

Back translation: Alice feels very sleepy.

As can be seen from the above two instances, the relatively static relational process is converted into mental processes indicating Alice's perception and are thus characterized to be "more active and purposeful" on the part of Alice in the TT, though it is not the case in the ST. Very contradictorily, Alice's mental processing abilities seem to be suppressed from the author's using metaphorical processes in the material forms in the SCD1. The conversion of the static relational processes into mental ones has, to a certain extent, pointed at the protagonist's increasingly stronger engagement in her surroundings and highlighted her dynamism.

In some cases, the mentalization may be derived from material processes. This corpus contains 22 instances of shifts from material processes, 7 of which belong to the metaphorical forms:

C1-90. She came upon a three-legged table.

Chao. 她發現一隻三腳的桌子。

Back translation: She found a three-legged table.

C1-162. Soon her eye fell on a little glass box that ...

Chao. 不一會兒她又看見桌子底下放著一個小玻璃盒子。

Back translation: In another moment she saw again a glass box that [...]

C4-118. A bright idea came into her head.

Chao. [她]想到一個聰明的意思。

Back translation: [she] thought of a clever idea.

C12-12. the accident of the goldfish kept running in her head [...]

Chao. 她總想到那回金魚缸出的事。

Back translation: She always thought of the thing of goldfish tank.

C8-56. she succeeded (in getting her body tucked away).

Chao. 她想法子(把它的身體夾在她膀子底下)。

Back translation: She thought of ways (to get her body tucked under her arms).

C11-01. when they (referring to Alice and the Gryphon) arrived [...]

Chao. (她)就看見 [...]

Back translation: (She) thus saw [...]

C11-10. but she had read about them in books.

Chao. 但她曾經看見書里講過。

Back translation: but she saw them discussed in books.

In the above seven instances, the first 4 ST clauses: C1-90, C1-162, C4-118 and C12-12, are more like material clauses although they can be claimed to be mental ones. These processes themselves may draw the attention of the audience to the representation of such an experiential meaning instead of their counterparts in the TT. For example, in the instance C1-90, the use of “came upon” highlighted the contingency of Alice’s *seeing* the three-legged table, when it is rendered as a pure mental process, the dynamism is increased to some extent on the part of the protagonist. So when all of the above clauses are rendered into the mental counterparts in the TT, regardless of the particular functions they carried in the different SCDs, the poetic purposes to characterize the protagonist on the part of

the author have been damaged to some extent. These mentalizations in the SCD1 have actually increased Alice's dynamism in the TT, while in the SCD3, they decreased the dynamism in some way.

The corpus also contains 9 instances of shifts from the nominalizations to mental processes. This, of course, can bring about a result that the obscured causal relations and implicit participant roles inherent in the original language structures come to the surface structure of the clauses in the TT.

C4-147. at the thought [that...].

Chao. 她總覺得 [...]

Back translation: she always felt [...]

C5-60. [...] and in another moment it was out of sight.

Chao. (阿麗思)一會兒便看不見他了。

Back translation: In another moment, (Alice) did not see him any longer.

C10-26. [...] whose thoughts were still running on the song.

Chao. 阿麗思心上還惦記著那首歌。

Back translation: Alice still remembered the song on her mind.

C12-122. [...] at the thought [...]

Chao. 她就想到 [...]

Back translation: She instantly thought [...]

By bringing participant roles to the surface of the clauses, the causal relations are also made explicit. It not only decreases the magic and mysterious atmosphere that is intended to create by the original author in the ST, but also increases Alice's dynamic perception in the TT.

A very conspicuous phenomenon of mentalization is that there are still some instances of shifts in which the mental processes are derived from the

no-processes in the ST. There are altogether 46 instances of this type of shifts, which is a relatively larger number of shifts in the category of mentalizations. These added mental processes may have been used by the translator to promote the readability of the TT, but unconsciously promote Alice's perceiving abilities in the TT as an active and purposeful mental process may have increased in the SCD1 and SCD2, while in the SCD3 this dynamism is reduced to a certain degree as a result of this transformation of nominalizations into mental processes.

C1-12. [...] (she ought to have wondered at) [...]

Chao. [...] (她才覺得這是應當差異的)阿麗思想到。

Back translation: (she finally felt this should be wondered at) Alice thought.

C1-131. (She tried to fancy) [...]

Chao. (她就模擬吹滅了蠟燭的樣子)想了半天。

Back translation: (She thus mimicked a gesture of blowing a candle out) She thought for quite a while.

C3-16. (said Alice) [--]

Chao. (阿麗思愁聲答道)阿麗思看那渡渡鳥（停了半天）。

Back translation: Alice saw (that the Dodo stopped for a while).

C7-12. [--]

Chao. 阿麗思聽了。

Back translation: When Alice heard this [...]

C10-47. (she sat down again, with her face in her hands)

Chao. (她坐下來，用手捂了臉)心上想。

Back translation: (She sat down, used her hands to cover her face) thought on her mind.



As discussed in this section, this kind of shifts takes up a proportionally larger number, which can support in part the assumption that Alice's dynamism is unreasonably made explicit in the TT in the first two stages of her character development. However, when mental processes are derived from the no process or something implicated from the original context, their implicature for the characterization in the TT may be detrimental especially when this appears in the SCD3.

### *1.6 Dementalization (to other processes)*

As a functioning device to the binary opposition of materialization vs dematerialization, accompanying the processes of mentalization is its opposite form, dementalization. Dementalization is also a very common shift that can be observed in the translation data set. It involves the ST processes being rendered in the TT as a group of non-mental processes which may include verbal, material and relational processes. There are altogether 32 shifts that belong to the type of dementalizations.

These mental processes in their transactive forms may reinforce the passive and ineffective status on the part of Alice, while those non-transactives, along with the perception represented through the non-transactive processes may be used to reinforce the active and purposeful status of the protagonist. In the translational corpus, there are 5 ST mental processes which are converted into verbal processes:

C1-35. [...] and wonder (what was going to happen next).

Chao. [...] 還自己問問 ( “等一會兒又有什麼來了...” )

Back translation: (she) herself still asked (“what will happen next...”)

C1-161. (“But it is no use now”) thought poor Alice.

Chao. (“但是現在還裝什麼兩個人呢？”)阿麗思道。

Back translation: (“But why to pretend to be two people now?”) Alice said.

Both the above ST clauses are from the first chapter where Alice were just falling down into the Rabbit hole, where everything remains magic and mysterious around Alice, who seems to have only the ability of thinking or wondering and reacted passively to the events that happened around her. As has demonstrated in the previous discussion, even her mental processing abilities are limited in one way or another as we can see these processes are often represented through the rigid and mechanical mental processes in the form of material clauses. According to Hasan’s (1985) scale of dynamism theory, the *sayer* of verbal process has more dynamism than the *senser* of the mental process. The dementalization into the verbal process in this way increased Alice’s reacting and perceiving abilities in the SCD1, where she was intended to remain passive.

As has been observed in the translation corpus, there are 3 instances of shifts in which the mental processes are rendered into relational processes:

C1-117. [...] and finding it very nice.

Chao. [...] 那味兒很好吃。

C8-54. the Chief difficulty Alice found [...]

Chao. 阿麗思最困難的地方是[...]

It is assumed that rendering a mental process into relational can decrease the protagonist’s dynamism. However, in the instance C1-117, when the mental process is rendered in such a manner, it reflects Alice’s reacting mental processing ability. Although it is a relational process, it is a judgment made from the point of view of Alice and can be assumed to be equivalent to the original. While in the instance C8-54 where Alice has been expected to be more active than she was in the SCD1, rendering the mental process into relational one decreased her dynamism in the context.

And also there are 24 cases where mental processes are transformed into

*no-process*, that is, they are just omitted in the TT. Of the 21 instance shifts, 16 shifts belong to the SCD1, 4 instances belong the SCD2, while 4 instances belong to SCD3. Of the 4 instance shifts from SCD3, 3 are out of Chapter eight, the very beginning of the SCD3, and 1 shift out of the Chapter 12, the climactic point of Alice's dynamism. As can be seen from this comparison the dementalizations in the different stages, most of the dementalizations take place in the SCD1, 16 out of 24 (accounting for 66.7%) of all the dementalization shifts. Very interestingly, the only shift of mental process appearing in the last chapter is mental non-transactive, see the following instance C12-26, which, however, is just omitted in the translation. Here in the following are two examples:

C1-28. [...] she found herself (falling ...).

Chao. [...]掉了下去。

Back translation: [...] fell down.

C1-143. she found (she could not .. reach it).

Chao. -- (太矮了)。

Back translation: -- (too short).

C4-37. She found (her head pressing against the ceiling).

Chao. 頭已經頂到天花板了。

Back translation: The head has already pressed against the ceiling.

C12-26. (she was near enough) to look over their slates.

Chao. (--)她站的夠近。

Back translation: she stood close enough.

It is particularly significant here that these omissions take place along with avoidance of mentioning any explicit or implicit reference to the sensor, though

these processes may be used to represent their passive or active status in the ST. As a result, it can be safely concluded that the conversion of mental processes into other types of processes may cause the loss of the effect intended by the author in the ST.

On the basis of the foregoing discussions of transitivity shifts at the clause level, a general overview can be established in order to gain an understanding of the reasons for the translators' optional choices made during the process of translating, because this general overview of the shifts is very significant in order to draw conclusions from the comparative data analysis. The following tables and figures (containing the statistical data) are established in terms of the shift types in comparison with the source text. The data in the following table is mainly based upon the categories of shifts which include Expansion (1.1), Contraction (1.2), Dematerialization (1.3), materialization (1.4), Mentalization (1.5) and Dementalization (1.6). There are some processes which belong to the same general process type but turn out to be different at more delicate levels. This I will term as *Non-corresponding types of processes* (NT) between the ST and TT (1.7), which will be discussed following this present section.

Process	1.1	1.2	1.3	1.4	1.5	1.6	1.7	Total
No.	206	76	59	63	91	32	70	597
P. %	34.5%	12.7%	9.9%	10.6%	15.2%	5.4%	11.7%	100%

Table 5.5 Table of general shift categories

If taking the shifts directly related to the material and mental processes into the picture, we can get the following data, which can be significant to the characterization of Alice (Figure 5.6):

	<b>Material</b>	<b>Mental</b>	<b>Total</b>
sections	1.1*+(1.3+1.4+1.7)	1.1*+(1.5+1.6)	--
No.	82+192=274	69+123=192	466
P.%	59%	41%	100%

Table 5.6 Shifts involving material and mental processes

The two tables 5.5 and 5.6 have demonstrated the total number of shifts in each category along with their corresponding percentages. It can be clearly seen that material and mental shifts occupy a dominant position among all shift types. This will definitely affect the eventual characterization of the protagonist in the translation. In order to give a vivid description visually of the shifts types in the translation corpus, the following figure 5.1 is to show their contrasts with each other.

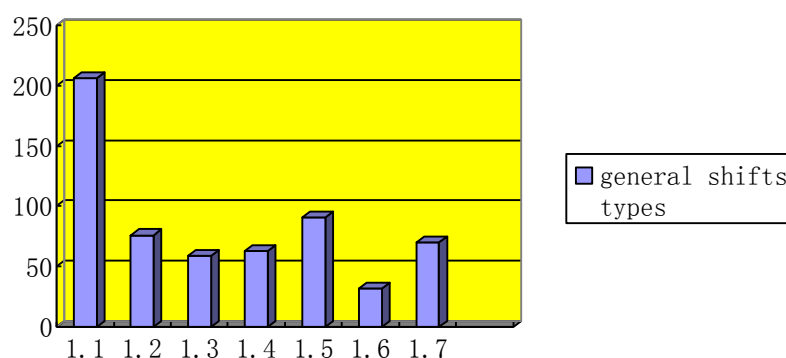


Figure 5.2 Contrastive overview of the shift types

As shown by the above figure, the seven types of shifts: the expansion, contraction, dematerialization, materialization, mentalization, dementalization and uncorresponding types of processes in ST and TT are shown here to form conspicuous contrasts. It is quite clear that among the different types of shifts, expansions occupy a dominant position. As discussed in chapter 5, section 1.1,

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\* here indicates only inclusion of the shifts in relation to the material process, which also applies to mental ones in the second column under the heading of mental.

this type of shifts is derived from *no processes*, *prepositional phrases* (or circumstantial elements) and *nominalizations*. The tables 5.2, 5.3 and 5.4 give a clear description of the details of the expansions into material and mental process types. Here in the following the expansions take the form of mainly two types of processes, the rest are expanded into other types of processes which are not taken into consideration in this research.

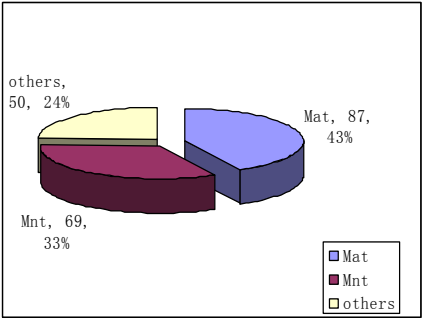


Figure 5.3 Distribution of material and mental processes in expansion shifts

It can be clearly seen that the material processes account for a relatively larger proportion (43%) of the expansions, which means Alice’s dynamism is increased by the translator because most of the shifts are detected in the SCD1 and SCD2, where Alice is poetically intended to be passive and impotent. Apparently, material and mental process-related shifts dominate among all shift types. If the Table 5.6 is represented by using the bars to display the contrast, it will be like the following one:

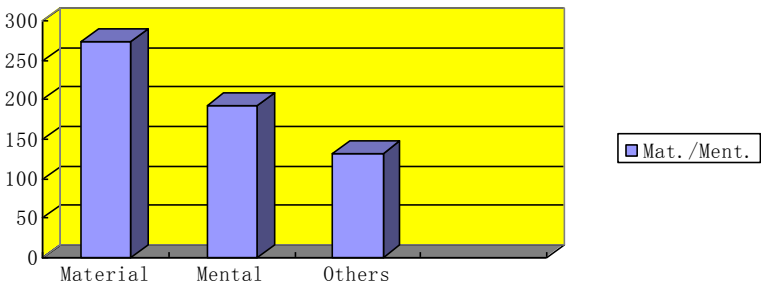


Figure 5.4 Contrastive overview of Material and Mental process-related shifts

As can be observed from the figure 5.2, the number of shifts related to material processes stands out particularly against the other three types of shifts: expansion, contraction and mental process-related shifts. The number of the latter type of shifts is very close to that of the expansion. All of which can constitute a safe conclusion that the ST transitivity system has been changed in some way by the shifts occurring in the TT. The outstanding number of the material process-related shifts indicates to a great degree that they play a very important role in the characterization of the protagonist Alice.

As a very important poetic writing strategy, mental process also play a complementary role in the construction of the protagonist. However, out of the 348 mental process shifts from the comparison of the ST with TT, 192 are observed to be shifted from the original, which is a very noticeable number in the shifts categories recorded. From the Figure 5.2, it can be seen the most shifts occur within the material processes or material-related processes, which, however, may play a vital role in and thus may distort the characterization of Alice in the ST when it is translated into the TT.

### *1.7 Non-corresponding types of processes in ST and TT (NT)*

A comparison of the overall shifts in the translation with their counterparts is a general principle in interpreting the discourse of characterization. In the comparison, the obvious shifts are those that are converted into other types of processes in the TT, such as material processes rendered as other types of processes in the TT, or mental processes into other processes, like a verbal process. However, the so-called non-corresponding types refer to those processes in the original which were rendered as processes of the same general types, but differ from their ST in some subtle aspects. The main difference between the ST and the TT can be found out in the participant roles, and in the nature of the

processes themselves and in the voice in which processes are presented to the audience.

There are many different types of shifts that can be identified in terms of the coupled pairs of processes that are connected through translation. The very definite classifications have been made in the previous sections. In the following, the main shifts will be presented to illustrate their differences.

### *1.7.1 Action vs Event*

#### *a) Action to Event*

Action material processes are different from the event material processes in that they have animate participant in the role of actor. Since the focus of this study is on the transitivity patterns of Alice, that is, the participant roles of the actor are usually occupied by Alice herself, there are fewer cases in which the actions will be rendered into event processes. If there are some cases in which action are rendered as events, especially in the SCD3, the semiotic effect caused will be very prominent in the aspect of reducing Alice's dynamism. And in other cases, Alice as a participant may be in the role of affected entity.

There are altogether 6 cases of shifts in which action processes are rendered as ones in the form of event ones, that is, the animate actor or agent is replaced by the inanimate object of the part of the body in the TT. Here are 3 instances from corpus:

C1-147. She tired herself out with trying.

Chao. 桌腿太滑了，爬不上去，弄得她精疲力盡。

Back translation: The table's leg is very slippery and difficult to climb up, which made her very tired.

C12-05. She tipped over the jury-box with the edge of her skirt.



Chao. 她的裙子邊帶翻了陪審團座廂。

Back translation: The edge of her skirt tipped over the jury-box.

C12-43. [She] tried to beat them off.

Chao. [...]兩隻手去要擋掉它們。

Back translation: [...] the two hands tried to block them.

In the above two instances, the animate participant in the role of actor / agent were rendered as events with the inanimate participants in the role of actor. The first instance C1-147 is from the first chapter where Alice remained very passive. This clause is a description of her enacting upon herself, but nothing else. In the translation, the inanimate actor in 桌子腿太滑了(The leg of the table is too slippery.) not only indicates the clear cause of Alice's tiring out, but also reduces the degree of her passiveness in the description. The second and third clauses, C12-05 and C12-43, are from the last chapter of AW, in which Alice had become so dynamically active that she herself has been able to enact upon other things round her, even on the animate beings. But the shift into an event process seems to have reduced this effect.

#### *b) Event to Action*

There are 4 cases of shifts in which events are rendered as action processes, by replacing the inanimate thing or a part of the body with the protagonist Alice at the position of actor. When this happens in the first two stages, esp. in the SCD1 where Alice is intended to passive and impotent, the effect of dynamism increase may be very prominent:

C1-92. [...] it would not open any of them.

Chao. 她一個也打不開。

Back translation: She cannot open any of them.

C4-76. Alice's elbow was pressed hard against it.

Chao. 阿麗思用胳膊肘子撐頂著。

Back translation: Alice used her elbow to press against it.

It can be seen from the instance C1-92 that *it* (indicating the *key*) is translated into an animate agent 她(*ta*, she), that is, Alice, the shift of which results in an action process from an event one. Although it is an action that is not realized, it is a transactive one, which, to some extent, signal some increase of dynamism on the part of Alice. In the second instance C4-76 that also occurs in the first SCD and which is representing Alice's passive status is rendered into an action with *Alice* as the agent of the process, which actually consists of two processes entailing strong actions: *used her elbow* and *press against it*, in the former of which *Alice* is the agent, while in the latter Alice is causer of the action *press*.

### 1.7.2 *Supervention to Intention*

There are not many instances of such shifts between intentional processes and superventional ones. Most of these shifts take place in the SCD1, where Alice remains in a status of being very passive and ineffective. The translational corpus also registers 4 cases of such shifts in which the ST supervention processes are converted into intention processes.

C1-50. [...] as she fell past it.

Chao. 等她再經過下一個柜口的時候。

Back translation: when she went by the next cupboard.

C12-45. (...found herself) lying on the bank.

Chao. (...睜眼看看)她睡在那河邊上。

Back translation: (She opened her eyes and looked around) she was sleeping on the bank.

As can be seen from the examples, the original author attributes a very passive, static role to the ST agentive participant in the above two instances. In the first instance C1-50 which is used to describe Alice's falling action in the SCD1, Alice has no ability to control her *falling* action: she could do nothing but just to *fall down*. In comparison with the translation, it is found that the Alice had the initiative in her action to *go by* the cupboard. In the second instance C12-45 from the third SCD where Alice woke up to find herself lying on the bank, which is undoubtedly a supervention, but was rendered by the translator as 她睡在那河邊上 (She was sleeping on the bank) which is very much tinged with intention on the part of Alice as the actor. In comparison with C1-50 from the SCD1, Alice's actions seemed to be reversed in the two stages, in the first of which while she was intended to be passive but was rendered as active, while in the second of which where she was intended to be active, but was rendered as passive in the TT.

### *1.7.3 Transactive vs Non-transactive*

The renditions of a transactive into a non-transactive and vice versa are very apparent cases of shifts that can change the characterization dramatically in some way or another, because the deletion of affected goals or not may indicate the status of the agent and the dynamism it entails.

#### *a) Non-transactive to transactive*

The translational corpus records 16 instances of shifts in which material non-transactives are rendered as transactives, which carry affected entities to the end of the processes. It is interesting that all the 14 instances are entailed in the first two SCDs, where Alice's dynamism is relatively much lower in comparison with that in the SCD3.

C1-01. [...] sitting by her sister on the bank.

Chao. 陪著她姊姊。

Back translation: [...] accompanied her elder sister.

C1-93. [...] nibbling at the mushroom.

Chao. 她又咬了一點右手裡的蘑菇。

Back translation: she again bit a little of the right-hand mushroom.

C5-18. Alice turned.

Chao. 阿麗思就掉過頭。

Back translation: Alice thus swiveled her head.

All the above three instances appear in the first and second SCDs, where the conversions of the non-transactives into transactives has undoubtedly increased the intensity of Alice's dynamism in expected way, for example, in the instance C1-01, when the non-transactive was rendered as transactive "accompanied her elder sister", the dynamism has been promoted very much on the part of the protagonist.

#### *b) Transactive to Non-transactive*

The translational corpus registers 6 shift instances that have their affected participant roles in the TT. Most of the shifts occur in the second and third SCDs.

C1-27. (Alice had not a moment to think about) stopping herself before [...]

Chao. [...]連想停(都沒來得及想)。

Back translation: [...] she didn't even think of stopping [...]

C7-61. Alice [...] took the place of [...]

Chao. 阿麗思挪到 (...)

Back translation: Alice moved to [...]

C7-81. as she picked her way through [...]

Chao. 阿麗思走上了林子的路上。

Back translation: Alice walked on the road in the wood.

C10-03. (Alice began to say [...] but) checked herself hastily.

Chao. 可是她連忙自己止住。

Back translation: but she herself paused hastily.

In the instance C1-27, Alice's passive status is indicated in the transactive process "stopping herself" which seems to be paradoxical because transactives are usually used to express the actor's strong engagement in the process. However, this is not the case when the actor can not enact upon other things but *her body* or *herself*. What's more, this is a process that does not realize its actions, that is, it is an ineffective action. There is a very interesting point in the instances C7-61 and C7-81, that is, both of which take the form of transactives, but are actually pseudo transactives in Hodge and Kress's (1993: 49) terms. These seeming pseudo transactives actually play an intermediate role in this transitional stage which bridges the SCD1 with SCD3. So here at this point in the second instance C7-61 in the ST, Alice, as the actor of the clause, has been demonstrated to be dynamic enough to "take the place of the March Hare" who just "moved into the Dormouse's place." In this intermediate stage, Alice has gained relatively strong dynamism through the accumulation in the first SCD and will gradually develop into a stronger position in the third stage. In the instance C10-03, although the affected entity is *Alice* herself, there is one point that is different from that in the instance C1-27, that is, this is an effective action – Alice realized the action "checked", in which sense, she succeeds in enacting the action. It is in such a sense that Alice's dynamism is increasingly stronger than that in the previous instance C1-27 although they have similar transitivity structures.

#### 1.7.4 Causality

As has been discussed in the methodology section, causality can also be seen from the opposition between transactives and non-transactives. Based on the observation of the shifts analysis, there are two types of shifts concerning the causality: one is the ST non-causatives are rendered as causatives in the TT; the other is the ST causatives are rendered as non-causatives. The former is larger in number than the latter. In terms of the dynamism changes, both the non-causatives and causatives can affect the construction of characterization in the translation.

##### *a) Non-causative to causative*

Rendering non-causatives into causatives can increase the dynamism of the actor of the clause if the causer is the force to push the action to happen. There are instance shifts in which the ST non-causative structures are rendered as complex causative material processes in the TT. Altogether, there are 7 such shifts from English ST non-causatives to Chinese TT causatives. For example,

C4-82. she suddenly spread her hand.

Chao. 她就把手忽然揸開。

Back translation: She suddenly makes her hand spread.

C7-93. (...nibbling at the mushroom) till she was a foot high.

Chao. (她又咬了一點右手裡的蘑菇)使她縮到一尺多高。

Back translation: (She nibbled a little bit of the right-hand mushroom) and makes herself shrink to more than a foot high.

In the above two instances C4-82 and C7-93, the first is actually a material transactive in which she (Alice) is the causer of the action of the hand *spread*. Taking the causative role of *Ba*-construction into consideration, its causative

sense is strong (Lv and Yu 1999:88). So in the translation there is a complex causative, that is, *she*, the causer, *makes* her hand spread, which takes the form of a complex causative. This complex causative undoubtedly increases the protagonist's dynamism. In the second instance, in the ST the action of *nibbling* of the mushroom is surely the cause of her shrinking to a foot high. However, it just does not say so, and the result is represented through a relational process. If we remember Alice in this clause has come into the SCD2, it is not surprising that this relational process may be used to cover the cause of the action of her shrinking and highlight her increase of dynamism.

*b) Causative to non-causative*

The translation corpus also registers 3 instances of the shifts from causative to non-causatives. These three instance shifts are distributed in the chapters 3, 7, and 11, which belong to the three different stages respectively.

C3-44. (Alice) always ready to make herself useful [...]

Chao. 她總喜歡幫人家的忙。

Back translation: she always likes to help others.

C11-02. It made Alice quite hungry.

Chao. (阿麗思)都餓起來了。

Back translation: (Alice) was becoming hungry.

The instance C3-44 is a complex causative, which is represented through a complement plus causative process, in which the causer is Alice, but she is a static entity in the form of complement “ready to make herself ...” (note: the affected is *herself* in the ST). However, it is converted into a material transactive process with an animate entity as the affected, which contains the strong dynamism on the part of Alice. The C11-02 has Alice as the affected entity, however, it has complement, “quite hungry”, which indicates Alice's strong

reaction to “it”. Taking into consideration the different stages in which the two processes appear, both translations are contradictory to the poetic purposes of the original author because C3-44 is supposed to be static rather than dynamic in the SCD1, while C11-02 is supposed to contain more dynamism than its translation should have.

#### *1.7.5 Operative vs Receptive*

##### *a) Receptive to Operative*

As a typical feature of this fiction, it is reasonable that there should be a number of receptive processes to represent Alice’s passive status. Actually, there are many cases in which receptive processes are used in the ST in order to accommodate the author’s poetic purposes. In the TT, the translators usually choose to render them as operative processes because passives are seldom used by speakers or writers in the Chinese speaking and writing. So the shift from the English receptive to the Chinese operative is just the translator’s stylistic strategy of conforming to the norms of TT usage. There are 12 ST receptive processes that are transformed into operative ones in the TT. Two instances are cited as follows:

C12-14. They must be collected at once.

Chao. (阿麗思)要不把它們撿起來[...].

Back translation: If (Alice) didn’t pick them up [...]

C12-15. [...] and put back into the jury box.

Chao. (阿麗思)並把它們放進座廂裡去。

Back translation: [...] and put them into the jury box.

In the above two instances, the receptive processes are converted into operatives that shows the agents’ (Alice) active intervention of the action in the TT. So in



the TT, the agentivity of Alice is made more explicit while backgrounding the patient's role.

*b) Operative to Receptive*

The reversed case to the above situation is to render a receptive as an operative. There are also 2 ST operative clauses which are converted into receptive processes which are either marked or unmarked passives. For example:

C1-72. Alice was not a bit hurt.

Chao. 阿麗思一點也沒跌痛。

Back translation: Alice didn't feel hurt from the fall.

In this instance where the ST process is derived from the first chapter, the original passive was rendered as an operative. The intended meaning of representing Alice's passive and impotent status entailed in the original is erased in the TT.

*1.7.6 Mental Transactives vs Non-transactives*

As discussed in Chapter 3, section 2.2, besides the mutual conversions between material transactives and non-transactives, that may affect the construction of characterization, the two-way renderings of mental process oppositions, that is, translating transactive into non-transactive and vice versa, may also indicate changes in some subtle ways of characterization in the comparative analysis. In the following space, this aspect will be illustrated with example analysis.

*a) Mental transactive to mental non-transactive*

The comparative translation analysis records 8 instances of shifts in which mental transactives are rendered as mental non-transactives. The conversions

have undoubtedly increased Alice's dynamism especially in the SCD1.

C1-109. She might find another.

Chao. [...]再找找另一個。

Back translation: She would again look for another.

C1-164. [...] and found in it a very small cake.

Chao. [...] 一看，裡頭是一塊小蛋糕。

Back translation: (she) looked: inside there was a small cake.

C5-62. [...] when she found that [...]

Chao. 她低頭一看。

Back translation: She lowered her head and looked.

C12-44. [...] and found herself (lying on the bank).

Chao. [...]睜眼看看，她自己 (還是睡在那河邊上)。

Back translation: (she) opened her eyes to look, she was still lying on the bank.

The ST mental transactives are used by the author to represent the dream-vision-like events on which Alice couldn't exert any control. However, they were rendered as non-transactives in the TT.

#### b) Mental non-transactives to mental transactives

The translation corpus contains 2 instances from mental non-transactive processes to transactive ones. The ST processes mostly occur in the SCD2, where Alice is expected to be more dynamic than she was in SCD1. However, when it is rendered as a mental transactive, it will create an impression on the audience in terms of the distinction between the mental non-transactives and transactives discussed earlier in the chapter 4. That is, the dynamism is suppressed to some

extent by the means of this transformation. When this happens in the latter two stages, it will distort the characterization the protagonist. Here is an instance shift from SCD2:

C6-127. [...]she looked up, (and there was the cat again).

Chao. [...]又看見(那個貓...).

Back translation: (she) saw (the cat again...).

#### 1.7.7 Transactive verb plus prepositional extensions

In reference to the section 3.2.1 of Chapter 3, there is still another type of shifts that can not be avoided in the discussion of the different types of shifts along with their repercussions, that is, the use of transactive verb plus prepositional extensions in representing the change of dynamism on the part of the protagonist. Although the instances are few in number, they are actually prominent enough to draw the audience's attention to the dynamism change in the context, because all of the instances appear in the later stage of the SCD1 and throughout the SCD2 till the point of Alice's entry into the SCD3. The effect of the shifts, if any, will be very prominent.

However, the focus will be on how the "hindrance" created by the "small words" *inserted* between the actional verb "nibble" and the affected goal are removed in the translation and also in a contrary direction, how the very hindrance may be "inserted" in another case. In the former case, the dynamism on the part of Alice will be increased due to the removal of the hindrance, while in the latter case, the dynamism involved in the context will be decreased, as a result. There are only 4 shifts out of the total of 5 *nibbling* processes. However, it is worth noting that the first three shifts appear in the SCD1 where Alice's dynamism is intended to be relatively lower in the chapters 5 of SCD1 and 6 of SCD2, while the 4<sup>th</sup> shift appears in chapter seven and at the very entry point of Alice's getting into the garden. Thus, these shifts make it very meaningful to evaluate Alice's

characterization in the TT, because all the 4 shifts point to the change of effect of semiotic meanings communicated by the arrangement of the wording in the translation.

## *2. Subcategories of Material and Mental Process Shifts*

The subcategories under the shifts headings of material and mental processes can also significantly bring changes to the characterization in the TT, for example, the change of agency may denote the change of the causal relations in some way. In the following there is a more detailed examination of the occurrences of the shifts under each subcategory heading.

### *2.1 Statistical comparisons of the main shift types*

In the above sections, different shift types have been discussed according to their classifications in the present theoretical framework. In order to form a clear contrast between the ST and TT, the subcategories of the material processes will be listed in the following tables as follows:

Table 5.7 Subcategories of material processes

<b>Sub-processes</b>	<b>code</b>	<b>No.</b>	<b>Pct. (%)</b>
Action vs Event	1.7.1	10	14%
Intention vs supervention	1.7.2	5	7%
Transactive vs non-transactive	1.7.3	22	31%
Causality	1.7.4	10	14%
Operative vs receptive	1.7.5	14	20%
Ment. transactive vs non-transactive	1.7.6	10	14%
Total	--	71	100%

Table 5.8 Subcategories of material process in 1.7

<b>1.7.1 Action/Event</b>	<b>No.</b>	<b>Pct. (%)</b>
Action to Event	6	60%

Event to Action	4	40%
Total	10	100%

<b>1.7.2 Intention/Supervention</b>	<b>No.</b>	<b>Pct. (%)</b>
Intention to supervision	1	20%
Supervention to intention	4	80%
Total	5	100%

<b>1.7.3 Transactive/Non-transactive</b>	<b>No.</b>	<b>Pct. (%)</b>
Transactive to Non-transactive	16	73%
Non-transactive to transactive	6	27%
Total	22	100%

<b>1.7.4 Causality</b>	<b>No.</b>	<b>Pct. (%)</b>
Non-causative to Causatives	7	70%
causative to non-causative	3	30%
Total	10	100%

<b>1.7.5 Operative/receptive</b>	<b>No.</b>	<b>Pct. (%)</b>
Operative to receptive	12	86%
Receptive to operative	2	14%
Total	14	100%

Table 5.9 Subcategories of mental processes

<b>Sub-processes</b>	<b>No.</b>	<b>Pct. (%)</b>
Transactive to Non-transactive	8	80%
Non-transactive to Transactive	2	20%
Total	10	100%

Table 5.10 Transactive verb plus prepositional extensions

<b>Sub-processes</b>	<b>No.</b>	<b>Pct. (%)</b>
Hindrance removed	3	75%
Hindrance added	1	25%
Total	4	100%

These tables are designed in order to display the total number of shifts with their corresponding percentages in the field of these subcategories under the heading of 1.7 in the corpus. As can be seen from the comparative tables, there are more

shifts in the material than those in the mental process types. These subcategories reflect translator's distortion of the original transitivity patterns at the clause level and thus confirm the validity of studying the characterization by focusing on the transitivity patterning within the framework of discourse analysis and the treatment of translation as an act of communication. Thus the empirical data collected in the corpus can provide evidence for the interpretation of the effect within the framework of communication.

It must be noted that the largest number of shifts shown by the Figure 5.2 related to the material processes are almost all the so-called “optional” or “preferential” shifts in this chapter. The shifts demonstrated by the translator's preferences can show their consciousness as well as unconsciousness of their understanding of the ST and the direction of the audience towards a certain interpretation.

## 2.2 Shifts of Animacy in agents

Animacy is a very important issue in studying the characterization in the dream fantasy fiction. So in order to gain an insightful view of the changes, the bar chart is used here again, in which the shifts from action to event (A-E) and those from event to action (E-A) are both depicted in the bar diagrams.

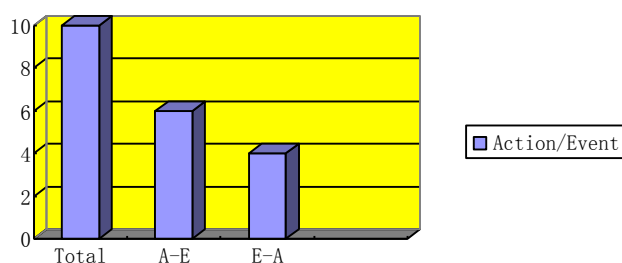


Figure 5.5 Overview of Actions and Events in material processes

As can be shown from the chart, the numbers of both the shift types are quite

close to each other, though the number of shifts from actions to events is a little higher than that of the shifts from events to actions. This may also show that the shifts from actions to events are a little more common than those in the reversed direction. This seems to suggest that the translators prefer the events to actions. If we take into account the distinct stages these shifts happen, the influence they create will be more semiotically significant. Most of the A-E category take place in the SCD2 and SCD3, while E-A in the SCD1. This means the translator has reversed the effect the original author had intended in the ST. This is also true with the case of the subcategories of mental processes. The following chart is a depiction of the mental transactives vs non-transactives:

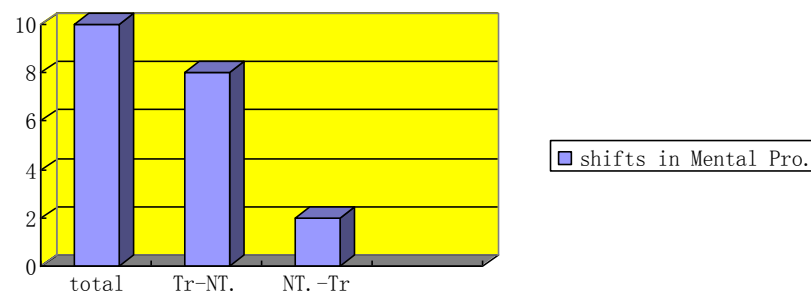


Figure 5.6 Overview of the shifts in mental processes

In this bar chart, what attracts our attention is the predominance of the number of the shifts from the transactives to the non-transactives. And this tendency shows that the character Alice is made more dynamic and active from the perspective of mental processes if it is remembered here that the mental non-transactive processes involve an active participation and engagement on the part of the sensor, especially when these processes appear in the SCD1, where Alice was intended to be impotent in the ST, the shifts from transactive to non-transactive may have the dynamism of Alice increased.

### 2.3 Transitivity and causality

The causality involved in the shifts is in connection with translators' behaviors. Two types of obvious causality are discussed in the previous section 1.7.4 of this chapter, which have demonstrated the occurrence of the causality shifts identified in the corpus. These two types of shifts are as follows:

- 1) Causative to material (C-M): the ST causative processes are translated into material non-causative processes in the TT.
- 2) Material non-causative to causative (M-C): the ST non-causatives material processes are rendered as causatives in the TT.

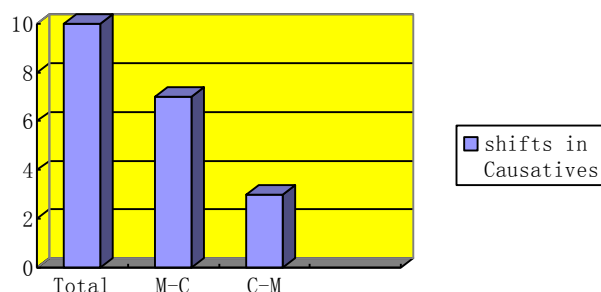


Figure 5.7 Overview of the shifts on causatives

In this case, as can be seen from the chart, the shifts from the non-causative material processes to causative processes form a stark contrast with those from the reversed direction. Generally speaking, the translator Chao keeps close to the ST and render them closely at least on the surface form, but he still could not help provoking shifts in dealing with the causative processes. It seems to be a habitual tendency for the Chinese translators to seek the causes for the actions or events in the TT.

#### 2.4 Clause and voice: receptive vs operative

In the original text, the receptive processes are used to highlight the obscurity of the causal relations and conceal the real agency of the processes in order to create



a mysterious and magic reality in the genre of fantasy fiction. There are many receptive processes used in the ST, esp. in the SCD1 and SCD2. However, some of them are rendered as operative processes in the TT. In the chapter three of this thesis, section 2.4, a detailed theoretical description is given of the functions of the two processes and differences between them.

The analysis of the translational data also confirms the functions of and the distinction between the two types of processes. Through the interaction of receptive and operative processes, the clauses can represent an interpretation of reality. In order to highlight the contrast of the numbers of the shifts of receptive vs operative processes, the bar diagram is used here again, in which R to O indicates the shifts from receptive to operative, O to R means the shifts from the operative to receptive processes.

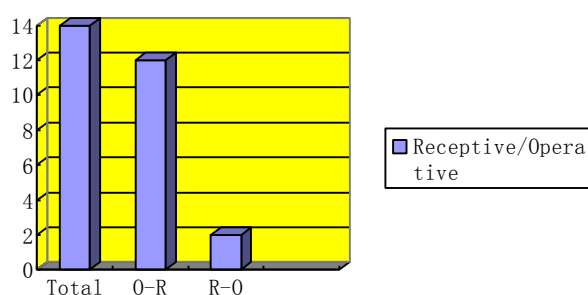


Figure 5.8 Overview of shifts in Receptive vs operative

From the chart, it can be seen that the shifts from operative to receptive is much bigger in number than those from receptive to operative. But if we learn that these shifts mostly take place in the SCD2 and SCD3 where Alice's dynamism is becoming increasingly stronger, it will be clear that the quantitative analysis confirms the theoretical descriptions of the applicability of receptive clauses in representing Alice's characterization. The number of the shifts from receptive to operative is not large enough to make significant changes on the eventual characterization. However, in contrast with the former type, such shifts from

receptive to operative can be a type of significant shifts which may attract the audience's attention if they appear in the SCD1.

Generally speaking, the receptive voice is assumed to be marked in English, so the place where the receptive voice is used often involves some particular foregrounding purposes on the author's part. As far as the shifts from receptive to the operative process are concerned, it seems to be a safe conclusion that the translator may find it difficult to accept all the receptive voices transferred in the TT, though the translator Chao always keeps very close to the original text. Thus he purposefully avoided such processes by using operatives instead. This avoidance reflects translator's stylistic preferences and his tendency to cater for the usage habits of the TL systems.

### *3. Conclusion*

This chapter has reviewed the shifts that occur at the clause level in the translation. Based on the distinction between obligatory shifts and optional shifts put forward by Blum-Kulka (1986), the focus of this research is on the optional shifts, that is, the different stylistic preferences of the translator demonstrated in the TT, and those pertaining to the translation process. So the purpose is to find out the shifts and lay up a foundation for the exploration of their effects on the characterization in the TT. In this chapter of quantitative study, the following types of significant shifts have been detected:

- 1) It can be observed from the analysis that there are a relatively large number of expansion shifts that occur in the TT. And most of them are transformed into material and mental processes from no-processes. For the translator, it seems that these expansions are added in order to promote the readability and fluency of the TT.
- 2) As for the shifts of contraction, the number of it is a little lower than that of the expansion. The shifts mostly occur in the field of mental processes,

relational processes and material processes, that is, these three types of processes are converted into no-processes in the TT.

3) The conversion of material processes into other types of processes, such as mental, relational and behavioral processes, is also a kind of common shifts found in the TT. The dematerialized clauses are deprived of agency as well as the semiotic meanings carried along with the agency in the ST. the analysis shows that the translator has a tendency to increase the agency in the TT material processes, which also corresponds to the observation that the sensor's role is also increased in the mental processes by converting the body parts (eg. *her eye*) or any other inanimate object (eg. an idea) into a mental process with Alice as the sensor directly.

4) As far as the shifts in relation to causality are concerned, there are two types of shifts that are observed in the translation corpus.

a) The first type refers to those in which the ST causative processes are rendered as material processes which do not demonstrate the causality; this type of shifts are fewer in number than the second type following.

b) The second type refers to those in which the ST material processes are rendered as (complex) causative processes in the TT. This type of shifts takes up a larger number in the subcategory of causality. This seems to be an obvious tendency for the Chinese translators that they prefer to infer or create some kind of causal relations in the process of translating the dream fantasy story.

5) In the case of clause voice in connection with transitivity organization, the two types of shifts are reviewed in this chapter; it is very interesting that the number of the shifts from operative to receptive is relatively higher than that of the shifts from receptive to operative. But if the fact that the stages in which these receptives appear are the later parts of both the SCD2 and SCD3 is taken into consideration, a reasonable explanation can be provided, that is,

in these clauses it is usually the other creatures that act as Medium or affected goals, while Alice became the implicit agent of the processes. It seems to be a trend that the translator has avoided using the receptive voice in the TT deliberately, for which the main reason may be that receptive processes, esp. the receptive voice in the form of *bei* (被) construction is seldom used in Chinese writing and speaking and thus very marked in the semantic sense. However, receptive voice is relatively more common in English, although its number doesn't yet reach that of operative clauses. In the translation strategy directed at the stylistic equivalence, it will be better for the receptive clauses to be translated into the unmarked receptive voice construction in Chinese.

To summarize, in this chapter we have reviewed the shifts that have occurred at the clause level in the TT. On the whole, the statistical analysis has confirmed the validity of the discursial and communicative approach to the translation shifts. As an act of communication, this chapter explores the shifts that relate to the linguistic, discursial and social system for both English and Chinese languages and cultures involved. However, this analysis relates more to the clauses than to the textual patterns or to the effects of such patterns. Thus, it does not allow us to go beyond this descriptive stage to investigate the semiotic effects contained in the shifts at the clause level. In order to gain an insightful investigation of the shifts that occur at the textual level, the contextual semiotic effect must be explored on the basis of the previous statistical discussion. In the next chapter, such discussion will be carried out by finding out the foregrounded transitivity patterns that may affect the characterization in one way or another.

## Chapter 6 Contextual Effect of Transitivity Patterning

In the preceding chapter, different types of shifts that occur in the TT have been discussed at clause level. All of the shifts belong to the optional shifts, which occur either due to the result of being read in a different cultural context, or due to the translation process *per se*. In this situation, the shifts are thought of as affecting the text meaning interpretation on the reader's part. Therefore, after the analysis of the shifts in the translation, an investigation of the effect, that is, the pragma-semiotic dimension, the *symbolic* meaning in the Hasan's (1985) terms, should be explored. Only in this way can the analysis of the above shifts validate the claims or assumptions pertaining to shifts of meaning through translations.

Of course, there are also some cases in which the shifts changes can help to characterize the protagonist in the direction as three SCDs have intended:

C1-31. [...] as she went down [...]

Chao. 她掉了半天。

Back translation: She fell for a half day.

In the above instance shift, the intentional material process was rendered as a supervention in the TT. This shift can promote Alice's passive status in some way because 掉(*diao*, fell) in Chinese is an act that happened by itself without any agentive or external causes. The ideological effect this TT clause creates seems to be more inclined to the characterization of Alice in accordance with the author's poetic purpose and writing strategy in the three SCDs. However, such shifts are so few in number that they can not constitute any significant patterns in the TT and their ideological influences can thus be ignored in the exploration.

The important changes that can cause the potential consequences of transitivity have been discussed in the last chapter. This chapter will be devoted to analyzing the potential effect of such instances. It is significant to note certain examples

whose pragma-semiotic effect is more obvious than some other ones in the comparative context. So what we are looking at is a kind of effect that is accumulated through the patterned shifts of one type after another in the TT. Thus this chapter will work as a qualitative investigation, exploring how transitivity arrangements at the textural level can have ideological implications at the deeper level – the pragmatic and semiotic levels, which the translators may not be aware of.

In the following sections, the different types of shifts along with their main ideological effects will be discussed. All of the shifts have such an effect, which will be accumulated step by step and gradually point to the changes, to be more exact, distortions of the characterization of the protagonist, Alice, in the translations in one way or another. The relations between the patterns of transitivity and the construction of a protagonist in the translation will be discussed along with the comparative look at the patterns of shifts.

### *1. Non-processes vs processes*

Since this research focuses on the material and mental processes that are assumed contribute to the characterization of Alice in the fictional text of *AW*, it is important to reveal all the instances shifts that are connected with the two types of processes and explore the potential effects on the audience's interpretation and illustrate the links between the texture and ideology inscribed in it. In this binary framework delimited by the title of this section, two subsections, expansion and contraction, will be illustrated under the subsection of expansion, there are two types of shifts:

- 1) no process or other processes to material processes;
- 2) mental processes to no process or other processes.

In light of the significant roles played by the types of process in constructing the characterization, it is very necessary to explore the effect the shifts will have in

the specific context.

### *1.1 No/other process to material processes*

The first type of shifts from no process to material processes have been observed to be very frequent in Chao's translations in the SCD1, where Alice was first falling into the dreamland by following the Rabbit. She was rather passive and all her actions were just like dream-visions that happened automatically. However, this situation was changed a little in the TT.

No.	ST	TT
C1-18	(she ran across the field) after it.	(快地跑過一片田場)就緊追著那兔子。 Back translation: (she ran across the field) and thus pursued the Rabbit closely.
C1-26	--	阿麗思跑的是有那麼急。 Back translation: Alice ran in such a hurry.
C1-44	--	伸手 Back translation: [she] extended her hand.
C1-78	She was close behind it.	她追上得已經很近。 Back translation: she has chased very close to it.
C1-80	(she found herself) in a long, low hall.	(她覺得)走進了一個長而低的廳堂。 Back translation: [She felt] she has entered a long low hall.
C1-159	She was playing against herself.	自己玩槌球。 Back translation: She herself played with croquet.

Table 6.1 Comparative overview of no/other process to material process

Besides the instance shifts listed in the table, there are still many others that can be worth drawing our attention. For the convenience of discussion, only the six instances are chosen and discussed in detail. As shown by their serial number, all the six instance shifts are derived from the first chapter of AW, which initiates the beginning of the first SCD. As can be seen from the description (except two no-processes) of Alice in light of the cited instances, her actions were described

in a static manner rather than in a dynamic one, even the action of running is depicted in a prepositional phrase “[she ran across the field] after it” (C1-18) or in a relational process “she was close behind it” (C1-78). However, this description of the situation was changed in the TT, where Alice was rendered to have “chased the Rabbit closely” in the first instance; “she ran in such a hurry” (C1-26); and “she extended her hand” (to take down a jar) (C1-44), and “she chased very close to the Rabbit” in the 4<sup>th</sup> instance (C1-78). The TT clauses have shown that Alice becomes a person with strong dynamism at the very beginning of the SCD1, in the first chapter of the dream fantasy fiction. This stark contrast between the two kinds of situations can even be conspicuously demonstrated in the 5<sup>th</sup> instance clause where in the ST Alice “found herself” in a sudden manner “in a long low hall”. This is a very dramatic dream-vision-like picture that was described magically and mysteriously without any external causal relations. So the lack of the external cause of Alice’s showing up in the “long low hall” created a dimension of magic and mystery for the dream fantasy. In the TT, this clause was rendered as “(她)走進了一個長而低的廳堂”([She] entered a long low hall.), which provides a direct and immediate cause for her showing up in the long low hall: that is, she entered it. Such a rendition not only gets the description of Alice’s passive status missing, but also eliminates the magic and mysterious dimension all together. The instance C1-59 seems to be an arresting example in that it is a material action intention process, but it has “against herself” as the circumstantial element. This means that Alice’s action is enacting upon *herself*, nothing else. The damage caused by such renderings has undoubtedly undermined the representation of the fictional reality created in the dream fantasy by breaking the discoursal and generic balance constructed by the original author.

## 1.2 *Mental processes to no/other processes*

As an important poetic technique, the mental process plays a very important role



in constructing the characterization of Alice in the source text. Only through the access to the psychology of the character can the depiction of people (or characters) in the novel be successful (Forster 2001:42). There are a lot of mental processes that are used in the first SCD where Alice acts as a participant. Obviously, an impression has been formed here where Alice has been just an observer who remains outside the situations and is unable to enact on anything else within them. This situation is even reinforced by the metaphorical mental processes in the form of material process forms, such as, C1-162, *her eye fell on a little glass box*; C4-31, *her eye fell upon a little bottle that stood near the looking-glass*. In both of the mental processes, Alice is not the sensor, but “her eye” *is*. If the audience read clauses in which Alice work as the senser, like “she found”, “she looked for...”, “she saw”, ect., they should be aware of Alice’s mental processing abilities. As it is, with “her eyes” as the senser or “actor”, the audience is made aware of a lack of physical involvement and deliberate action on the part of Alice – *her eyes* reflect the mental rather than physical processes. It is noted that the avoidance of mention of Alice as the sensor or actor in the instances contrasts sharply with the mental non-transactives in the last chapter, the mental non-transactives of which are few in number, but involve more dynamism on the part of Alice. So what emerges from these processes is the picture of Alice as a passive character rather than an active and determined one. This situation is also reflected in the use of her body parts, such as “her head” or “her hand” or “her shoulder” than Alice herself to *enact* her actions. So a thorough analysis of the mental processes shifts can shed light on the construction of the character from the perspective of “inside”, which definitely helps the audience to probe into how Alice behaves in the dreamland world.

No.	ST	TT
C1-28	She found herself (falling)	-- (掉了下去) BT: (she fell down).
C1-35	[...]and to wonder what[...]	(還有空) 自己問問。 BT: (still has time) to ask [...]
C1-117	and finding it very nice.	那味兒很好吃。 BT: The taste is very delicious.
C1-143	She found (she could not reach it)	-- (太矮了)。 BT: (too short).
C1-171	(she was surprised) to find that.	(她真好詫異) -- BT: (she was really surprised)--
C2-09	she thought [...]	-- (omitted)

Table 6.2 Contrastive examples of mental process to no/other processes

It should be noted here that the term *other processes* in here does not include the material processes which will be discussed in detail. As can be seen from the previous discussion in the third chapter, section 2.2, the processes represented through the mental transactives actually transmit a kind of passive and impotent status on the part of the senser. That is, the sensing does not change anything of the phenomenon, but on the contrary the senser is changed in some way by the phenomenon by the sensing. Thus the sensing (or perception, or cognition) is just a kind of reaction of the senser to the occurring phenomenon. This interpretation is in accordance with the global characterization strategies of the protagonist for the author and is also consistent with the interpretation of the shifts from no/other process to material processes. In the instances cited in the table, a very sharp contrast can be detected first for the deletion of the mental processes. The translator's deletion of the mental processes may be out of avoiding some kind of redundancy in the TT to make it concise and clear. However, in so doing, the description of Alice's passive status is also eliminated altogether. In the stances cited, it is surprising to find that the three mental processes C1-28, C1-143, C2-09 are deleted in the TT. In C1-28, "she found herself (falling)" was rendered directly as "掉了下去" (she fell down along). In this ST clause, Alice could "do"

nothing but only to “find” herself falling along “what seemed to be a very deep well”, in which the action of *falling* can actually be regarded as a happening rather than as an intentional material action. This corresponds closely to her impotency that is demonstrated in some other mental processes, such as the instances C1-143 and C2-09 cited in the table. However, the translator seems to find it too redundant to keep the mental processes in the complex sentences. Different from the direct deletion strategy, the instance C1-35 was converted into a verbal process and instance C1-117 and C1-143, both of which seem to be some kind of judgments made by Alice. These judgments, like the clause 那味兒很好吃 (The taste is very delicious), or the adjective clause 太矮了 (Too short), both of which become indicators of Alice’s consciousness and sanity in making correct judgment in such a dreamland. This of course is obviously contradictory with the protagonist’s real situation in the wonderland. The shifts that occurred in the types like the deletion of mental process actually eliminates the description of Alice’s passive status, while the shifts like those in C1-35 has increased Alice’s dynamism as a strong active interactant with her surroundings, the deletion of which in the TT is certainly contradictory with the author’s global poetic construction of the characterization of Alice in the ST.

## 2. *Process vs. process opposition*

That a process was rendered as another different process is also an obvious type of shifts that occur in the translation of the process of the process to process opposition. The shifts from mental process to the material process take up a big proportion and can thus cause a lot of ideological influences on the audience’s interpretation towards the characterization in the translation. Another type of shifts that can cause these ideological influences under this heading is the shifts from relational process to other types of processes. Here in the following the two types of shifts will be discussed in detail.

## 2.1 Mental processes to material processes

As was discussed in the previous sections, mental processes in the language of the dream fantasy have played an important role in the characterization of Alice, that is, they are used to help represent Alice in the passive and impotent status, and whose dynamism in the context is always suppressed in one way or another by using the mental processes. The impression these mental processes have created is that Alice just observes situations but remains outside them and is unable to act within them. This situation is even reinforced by the metaphorical mental processes where Alice is not the sensor, but “her eye” takes such a role, for example, in the instance C1-162: *soon her eye fell on a little glass box*. If we still remember the distinction between mental non-transactives and transactives, we will find the effect of increase in dynamism that can be brought about when the mental transactives were rendered as material processes, esp. as the intentional ones. Let’s look at the contrastive examples of mental processes converting material processes.

No.	ST	TT
C1-131	She tried to fancy (what the flame of a candle would be like)	就模擬一個吹滅蠟燭的樣子。 BT: she <u>mimicked</u> an appearance for <u>blowing</u> a candle <u>out</u> .
C1-169	[...] to feel which way (it was growing).	摸摸向上還是向下。 BT: she <u>touched</u> (her head) and <u>decided</u> (whether it was upward or downward).
C7-86	Once more she found herself in the long low hall.	一下子她又走在那間大廳裡。 BT: Again she <u>was walking</u> in the big hall.
C7-98	[...] and then she found herself at last in the beautiful garden.	然後才到底進了那個美麗的花園。 BT: she <u>entered</u> the beautiful garden at last.

Table 6.3 Contrastive examples of mental processes into material ones

In the ST, the use of mental processes is also a means to be made use of to represent the passive status of the protagonist. The instances C1-131 and C1-169

are actually quite backgrounded among the number of mental processes of the AW's first chapter in which Alice had just mental capacity to "fancy" or "feel", but was hardly able to exert any physical actions or something of control over any other entities beyond *herself*. However, for the translation of C1-131, two material processes have been expanded out of the ST clause, and the two expanded clauses both belong to material: action: intention: transactive clauses. While for the translation of C1-169, the ST clause is also expanded into a material transactive and a mental one. Here it is said to be a material transactive if it is remembered here 摸摸 (*momo*, to touch) in Chinese is a different word meaning *touch* from the original word "feel" which indicates it is a mental process, although the affected entity of 摸摸 (*momo*, to touch) is left implicit as "her head" can be retrieved from the immediate co-text. The instances C7-86 and C7-98 are both mental transactive processes. Both of them were translated into material action intentional processes: the former into "她又走進了那間大廳" (she entered the hall again) and the latter into "[...]才到底進了那美麗的花園" (she entered the beautiful garden at last). The dynamism involved on the part of Alice seems to be very obvious in the transformed material processes in the TT. The patterns emerging from the analysis in the TT in terms of the shifts from mental to material processes show that Alice is also mostly inscribed in the material processes involving her active engagement with action and strong enactment upon her surroundings through the material intentional processes as well as the material transactive processes. However, it is not the case in the ST, especially in the SCD1, where the mental processes are often used to inscribe Alice into a status of inability to carry out material physical actions or enact upon the surroundings freely. This aspect can also be confirmed by her inability to process her cognition, which will be discussed in this chapter, section 3.2, which was shifted in the TT where such inability was eliminated and Alice's characterization achieved a sense of dynamics.

## 2.2 Relational process to other processes

As a complementary section to the effect or ideological influences of the material and mental processes on constructing the characterization, this section is devoted to the effect of relational processes transformed into other types of processes. It has been discussed in chapter four that in the children's literary discourse of fantasy, as in the language of *AW*, relational processes in the original are often used to serve mainly two purposes:

- 1) to mystify the dreamland world in the fiction; and
- 2) to represent Alice's passive status through the three stages of character development.

Apparently, relational processes have the function of setting up a particular environment of mystery and magic, and more importantly it expresses a meaning of a kind of static state. So a discussion of the shifts from relational processes to other process types can also help to reveal the deeper ideological effects caused on the dreamland creation and characterization of the protagonist in the TT.

No.	ST	TT
C1-02	Alice was beginning to get very tired of sitting...	坐得好不耐煩。 BT: She <u>sat</u> there, very much annoyed.
C1-57	She was rather glad...	她這回覺得[...] BT: This time he <u>felt</u> [...]
C1-64	Alice began to get rather sleepy.	阿麗思覺得睏得慌了。 BT: Alice <u>felt</u> very sleepy.
C1-82	When Alice had been all the way down [...] and up	阿麗思沿著一邊 <u>走下去</u> ，再沿著那邊 <u>走回來</u> 。 BT: Alice walked along one side (of the hall), and then came back along the other side.
C2-75	she was up to her chin in salt water	一池鹹水一直 <u>沒到</u> 她的下巴。 BT: A pool of salt water submerged her to the chin.
C2-78	Alice had been to the seaside.	阿麗思曾經到海邊去過一次。 BT: Alice had <u>gone</u> to the seaside

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		once.
C3-04	she had quite a long <u>argument</u> with the Lory	她竟同那鸚哥兒 <u>爭論</u> 了半天。 BT: Unexpectedly, she argued with the Lory for quite a while.
C5-115	It is so long since she had been anything near the right size	阿麗思因為好久沒有 <u>還</u> 她原來的大小。 BT: For quite a while Alice didn't return to her original size.
C7-96	[...] till she was a foot high.	她 <u>縮</u> 到一尺多高。 BT: she shrunk to more than a foot high.

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Table 6.4 Contrastive examples of relational processes into other types

As discussed in the chapter, and it can also be seen in the instances cited in the table, relational processes are often used in the ST to describe some static situations or set some attributes on the protagonist or something that are usually not active participants. So in the ST relational processes, it can be said the author has assumed the status and identity of the participants to be common knowledge, something that may be presupposed. So in the instances C1-02, C1-57, C1-64, C1-82, C2-75 and C2-78, a passive, static and impotent Alice can be distilled out of the several ST clauses. This characterization out of which is actually in line with the author's poetic writing strategy of shaping Alice into such a passive persona by subsuming all such clauses in the early stages of the SCD1. C3-04 and C5-115 are also actually static in nature although the verbal process has been "compressed" into a nominalization which also suppresses the verbal process denoting strong participation because "arguing with somebody" usually requires a lot of efforts on the part of the arguer. For the ST clause in C7-96, it can be said to have contained some kind of action by using circumstantial element *till* although this action is still again suppressed to a great extent. Apparently, relational processes may serve the author's very poetic strategy to mystify the world of dreamland fantasy and play a particular role in the characterization in the fiction for his generic purposes.

As far as the instance shifts cited in the above table are concerned, the ST instances C1-02, C1-82, C2-78 and C5-115 were rendered as material processes which undoubtedly have promoted Alice's dynamism in the TT. What is more significant here in the shifts is that they are all material: action: intention processes which make it quite clear that Alice is both the actor and also an initiator of her intentional actions in the TT, though this is not the case in the ST. The ST instances C1-57 and C1-64 have both been developed with a tendency by rendering the ST relational processes into mental (perception) non-transactive processes. According to Hodge and Kress (1993:47), perception represented via the non-transactives is characteristically seen as a more active and purposeful process on the part of the perceiver that via the patientive transactive mental process. The shifts from the relational processes to mental ones in the TT have increased Alice's ability of active perception as a *senser*. So a contrast between the author's writing and the translator's rendering can be seen clearly here: the active senser's perception is restricted and suppressed in the ST by the author, while it is highlighted to a great extent in the TT. For the translation of C3-04, it is no surprise that the translator transforms the nominalization of the verbal process into its original form "argue" due to his lack of stylistic awareness of the original author poetic purposes in constructing the characterization, because "argued" in the translation apparently denotes strong dynamism on the part of Alice. This also applies to the comparison between the translation and its original clause in the instance C7-96.

So the emerging patterns from the shifts or modifications of the original transitivity patterning will surely have a significant effect on the characterization in the TT, because each shift or change noted in the critical comparative look at the ST and TT will contribute to the illustration of the links between the transitivity at the textural level and ideological effect on the characterization at the deeper semiotic level by relating it to other shifts in the translation. In the following sections, the issue of agency will also be discussed



in the translation of material processes by highlighting the participant roles involved in the different types of processes in the comparison.

### *3. Other types of shifts and their repercussions*

The conversions from *no/other* processes to material processes, or shifts from mental processes to other non-mental or -material processes can cause significant ideological repercussions which will damage or distort the characterization on the global level in the TT. However, there are still some other types of transitivity shifts that can reveal to us such ideological significance. The instances are not as often self-evident as the previous types of shifts examined above. Nevertheless, they can still contribute to the distortion of the characterization in the TT, with certain ideological repercussions along with them.

#### *3.1 Shifts from Event to Action Opposition*

In the original text, the author uses the event process to represent the autonomous mysterious atmosphere that shroud the dreamland underground world in which Alice can't exert any control upon her surroundings in the first stage of her characterization development. However, it is not always the case throughout the whole fantasy fiction. This situation changes a lot when Alice's dynamism is promoted to a higher level where Alice began to control the situation and enact her actions upon her surroundings, and even on the animate beings in the third stage of character development (SCD3), in the very last chapter. So the repercussions on characterization will be resulted in when the event processes are rendered as action processes in the SCD1 and the early stages of the SCD2, or the action processes are rendered as event ones in the SCD3 and later part of the SCD2. This type of shifts is mainly resulted from the shifts of *agency*. The damages on characterization can be seen here from the

two examples from the first chapter of the SCD1:

No.	ST	TT
C1-92	It would not open any of them. (10:92)	她一個也打不開。 BT: She cannot open any of them.
C4-76	Alice's elbow was pressed hard against it.	阿麗思用胳膊肘子撐頂著。 BT: Alice used her elbow to press against it.

Table 6.5 Contrastive examples of event to actions

According to the statistics, there are altogether 4 instance shifts in data set, but all of them appear in the SCD1. This finding is very significant for interpreting its effect on characterization because changing an event into an action always involves the increase of dynamism on the part of the human actor. In this ST instance C1-92, “it” refers originally to “the little golden key” which is an inanimate actor in the role of Agent. The use of an inanimate agent at a place where *the door* is surely opened by a human being agent obviously has its own function on the author's part, that is, to conceal the agency of the action and represent Alice's inability to enact upon the other things in her surroundings at the early stages of her SCDs. In comparison with shifts from events to actions, a contrary trend of Alice's situation is also reflected in the use of *her body parts*, such as “her head” or “her hand” or “her shoulder” than Alice herself to represent her actions in the third SCD in the TT. This means that Alice's actions dominate the scene in the SCD3 but its translation counterparts don't reflect these changes from the SCD1 and SCD2. This can be seen from the stark contrast between the ST actions and their TT counterparts from the following instances from the 12<sup>th</sup> chapter from the SCD3:

No.	ST	TT
C12-05	She tipped over the jury-box with the edge of her skirt.	她的裙子邊帶翻了陪審團座廂。 BT: The edge of her skirt tipped over the jury-box.
C12-06	[...]upsetting all jurymen on ...	(裙子邊)把陪審員都倒在了其它大眾的頭上。 BT: (The edge of her skirt) upsetting all the jurors on the heads of others.

C12-43	(she) tried to beat them off ...	兩隻手把它們擋掉。 BT: her two hands tried to block them away.
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Table 6.6 Contrastive examples of actions to events

It is very dramatic in this very last chapter in the SCD3 that Alice, the protagonist has recovered its abilities in all-round aspects as a normal human being in enacting actions upon her environment. As was discussed previously in this section, the SCD3 is the stage where Alice's dynamism as the protagonist is largely promoted and she can completely enact upon her surroundings, even on the animate beings in the last chapter where she acts as a real human being among the mob of animals who she believed to be "nothing but a pack of cards" in the end. Her freedom of action can be seen from the cited ST instances in which "she" functions as the agent and also the initiator of the different actions. And what is critically important is that these actions extend to the other participants, the affected goals. The fact that the actor is a human being whose action can extend to the affected goal, esp. an animate goal, can be regarded as a signal of high dynamism on the part of the agent.

However, the translator seemed to have ignored the ST foregrounded patterns of transitivity patterning and rendered the first instance clause C12-05 with "she" (indicating Alice) as actor into its counterpart with two inanimate actor "她的裙子邊" (*ta de qunzibian*; the edge of her skirt) acting as agent. According to the discussion in Chapter 3, Section 1.1, "with the edge of her skirt" is just a part of the circumstantial elements of the clause indicating at most the instrument the protagonist used at the time. When it occupies the position of an actor of the clause of the material process, the clause becomes an event process by concealing Alice's agency in the process. This analysis also applies to the instance C12-06 in which Alice's dynamism is largely suppressed by the translator in replacing Alice as agent with "the edge of her skirt". For the instance C12-43, what is different from the above two renderings lies in the fact

that the ST agent “she” was converted into “兩隻手”(two hands), her body parts as the agent. Accordingly, this is also event process and it can prove to be a representation of Alice’s passive status in the TT. However, what is critically important here is that this clause acts as a key point where Alice enters into the real world by the clause C12-42 “She gave a little scream” when the cards “came flying down upon her” (C12-41). When Alice “tried to beat them off” in the ST clause, this is her active fight against the absurd dreamland *rules*, which lays the very foundation for her entering the real world to “wake up”. It is very much a pity that the translator seems to have ignored this point and transforms this process into an event 兩隻手把它們擋掉 (her two hands blocked them away), whose transitivity organization we often encounter in the language patterns of SCD2 and SCD1. The logic that the clause in the TT implies is that Alice still remains passive and she has not achieved enough dynamism to enact upon her surroundings, needless to say she can exert her influence on the animate beings. This rendering is very interesting in that it appears in the SCD3 where Alice is expected to be more dynamic than she was in the previous two stages, in which her body parts also act as sensors in the ST in order to represent her passive and impotent characterization. The comparative look at both the ST and TT transitivity patterning will shed light on the discussion of Alice’s changes through the three stages of character development.

### *3.2 Shifts in senser’s roles*

The effect created by using patterned mental processes is even reinforced by the metaphorical mental processes in the form of material process forms, such as C1-162: *her eye fell on a little glass box*; C4-31: *her eye fell upon a little bottle that stood near*. In both mental processes, Alice is not the *senser*, but “her eye” is. If we have Alice as the senser, like “she found”, “she looked for...”, “she saw”, ect., we should be made aware of Alice’s mental processing abilities. As it is, with “her eyes” as the senser or actor, the audience is made aware of a lack

of physical involvement and deliberate action on the part of Alice – *her eyes* reflect the mental rather than physical processes in the semantic sense. It is noted that the avoidance of mention of Alice as the sensor or actor in the instances contrasts sharply with the mental non-transactives in the last chapter, which are few in number, but involve more dynamism on the part of Alice. So what emerges from these processes is a picture of Alice as a passive character rather than active and determined one. Following the last section discussing the shifts in agency in the material processes, this section will be devoted to the changes of sensor's roles in the mental processes. Since the changes of sensor's roles are very similar to those in the material processes, this type of shifts are to be discussed in a successive manner in order to form a comparison with those in the last section, so that the emerging patterns of the shifts in the mental processes can in an accumulative manner work with other types of shifts to loom large in the effect of directing the audience's interpretation.

So it can be said that Alice's passive status is also represented through the author's manipulated use of sensors' roles in the first and second stages of character development. That is, the author may place Alice's *body parts*, such as "her eye", or an inanimate abstract concept, such as "an idea" at the position of the *sensor role* which should be taken up by a human being conventionally.

No.	ST	TT
C1-162	Soon her eye fell on a little glass box.	她又看見桌子底下放著一個小玻璃匣子。 BT: she again saw a glass box under the table.
C1-11	It occurred to her that [...]	她才覺得... BT: she just felt [...]
C1-14	It flashed across her mind that [...]	阿麗思心裡忽然記得... BT: Alice suddenly remembered in her mind [...]
C7-38	A bright idea came into Alice's head.	阿麗思忽然想到一個聰明的意思。 BT: Alice suddenly thought of a clever idea.
C12-05	The accident of the	她總想到那回金魚缸出的事。

goldfish	kept	BT: she always thought of the accident of
running in her head.	the goldfish pot.	

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Table 6.7 Contrastive examples of shifts in senser's roles

Generally speaking, the processes C1-162, C1-11 and C1-14 in the cited instances in the above table can be regarded as borderline cases located between material and mental processes if we look at them in terms of transitivity structuring they contained. However, they are actually representing mental processes by “her eye” or “her mind”, etc. In these ST clauses, Alice’s mental processing capacity seems to rely on a kind of mechanical material Event: superventional: non-transactive action. She even could not react/perceive/cognize mentally to the surroundings around her. This representation of her passiveness is very vivid and lively. However, a stark contrast can be found in the TT counterparts in which the ST in C1-162 was rendered as “她又看見” (she again saw...), the ST “it occurred to her [...]” in C1-11 was rendered as “她才覺得” (she just felt) and the ST3 was rendered as “阿麗思...記得” (Alice remembered...). The shifts caused by the additions of senser’s roles in the mental processes on the part of Alice has undoubtedly increased Alice’s dynamic thinking / processing capacity in the first SCD, esp. in the first chapter where she should have remained very impotent and impotent, even for the reacting and perceiving capacities.

In comparison with the first three instances, the instances C7-38 and C12-05 that come from the SCD2 and SCD3 respectively can be referred to as material processes due to the action verb they both used “came” and “kept running”. What is very interesting here is that there seems to be a lot of dynamic activity involved in the two processes of thinking. So it can be said that they are still mental processes in the form of material ones, which, to a great extent, show Alice’s thinking is increasingly active and dynamic. The dynamism entailed in the action verbs from “came” to “kept running” can reflect this increasing

dynamism in thinking from a particular perspective. This, to a certain extent, also reflects Alice's interactive communication with her surroundings and the increasing speed of her reaction towards foreign happenings. By using the exterior objects rather than Alice's *body parts* or the formal inanimate "it" as the agent of the seemingly material processes with "Alice's head" or "her head" as circumstantial elements, this can also indicate Alice's increasing interaction with her surroundings and her increasingly stronger ability to control the situation. However, it seems to be far from an incident that both of the pseudo-material processes are rendered as two purely mental processes, one of which is "阿麗思忽然想到" (Alice suddenly thought of [...]), the other is "她總想到" (She always thought of [...]).

As discussed in the above section, the five shifts cited in the table reflect two different and contrary trends in Alice's dynamism. The first three ST instances from the SCD1 are used to represent Alice's passiveness, while their TT counterparts take the form of purely mental processes, which to a certain extent increases Alice's dynamism because of the transformation. While for the following two instance clauses C7-38 and C12-05 from SCD2 and SCD3 respectively, they have been injected with dynamism by "wrapping" the two mental processes in the form of material: action: intention processes. However, they are rendered as purely mental processes as the translator has done with first three instances in this table. This of course can reflect the translator's stylistic preferences in translating such type of mental processes containing special sensor roles.

### 3.3 *Shifts from receptive to operative*

A survey of the shifts from receptive voice to the operative can partly reveal the characterization of Alice in the translation. So far it has been safe to assume that receptive voice can become a stylistic device in representing Alice's changing status in the early stages of her characterization construction. It is no surprise that

receptive voice is often used in the SCD1 and SCD2 in which Alice often acted as affected entity and was placed in the actor position. However, in the SCD3 there still appear some foregrounded receptive ST clauses in which Alice acts as agent and other objects or animate beings as affected entity in the processes, such as the instance C12-14, *they must be collected at once* in which *they* refers to the jurymen upset by Alice out of carelessness. Such receptive voices are actually backgrounded in the ST SCD3 to indicate Alice's strong intervening activity in the environment, which forms a stark contrast with those in representing Alice's status in the SCD1 and SCD2. This means that their translated counterparts may reduce the dynamism of the character in the TT by transforming them into operatives. It is also quite clear that this type of shifts is usually stylistically preferential if the ST English clauses are receptive processes. According to Matthiessen (2001:44), receptive options are marked in English, so the use of receptive processes is supposed to be foregrounded among the mostly backgrounded operative processes. The observed receptive processes contain both material and mental processes, some of which are listed in the table.

No.	ST	TT
C1-72	Alice was not a bit hurt.	阿麗思一點也沒有跌痛。 BT: Alice did not hurt from the fall.
C6-27	Alice did not like to be told so.	不過阿麗思不喜歡別人對她這麼說。 BT: Alice didn't like others to tell her in this manner.
C7-26	Alice felt dreadfully puzzled.	阿麗思覺得這話不很明白。 BT: Alice thought these were not so clear.
C7-42	(said Alice,) rather alarmed at the proposal.	-- (omitted).

Table 6.8 Contrastive examples of shifts from receptive to operative

As discussed above, receptive processes can be used in the ST to represent the passive status on the part of Alice by placing Alice in the position of the actor



and keeping the agency implicit or concealed beneath the textual surface. In the above cited instances, some can be subsumed under the mental processes, such as the C7-26, while C6-27 under the verbal process according to Halliday and Matthiessen (2004). However, due to the *receptive* status they contain in representing Alice's status, here their *receptiveness* will be highlighted so that we can discuss their translation. In all the instances except the instance C6-27 where Alice acts as the recipient (whom *told* to) of the verbiage, Alice is actually the *affected* entity, just contrary to Alice's status intended to be in the SCD3.

In the instances cited above, the affected status of Alice in the ST material processes was rendered as kind of somewhat agentive status: 阿麗思一點也沒有跌痛 (Alice did not hurt at all from the fall.), in which Alice acts as actor of the material process. In the instances C7-26 and C7-42, Alice functions as "affected entity" in the mental process: *she felt puzzled* and the material process *she was alarmed*. However, in the TT, the C7-26 was transformed into 阿麗思覺得這話不很明白 (Alice felt these words are not very clear), while the C7-42 was completely omitted in the translation. Through such reversing of the status of Alice, that is, converting it into an agent and a sensor, Alice seems to have been portrayed as a participant who is active in thinking or reacting, in which her powerlessness is eliminated and begins to obtain some kind of ability in thinking. However, this is not the case in the ST, esp. in the first and second SCD where the author intended Alice to remain to be very passive, even sometimes limited in thinking and reacting abilities. So it can be seen that the cases of a ST receptive process that is conveyed as TT operative are significant for the investigation of ideological effects.

### 3.4 Transactive verb plus Prepositional extensions

In order to obscure the causal relations in the ST processes, non-transactive material processes are often used to in the ST so that the actions contained seem

to be autonomous, self-generated and can not extend to any other participants. Besides, the use of transactive verb plus prepositional extensions can also limit the extension of the action not beyond the particular target. This particular usage is also a poetic writing strategy for writers to contribute to the representation of a particular characterization in the fiction. As far as the use of *transactive plus prepositional phrases* in the dream fantasy is concerned, there are several cases of such uses that are highly foregrounded in the language of the fantasy fiction. Here in the following table are the uses of the action of “nibble” in the ST plus its prepositional extensions:

No.	Transactive + prepositional extensions	Chap. No. & Page
C5-49	[...] and nibbled a little of the right-hand bit (to try the effect).	Chap. five: 62
C5-109	[...] and she set to work very carefully, nibbling first at one and then at the other [...]	Chap. Five: 66
C5-122	So she began nibbling at the right-hand bit again. (AW 66)	Chap. Five: 66
C6-134	(she did not like to go near till) she had nibbled some more of the left-hand bit of the mushroom. (AW 82)	Chap. Six: 82
C7-93	Then she went to work nibbling at the mushroom. (AW 98)	Chap. Seven: 98

Table 6.9 Progressive scale for *nibbling* actions of Alice

In the whole novel, there are altogether 5 instances of Alice’s *nibbling* actions at the mushroom after she received advice from the caterpillar to learn to control her body size by *nibbling* the mushroom. It is very interesting that the five material processes are distributed among the three chapters from chapter five through chapter seven. The instances C5-49, C5-109 and C5-122 occurred in the 5<sup>th</sup> chapter, while the instance C6-134 occurred in the 6<sup>th</sup> chapter, and the

instance C7-93 occurred in the 7<sup>th</sup> chapter, the very point of time right before Alice's entering the garden. Obviously, they are highly foregrounded not only in terms of the specific function (e.g. as a magical object or agent to control her body size), but also in terms of the specific forms the material processes take on. The processes in the instances C5-109, C5-122 and C7-93 appear in the form of transactive verbs plus the prepositional extensions. Apparently, the prepositional extensions, the grammatical construction of "at + noun phrases" is referring to some particular point of place; so "first at one and then at the other" in C5-109, and "at the mushroom" in C7-93, all function consistently to delimit the "scope" of Alice's "nibbling" action that is not allowed to go beyond "the right (or left)-hand little bit (of mushroom)". Even with such "strict" delimitation of the *nibbling* "scope", another very distinct feature can also be detected in the representation of the processes, that is, there have been usually some specific *small words* "lingering" between the process *nibbling* and the affected goal. When there is a distance (through some hindering words) from the action process to the affected, they are expected to produce some kind of hindrance to the protagonist Alice when she enacted her *nibbling* at the mushroom, which again is a kind of symbolic meaning to be disclosed in the context, that is, it symbolizes the difficulty the protagonist experiences in eating the mushroom. This point is particularly conspicuous in the instances C5-49 and C6-134, both of which are lacking the prepositional *at*, we can take the clause as an instance:

C5-49. (she) nibbled a little of the right-hand bit (to try the effect).

Superficially, this seems to be a straight-forward transactive, in which the "a little" acts as the affected goal. However, on closer examination of this clause, what Alice really nibbles should be the "mushroom" rather than "a little", nor the "right-hand bit". "a little" as well as "the right-hand bit" actually refers to some abstract quantifier that means not so much in amount or degree. Apparently this analysis also applies to the C5-109 and C5-122. So the underlying process is:

*She nibbled the mushroom that is a little bit in quantity in her right hand.*

This above process is apparently a powerful process of material: action: intention: transactive, which the author has deliberately chosen to avoid. Instead, as has been shown above, he chose to use the former (C5-49) which Hodge and Kress (1993:49) have subsumed under the heading of pseudo-transactive, which looks much like transactive in appearance, but can have the same function as those straightforward material non-transactives with a *delimited* scope. As far as its function in the characterization of Alice in the transitional stage (roughly in the SCD2), these pseudo-transactives vividly mimics the process of Alice's *nibbling* the mushroom in the dreamland world in which there is nothing easy for her but difficulty everywhere. Even the assumed small actions, like *nibbling* the mushroom still takes time to finish with great difficulty. Here in the following translated counterparts are presented:

No.	TT
C5-49	阿麗思就把右手裏的蘑菇咬了一點...(AW 63) BT: Thus Alice bit a little of the mushroom in her right hand.
C5-109	所以這一回她就小小心心地這一塊咬一點，那一塊咬一點。(AW 67) BT: Therefore this time very carefully at this piece she bit a little, and at that piece bit a little piece.
C5-122	[她]把左手裏的蘑菇再咬了一點。(AW 67) BT: She bit a little of the mushroom in her left hand.
C6-134	[她]把左手裏的蘑菇再咬了一點。(AW 83) BT: She again bit a little of the mushroom in her left hand.
C7-93	她又咬了一點右手裏的蘑菇。(AW 99) BT: She again bit a little of the mushroom in her right hand.

Table 6.10 Translation of the nibbling actions of Alice

In a comparative look at the both ST and TT versions of the five instances of *nibbling* clauses, a lot of differences can be detected between the comparative versions of them. Looking through all the five instances, the concrete word

*mushroom* can be found in every one of them in the TT. This is very different from the ST processes in that *mushroom* did not appear until in the fourth clause C6-134 along the progressive cline of Alice's SCD. In the TT instances, the C5-49 was rendered by adopting the *ba-* construction that can be regarded as an operative structure in Chinese in the semantic sense; and the C5-109 was rendered very closely to the ST and obtained the vividness from the original text by inserting 小小心心地 (*xiaoxiao xinxin de*; very carefully) between the agent “她” (she) and the nibbling process “咬” (*yao*; to bite), which may be conceived as a kind of hindrance placed in the way between the Agent and the action *yao* (咬). However, the shifts can be found obviously in the ensuing three processes. In the C5-122, the translator not only missed the prepositional extension, the “at” phrases, but also converted the ST into a very apparent transactive processes by concretizing the “[in the] right-hand” into “the mushroom in the right hand”. In the C6-134, “some more of the left-hand bit” was concretized into “the mushroom in her left hand”, to which the translator applied the same translation strategy. The ST instances from C5-49 to C6-134 along the so-called progressive cline of SCD are derived from the fifth and sixth chapters of the novel, where Alice has come to manage to control her body size. The ST instance C7-93 comes from the ending paragraph of the seventh chapter when Alice was currently planning to enter the beautiful garden. “*Then she went to work nibbling at the mushroom*” (Chapter 7: 98) is the last mention of the action of “nibbling” the mushroom in the whole fiction. What is obviously marked here is that the affected goal “mushroom” appears in the clause for the second time and also the last time; and what is also marked here is that there seem to be no small words inserted in the space between action of the process and affected goal. Taking the particular exact time *point* when Alice *is entering* the garden into consideration, Alice is assumed to be becoming more active than she was in the previous two chapters: chapters Five and Six. Through learning to control her body size, she was also much more confident in dealing with world than she was in previous events, so this is also reflected in the

author's representation of the *nibbling* process that takes place at this point of time in the ST. However, the translator seemed to have ignored this aspect of semantic and semiotic representation by sticking to a similar translation strategy used in the previous translation of such processes:

(TT of) C7-93 她又咬了一點右手裡的蘑菇。

BT: She again bit a little of the mushroom in her right hand.

The translator apparently added the redundant small words that are not needed any more at this point of time in the translation of C7-93. The additions of such hindering words seem undoubtedly to have suppressed Alice's dynamism that the original author intended to highlight in this particular context. Apparently, the five instances of *nibbling* actions through the Chapters from Five to Seven have formed a progressive scale of Alice's characterization development from her inactivity and impotency to a higher level of activity and dynamism. This that the translator seemed to have missed is the very link that the original intended to establish between the structure of language and the pragma-semiotic functions such structures try to transmit in their context.

### *3.5 Non-transactive to transactive opposition*

As was discussed in chapter 4, one of the conspicuous means of creating passive characterization is to use the material non-transactive to represent Alice's actions in the dreamland world. Most non-transactives are two-place structures in which the actor and the action are in the syntagmatic chain and thus seem to represent elements of the event. The sequential ordering process following a nominal entity can have "immense psychological and hence semantic import" (Hodge and Kress 1993:39). So the nominal entity seems to be causally involved in initiating the action, but actually the precise nature of the relationship is far from determinate. In such a process, the causal relations can be obscured in the non-transactives, and the reality represented in the

processes seems to be autonomous, self-caused and hence become magic and mysterious. Here in the following are such processes:

No.	ST	TT
C1-03	(Alice ...) of sitting by her sister.	[...]陪著她姊姊。 BT: (Alice) accompanied her elder sister.
C1-121	Her face brightened up.	她臉上登時現出喜色。 BT: Her face produced a delightful color.
C1-159	She was playing against herself.	自己玩槌球。 BT: She herself played croquet.
C4-130	but she ran off.	她拼著雙腿飛跑。 BT: she forced her two legs to run fast.
C5-18	Alice turned.	阿麗思就掉過頭。 BT: Alice thus swiveled her head.

Table 6.11 Contrastive examples of shifts from non-transactive to transactive

Due to the similarities in the expression of the non-transactives between English and Chinese, the English non-transactives can usually be rendered as the non-transactives in Chinese. However, the shifts from non-transactives in English to transactives in Chinese can often be foregrounded in the TT due to the limited number of transactive material processes, esp. in the first SCD where Alice is intended to be passive and impotent. Consequently, the transactives in the TT can become indicators that signify the degree of Alice's dynamism and her engagement with her surroundings. The five ST non-transactives in the table actually represent Alice's passive status. In the instance C1-03, (*she gets very tired of*) *sitting by her sister* in which the action *sit* does not extend to another participant. In the TT, however, it was rendered “陪著她姊姊” (she accompanied her elder sister) in which, Alice's action “accompanied” does extend to another participant, that is, *her elder sister*, the animate being. In the instance C1-121, it is *her body parts* (i.e., her face) that act as the actor, whose action (brightened up) occurs without indicating the explicit causal relations. However, in the TT there is an action 現出 (*xianchu*, produced) that was added to the process, which also

extends to the affected entity, 喜色 (a delightful color). The shift in the instance C1-159 is very obvious in that the participant affected by the action is added to the process by the translator who inferred it from the context: 自己玩槌球 (she herself played the croquet), the word 玩 in Chinese may mean “move something (such as a croquet) back and forth for pleasure or amusement”, in this sense, it is a transactive process that is somewhat different from the word *play* in English. For the instance C4-130, the ST is a material: action: intention process, though it is not a transactive. However, it is expanded into two material processes consisting of one material transactive and one non-transactive. Thus the dynamism contained in the TT processes is very obvious in comparison to the ST ones in that the translator added 拼著兩條腿 (*her two legs*) as affected entity of the agent in the translation. In the instance C5-18, the ST non-transactive was rendered as another transactive, which apparently contains more dynamism than its original though what Alice whirls is nothing but her own head.

The shifts formulated in the Table 6.10 are all from the SCD1. Apparently, the characterization constructed out of the TT processes, a protagonist injected with stronger dynamism, seems to be contradictory to the one out of the ST processes. So it can be said that these shifts that occur in the SCD1 can actually form a sharp contrast with the ones that are detected in the chapter twelve, the very final stage of the third SCD, in which Alice has become dynamically active. But their translations are expectedly different in their transitivity structuring in the TT. Here in the following are two ST instances:

No.	ST	TT
C12-41	(the cards) came flying down upon her.	(紙牌)騰飛下來打在她身上。 BT: (the cards) soared up and down to strike her on the body.
C12-05	she tipped over the jury-box with the edge of her skirt.	她的裙子邊帶翻了...陪審團座廂。 BT: The edge of her skirt overturned the jury-box.

Table 6.12 Contrastive examples of shifts on Alice’s dynamism in the last stage



Actually, in these two shifted instances, Alice was not a participant in the ST of C12-41, but only a circumstantial element. It was designed to describe the shattered court system before Alice who has become very brave and courageous at last stage in the story when she boldly said “you are nothing but a pack of cards” to all the people including the King and Queen in the court. The description of the cards that “came flying” sounds mysterious and magic and the *flying* action is actually not targeted at Alice, but a sign of the disintegration of the dreamland world at last. It is at this point of time that Alice, the protagonist, would wake up from her long dream and come back to the real world out of the fantasy underground. However, in the TT, Alice becomes an affected participant, 騰飛下來打在她身上(the cards soared up to strike her on the body). In this translation, the thing that has the strong dynamism is the cards which *soared up* and could even exert such a forceful action like *strike* (somebody), while Alice unbelievably becomes again a passive victim of her surroundings, in which she can do nothing but to yield. This is quite contradictory to the situation descriptions in the ST of the last chapter where Alice’s dynamism is so strong that it has been a norm at the climax that she can enact upon other animate beings around her.

#### *4. Discussion: Evaluating Alice’s characterization on a cline of development*

As was discussed previously in chapter 4, section 4.4, the ST characterization can be divided into three stages in terms of Alice’s characterization development in the dream fantasy. The first stage of her characterization development (i.e. SCD1) can be referred to as one of passiveness and impotency characterized by Alice’s timidity and inability; the second SCD can be referred to as an intermediate stage of Alice’s dynamic activities and engagement with her surroundings in comparison with the first one. The third SCD can be referred to as a “perfection” stage in which Alice’ characterization

is developed and promoted almost to a degree of perfection and Alice behaves with complete freedom as a human being, esp. in the last (i.e. 12<sup>th</sup>) chapter where the story is coming to a closing climax. So through the three SCDs of the story, Alice's character development can be said to form a cline from the beginning of the story where Alice was following the Rabbit down the hole through to the last chapter where she woke up and was *liberated* from absurd dreamland underground world as free human being. At one end of the cline, Alice is very impotent and passive; and at the other end Alice recovers completely from her impotency and becomes dynamic and active as a *normal* human being. This development can be seen from and supported by the representation in the transitivity system of the language of experiential structures. Now in the following, we will conclude the transitivity patterns detected in the translation, the features which may have distorted the characterization in one way or another.

#### 4.1 SCD1

SCD1 (covering chapters from 1 to 5) is the beginning stage where Alice falls into the Rabbit Hole by following the Rabbit. She was now timid, passive, and even impotent in most cases. The transitivity features in SCD1 are mainly characterized by material and mental processes and also the non-transactives in the material processes, which thus establish a norm in the language used to represent Alice's passive status and impotency. The functions of the language patterns are thus of great significance, so the features that are chosen to be foregrounded is highly significant and are derived from the ideational component in the language system. Typically, the causal relations in the transitivity patterns are obscured due to the fact that the roles of "affected" and "agent" in the non-transactives are changed into one participant, which means that the processes are seldom represented as deriving from an external cause and there tends to be only one participant involved. As far as mental processes

are concerned, there are mostly mental transactives though there are a few non-transactives to indicate Alice's partly active mental ability. Even so, however, *doing* always seems to be as passive as *seeing*, and the surroundings of the dreamland world are no more affected by Alice's *actions* than by her *perceptions*. There are actually some material physical transactives that can constitute particular patterns in this stage, which have been discussed in Chapter 4, Section 4. However, it is significant that most of these physical transactives have *her own body* or *herself* as the affected participant. That means, in this stage if Alice is able to enact on anything, she enacts on nothing else but her own body. However, as observed in the translation, they were either translated into material intentional processes, for example, C1-27, (*to think about*) *stopping herself* was rendered as 想停 (want to stop); or translated into material transactives in which Alice acts as a human agent which acts on an external participant, for example,

C7:54. She helped herself to some tea and bread and butter.

was rendered into

TT of C7-54: 她就用了些茶和泡麵。

Back translation: she ate some tea and instant noodles.

In some cases, the ST material processes with Alice herself or her body parts as affected participant were often used to represent the protagonist's impotent situation in the dreamland. However, these processes were unfortunately omitted in the TT. Here is another instance shift here:

C1-47. When she tired herself out (...).

This ST process was just deleted in the TT.

As discussed above in this Chapter, Section 2.2, the SCD1 was also characterized by the inactivity represented through the use of mental processes. The use of many mental transactives shapes Alice into passive observer of her

surroundings in the context. What she could do with her situation is *see* or *watch*, to be a little more general, is to *react* to the different situations in the world. The happenings she reacts to are not changed in any way by her *seeing* or *watching*, but instead Alice is changed in some way by her reactions. So we say the heavy uses of mental processes have definitely increased Alice's passivity and impotency in the ST.

There is still another means of representing this passivity. That is to replace the *role of the senser* Alice with her body parts, such as the *eye* or *her head*. Such representation puts Alice in a situation in which she even lacks the reacting or perceiving ability in the ST. The avoidance of explicit reference to Alice as actor or agent tends to dissociate *her* from the action, so that the result is a description of the act of the inanimate things or *body parts* rather than Alice herself doing the actions. Obviously in this way, Alice's power to behave herself as a normal human being has been deprived of in this stage in the dreamland. In the TT, however, Alice as the senser was restored in the processes. Along with the restoration, there is also the dynamism in Alice's mental capacity in active thinking and reacting. The motivation behind the ST use of body parts as in the role of senser to convey Alice's detachment and alienation has been ignored by the translator in the TT.

#### 4.2 SCD2

The SCD2 is the intermediate stage (covering the Chapters 6 to 7) which sets up the bridge between the SCD1 and SCD3. It is through this intermediate stage that Alice is developed step by step to perfection as a real human being in the third stage. This intermediateness in the stage of her characterization development can also be reflected in the ST transitivity choices in the language as was discussed previously. As shown in Chapter 4, Section 5.2, this stage has a total of 207 processes, which mainly consist of 58 material processes (accounting for 28%), 68 mental processes (accounting for 33%), and 74 verbal processes (accounting

for 36%). The remaining are those which are insignificant to the construction of Alice's characterization in the story, which consists of 5 relational and 2 behavioral processes. The relational and behavioral process are not significant any longer. On the contrary, the significant ideology-linked processes like material, mental and relational processes can be highly foregrounded in this context. There are a few material processes in which Alice acts as agent, and there is a strong indication that Alice is becoming more active and dynamic in this stage because almost all the material processes are material intentional processes, although most of them are still non-transactives. There are really some material transactives that appear at this stage. In the latter chapter (that is, the 7<sup>th</sup> chapter of AW) of this SCD2, Alice was even entitled to have enough *power* to enact upon other animate beings to do something, for example, in the instance C7-68, *she let the Dormouse go on for some time (without interrupting it)* (AW 68). The audience can see that a clear indicator of increasing dynamism can be detected out of the transitivity structuring, that is, Alice has obtained some kind of power to *let* others to *go on*, of course if she did not, she could *interrupt* it as the latter clause bracketed in the above sentence may have implied. Besides, there are a relative large number of transactive physical processes that show Alice's actions began to be directed at particular objects in her surroundings, such as:

C7-89. [...] taking the golden key.

Chao: 她就取了那把金鑰匙。

BT: She thus obtained the gold key.

C7-91. [...] and unlocking the door.

Chao: 用它把花園的門開了開來。

BT: [she] used it to open the door.

As observed from the above two instances, the translator seemed to have

rendered a relatively equivalent translation to the ST clauses due to the roughly similar expression habit of transitivity between English and Chinese, although in the instance C7-91, an action process 用它 (used it) is inserted and thus an event process *it to open the door* produced in TT, in which it is *it* (referring to *the key*) that opened the door rather than *She*.

As far as the mental processes are concerned, Alice's perception and cognizing abilities are apparently more actively stronger than she was in the first stage. And this can be seen from the fact that the number of mental processes has largely decreased in the SCD2. And the use of metonymic agents (such as Alice's *eye* or *head*) to represent her reactions is also largely decreased in comparison with that in the SCD1. Of course, she can still be thought of as passive in some particular aspects from the highly foregrounded use of *found* and the material process of *nibble* in this stage.

Echoing the ST process analysis, the TT process analysis can thus form a kind of contrast with that. Many of the highly foregrounded transactives were similarly rendered as material transactives in the Chinese TT due to the fact that the Chinese language has similar transitivity structures to that of English. So there isn't so much difficulty in rendering English transactives if the translator is aware of the poetic purposes on the original author's part. Even so, there are still some seeming material transactive processes in the SCD2 that have been rendered as TT clauses in a shifted way and may damage the characterization in terms of their semiotic effect:

C7-61: Alice rather unwillingly took the place of the March Hare.

Chao: 阿麗思很不願意地挪到那三月兔的位子裏。

BT: Alice rather unwillingly moved into the position of the March Hare.

C7-81: She picked her way through the forest.

Chao: 阿麗思走上林子的路上。

BT: Alice walked onto the road in the forest.

Both of the above instances are from SCD2, which means that Alice at this stage has demonstrated a certain degree of activeness and courage from her accumulated increase of dynamism over the construction of transitivity structuring. In the instance C7-61, *Alice rather unwillingly took the place of the March Hare* in which Alice began to show her will of doing something or not doing something. So here she *rather unwillingly took the place of March Hare* is a material transactive process. Likewise, the instance C7-81 also appears in the form of material transactive, though it is a pseudo-transactive in Hodge and Kress's words (1993; Halliday 1971), because *the way behind she picked* is actually the range in the terms of Halliday and Matthiessen (2004). But at any rate, the illusive impression of strong dynamic force produced on the part of Alice is created by such a pseudo-transactive. That means that even the pseudo-transactive transitivity structuring has helped to create the impression that Alice is becoming stronger and more courageous and will thus make some kind of preparation for Alice's entering the SCD3 and coming to the fore in the dreamland world. However, after a comparative look at the two TT clauses, both of them were rendered respectively as non-transactive processes: 挪到... (moved into [...]) and 阿麗思走上林子的路上 (Alice walked onto the road in the forest) in which the dynamism Alice's just gained or signaled through the use of pseudo-transactives is got lost again in the translation.

One highly foregrounded use of the "nibble" actions has been discussed in this present chapter, section 2.4, where the different types of processes can become certain indicators of Alice's characterization development. If it is remembered from section 2.4 that there is one use of the "nibble" process, which can be found at the end of the 7<sup>th</sup> chapter, right before Alice was entering the Garden:

C7-93: (she set to work) nibbling at the mushroom.

What is different in this structuring of transitivity from those that have gone

before discussed in the section 2.4 is that there were no small “hindrance words” inserted between the action process and the affected goal “the mushroom”, which may, at the semiotic level, symbolize less difficulty for the protagonist to eat the mushroom. However, the translator seemed to have ignored this point in the circumstantial element in this clause. In the ST, this process formed a contrast with the previous ones in terms of the dynamism contained in it. Here in the following is its counterpart in the TT:

TT of C7-93: 她又咬了一點右手裏的蘑菇。

BT: She again nibbled a little bit of her right-hand mushroom.

By sticking to the same clause structure with the previous “nibbling” ones, the translator also ignored the differences of dynamism contained in this clause from those previous ones appearing before. The inserting of the small words between the action *nibble* and the affected *mushroom*, the translator may unconsciously have eliminated the dynamism increase intended by the original author in the literary text.

In this part, the uses of foregrounded mental processes may indicate that Alice’s dynamism was not developed to the highest level. For example, when Alice “nibbled at” the mushroom and in C7-98, she “found herself at last in the beautiful garden”. However, this was rendered as two material processes: action: intentional:

TT of C7-98:

（阿麗思）然後才到底進了那美麗的花園；

走進鮮花和清泉當中。

BT: Then (Alice) entered the beautiful garden,

and walked into the fresh flowers and clear fountains.

The conversion of one mental process into two material: action: intention



processes can always involve some certain distortions in one way or another in the literary discourse. Therefore the foregrounded rendering in the TT is bound to distort the characterization of Alice and demystify her passive status that has been constructed along the character development continuum in the story.

Another means used in this stage is to use relational processes to represent Alice's increasingly stronger dynamism in the dream fantasy. As was discussed in this chapter, section 2.3, the original author may use relational processes to describe the ST situations as established common knowledge or as presupposed, which consequently serves to mystify the ST dream fantasy world. So it is assumed that relational processes can play a role in the characterization of Alice. However, some of these ST relational processes were rendered as material processes or other types of processes in the TT. Here is an ST instance and its TT counterpart:

C7-96. [...] till she was a foot high. (98)

The TT counterpart is:

TT of C7-96: 使她縮到一尺多高。

BT: [...] made her shrink to more than a foot high.

The relational process in the ST is actually used for some kind of mysterious and magic purposes, in which the use of the conjunction of *till* may indicate Alice's increased dynamism, to a certain degree, though it was not strong enough as that in the SCD3, particularly Chapter 12. When this relational process was rendered as two material ones, the causative relations are made explicit that what makes Alice shrink to more than a foot high is the very action of *nibbling* at the mushroom. However, this explicitation does not exist in the ST text because the logical and causative relations were all implicit in the ST.

As a brief summary of this section, there have appeared a few transactives in this stage, but most of them were rendered as the roughly equivalent TT transactives.

These transactives usually signal Alice's increasing activity in the story. However, not all the highly foregrounded transactives were rendered equivalently in the TT. These distortions in the transitivity structuring in the TT may damage the characterization of the protagonist when they appear as non-transactives or other processes signaling impotency and inactivity in the SCD2. Consequently, the dynamism is certain to be reduced. The effect of this reduction in dynamism on the part of Alice is accumulated when the "nibbling" process was translated as it was in the previous chapters due to the translator's ignorance of the difference in this clause from those in the previous ones. However, in translating the foregrounded mental processes into material: action: intentional ones, the translator unconsciously increased the dynamism of Alice. Somehow, it is still not known whether the above reduction effect in the former case shifts can be cancelled out by the following reinforcement of the dynamism in the latter cases. Perhaps, this needs some empirical evidences, esp. the evidence obtained by conducting a "psychological approach" advocated by Blum-Kulka (2000:313), to support this cancellation if there is any.

#### *4.3 SCD3*

SCD3 (covering chapters from 8 to 12) is the stage where Alice was gaining her dynamism and fully recovered as a normal human being in the end. As discussed in Chapter 4, Section 4, the SCD3 is mainly characterized by Alice's increasing dynamism and strong engagement with her new environment till the last chapter where she, as the protagonist, has been developed by the author into a perfect and normal human being. The different changes of her status in the dreamland world can be observed in the analysis of the representation of the patterned transitivity structures and organizations. On investigating the transitivity patterning, we can find the transition is very complete in the sense that at this third stage Alice's actions were mostly targeted at other animate beings and almost all her actions, mostly in the form of material transactives, extend directly to an affected goal

which often appear in the form of an animate being. In this stage, Alice actually speaks a lot and furthermore most of her speeches are directed at other beings or characters in the story, most of her verbiage is targeted at another recipient in the transitivity structuring. This is quite unlike the verbal processes in the first stage where Alice's words are mostly addressed to nobody / nothing, or just to herself. There are altogether 320 processes in the SCD3, among which there are 92 verbal processes, 107 material processes, and 102 mental processes. Apparently, the verbal processes account for a relatively larger proportion in comparison with the percentage it is expected to occur in the narrative genres. But if we remember that the fantasy fiction of *AW* is actually a novel of dialogues, it will not be surprising that there are disproportionately many verbal processes. So against the big number of verbal processes which are thus backgrounded, the material and mental processes can be foregrounded. This foregrounding itself is significant for the role it plays in the construction of the characterization in the dream fantasy in that it draws the audience's attention to such processes and thus plays a significant role in the direction of audience's interpretation.

As discussed in the above section, the translator seemed to have no problems with translating the highly foregrounded material transactives due to the structural similarity of English transitivity system with that of Chinese. However, lack of understanding of the functioning of the transitivity and participant roles may still cause problems in the translating process, which may consequently produce distorting effects on the characterization in the TT. Here we can cite some examples in the twelfth chapter, the climactic point of this dream fantasy, where Alice has completely recovered from her impotent status and behaves perfectly freely as a human being. So she can be completely responsible for her own actions and can thus exert directly effect on other entities, be they inanimate or animate. Here is an instance that has been looked at elsewhere in this thesis, and here it is cited again for emphasis:

C12-05: She tipped over the jury-box with the edge of her skirt.

which was rendered as

TT of C1205: 她的裙子邊帶翻了陪審團座廂。

BT: The edge of her skirt tipped over the jury-box.

It is very conspicuous that the ST agent “she” (indicating Alice) has been replaced by the *instrument* Alice used (the term *instrument* has been discussed in Chapter Three, section 1.1): “the edge of her skirt” in the TT. This change thus transforms a material: action: intention: transactive process into an event one. The agentive changes along with the semiotic effect these changes brought about in the TT have undoubtedly suppressed the dynamism and activity Alice was expected to be endowed with in the third SCD, and in a contrary direction highlighted her passiveness in the very climatic point in the last chapter. With the agentive shift, she seemed to have come back into the second or even first SCD where Alice was very passive and impotent, and could not enact on other things once more in her surroundings, not to mention the animate beings around her.

As was discussed in this chapter, section 2.2, along with the increase of her dynamism through the progressive stages through fantasy novel, Alice also shows some signals of interactivity with her surroundings. This can be represented in the fact that Alice began to act as recipient to be addressed in the verbal communication, like in the instance C12-23, *the king said to Alice*; and she also acts as *phenomenon* in mental processes, like in the process of C12-08, *reminding her of goldfish*. This means that she not only addresses other animate beings, but also is addressed at, which is quite commonplace for a person in the normal circumstances. Such signs of interactivity can also be reflected in other types of mental processes in the form of material processes which have been discussed in this chapter, section 3.2. This means that the transitivity structuring even in the processes like C12-05: *The accident of the goldfish kept running in her head* may indicate a signal of increase of dynamism of Alice from the perspective of her *increasingly* active interaction with the environment, because

the mental processes in the previous stages (especially in the SCD1) are usually represented through the mental transactives. In some of these processes the *sensors* are even replaced by Alice's body parts, such as *her eye*, in the instance C1-162, *Soon her eye fell on a little glass box that [...]*, etc. Such processes are actually very typical in the SCD1 and in the early stages of SCD2.

However, different from the type of processes in replacing *sensors'* roles with Alice's *body parts*, the mental processes in the climactic chapter of SCD3 look more like material processes filled with vigor and dynamic activity. This indicates to a great extent that the protagonist has got a good command of her mental abilities, including her cognitions, reactions and perceptions after she recovers from her passive status and becomes a normal human being.

Looking over the TT counterparts of the interactive instances, there seem to be no problems for the translator to deal with translation of the verbal processes. But for the latter type of mental processes, they were rendered as:

C12-12. the accident of the goldfish kept running in her head.

Chao. 她總想到那回金魚缸的事。

BT: She always thought of the accident of goldfish tank.

C12-08. reminding her of a globe of gold-fish.

Chao. (她)倒想到(…)

BT: She actually thought of (...).

With these renderings into apparently mental transactives with Alice acting again as the *senser* in position of the sensing role, Alice is represented again to be passive which is similar in some way to that she was in the second and the first stages. Consequently, this dynamism and interactivity created by the transitivity patterning in the ST have been damaged in the TT. The SCD1 and SCD3 in the ST can actually form a parallel in that the world constructed in the SCD1 in which cause and effect are usually implicit and unknown, while the

cause and effect in the SCD3 can always be traceable. In the third stage, Alice as agent apparently is highly foregrounded in material processes, esp. in the form of material intentional transactives. However, this was changed and shifted in the TT when Alice was replaced by some other agent, such as “the edge of her skirt”, etc., which thus changes a material transactive into event one.

### *5. Conclusion*

The transitivity patterning of the three respective SCDs have provided a perspective to investigate the language of characterization along the cline of its development. As Halliday (1971:118) asserts, the linguistic analysis is to establish certain regular patterns in the form of differences which appear to be significant over a broad picture on a comparative basis. By following this principle, this chapter has looked at three main types of shifts and their ideological effects on the characterization in the TT:

1. the shifts of process vs no-process and their ideological implications;
2. the shifts of process vs process and their ideological implications;
3. other types of shifts (including shifts from event to action, changes in the sensors' roles, shifts from receptive to operative and the shifts in transactive plus prepositional extensions, etc.) and their ideological implications.

It is very significant to note that shifts do not usually function on an individual basis in the translation, but they may work in an accumulative manner to constitute transitivity patterns at the textual level. In this sense, the process within each shift does not necessarily contain rigid absolute meanings, but the analysis of the shifts discloses their relative values of each of its components, while these components were put together, they will exert their ideological influences in the text.

### *5.1 Pragma-semiotic effect of transitivity shifts*

So far, it has been very clear that the choices made at the textural level, the level of transitivity, may have pragma-semiotic effect which further produces ideological influences on the characterization in the translation. So when the processes used to construct the characterization of the protagonist are transformed into other types of processes in the TT, distortions may be brought about along with the renderings. So a comparative investigation and thorough critical discourse analysis will provide a lot of insights towards the characterizing of Alice in the translation. Based on the transitivity shift analysis in the TT, different values related to each type of process have been explored. These different values will thus lead to the potential ideological effects in directing the audience's interpretation of the TT towards a certain direction. So the following conclusions can be reached from the discussions of the ideological implications of the shift patterns throughout this chapter.

A. Transitivity shifts of different types can be accumulated in their prama-semiotic effects that will eventually affect the audience's interpretation at the discoursal and generic levels. These shifts detected are often related to the discourse and genre of the dream fantasy and these shifts may have demystified and distorted the literary nature of the dream fantasy as a genre.

B. These ideological effects may not be intentional on the part of the translator, because occasionally the shifts may be due to translator's ignorance of the original writer's poetic writing strategy and its literary characteristics. In these cases, shifts are often unavoidable and even encouraged, though a particular choice selected by the translator may not be the only one to convey the ST process.

C. When the effects of shifts are investigated in the TT at both clause and

textual levels in combination with its context, it must always be noted that the three SCDs should be examined in parallel, and then the global effect of these shifts should also be evaluated against the background uses of modern English from the pragmatic and semiotic perspectives. Only by following this method can the extraordinary nature of the language of *AW* and characterization development stages of Alice as the protagonist can be evaluated in the research.

D. Of course, not all the ideological effects along with each type of transitivity has been investigated. Negligence of a particular shift or a type of shifts does not mean they don't have any ideological effect on the objective of this investigation, but it may be that they do not have so conspicuous influence on the characterization development at the global level in the text. For example, the nominalization from the SCD1 in the following:

C1-122. [...] at the thought.

Chao. 她就想過[...]

BT: She thus thought [...]

This concretizing or reification of a nominalization into a process can highlight Alice's mental reaction towards her surroundings, which is rather passive in nature, although it is deliberately obscured in the original text. This will surely bring part of dynamism to the surface on the part of Alice even though it was intended to be so by the original author. And further this will contribute to the distortion of the continuum that characterizes Alice through the whole three SCDs. However, since they don't constitute any particular patterns in the TT and thus will not bring potential ideological effects at the textual level, they will not be discussed in detail in this chapter.

## *5.2 The ideological effect on characterization*



On the basis of the discussion of the potential ideological effects of the transitivity patterns in the TT, their effects on the construction of characterization of Alice have also been discussed in this chapter, section 4. It is found that Alice's characterization has undergone different degrees of deformation and distortion in the TT in comparison with that in the ST. These distortions are particularly evident when the transitivity patterning representing the characterization are looked at against the background of the transitivity system of modern English.

In the SCD1, the passivity and impotency of Alice intended by the author through the representation of event-like material non-transactives, or supervision processes like the instance C1-30, *She fell very slowly*, are typical cases of suppressing her actions in the context, on the one hand. On the other hand, this suppression can also be reflected in her reacting and cognizing abilities which are "activated" in some way through the translator's translation shifts in the TT, such as the shifts in agency, changes of the sensors' roles, etc.

In the SCD2, the signals of increasing dynamism represented through some highly foregrounded material intentional trans-active processes and some particular pseudo-transactives were somewhat ignored by the translator, such as the instance we have discussed: C7-61, *Alice [...] took the place of the dormouse*, which was rendered as a non-transactive. However, somewhere else in the text, Alice's dynamism and engagement was overstressed by transforming some foregrounded passively indicated mental processes into material intentional action processes. As demonstrated in section 4 of this chapter, the distortion can be reinforced by other types of shifts. Apparently, this indicates that the translator's translation strategies might be inconsistent in constructing Alice's characterization in some places in the translation.

For the SCD3, it should be said that this is a stage where Alice's character is developed to a degree of perfection, which means, she will be gradually developed towards and function as a normal human being in this stage. This

development and sublimation is also signaled by the highly foregrounded transitivity patterns, esp. the material transactive processes in which Alice acts as agent, and who can enact upon an affected participant in form of an animate being. However, the transitivity patterns of detected shifts in agency have reduced Alice's dynamism and her dynamic activity in the context. Along with the reduction of dynamism, her interactivity with the surroundings is also damaged to some degree due to the shifts caused in the TT.

Up to now, the connection between transitivity shifts at the textural level and their ideological effects on the characterization in the TT has been established and the implications and effects have been discussed. It is clear that the shifts have affected the characterization constructed in the ST. Along with the deformations and distortions of the characterization, the magical and mysterious atmosphere the transitivity patterns are intended to create is also damaged in the fantasy dream story in the translation.

## Chapter 7 Concluding Remarks

In the original text, the three stages of the protagonist Alice's character development have been distinguished according to the degree of her engagement with the surroundings of the underground dreamland world. For the sake of convenience of discussion, the three stages have been labeled as SCD1, SCD2 and SCD3 in our previous discussion according to the sequential order they occurred in the story. The differences in the discourse semantics concerning the transitivity structuring in the text have been identified in the three stages. In Chapter 6, these differences along with the repercussions have been discussed on the construction of characterization of the protagonist. It should be noted that the transitivity patterns that were chosen to be foregrounded must be interpreted in a different manner from the rest of the transitivity patterning in the same stage. The foregrounded transitivity structuring in the SCD3 can be seen as a deviation from the transitivity patterning as a whole in the dream fantasy story. However, if it is looked at against the modern English grammar, the transitivity patterns in the SCD3 can become a norm. In this sense, this constitutes what Halliday termed as "a double shift of stand point in the move from global to local norm" (Halliday 1971:119).

### *1. Basic findings concerning the three progressive SCDs*

Throughout the three SCDs along the progressive continuum, especially in the SCD1 which is filled with the processes of non-transactives, events and superventions, Alice has been described in the narrative to be paralyzed with the feeling of alienation from the surroundings. This is typically represented through her inability to enact upon her surroundings, and her very limited reacting abilities (mainly construed in the form of mental processes) towards the happenings around her in the dreamland world. And even she herself found it

difficult to communicate with those creatures around her. Here is a scene describing Alice's depression due to the failure to communicate with the *Frog Footman* from a scene in the Sixth chapter, the last chapter of the SCD1:

“oh, there is no use in talking to him,” said Alice desperately, “he’s perfectly idiotic”.(AW Chap. 6: 70)

Actually, this lack of communication can be found everywhere through the SCD1 of the fantasy story. In this situation, Alice is so passive as to appear completely ineffectual and impotent, and even she enacts some actions, these actions are often confined only to *herself* or *her body parts*. At the same time, her universe seemed to be suspended in a state of inaction and her life is paralyzed with a sense of inconsequentiality. However, this feeling of alienation was not made verbally explicit directly but rather through the functioning of transitivity patterning of the language in the novel.

So from the previous discussions, the following conclusions can be reached:

- 1) The transitivity shifts can form particular patterns which function to affect the contextual parameters in a cumulative manner which will eventually influence the audience's interpretation towards a certain direction.
- 2) The links between the textual shifts and the semiotic effects sometimes may not be easily seen and must be explored by using the critical stylistic approach which combines the surface textures with its ideological influences through an exploration of the pragma-semiotic effects.
- 3) Relevance theory can be applied here to the interpretation of the links between textural systems and their ideological influences on the characterization constructed in the dream fantasy story. The ST transitivity patterning acts in a way to direct the audience towards some kind of semiotic parameters. And in turn the ostensive-semiotic compound reveals the author's ideologies and poetic writing strategies with regard to their intentions.

When the translators change this transitivity patterning in one way or another, they will also at the same time direct the audience towards some kind of different semiotic interpretation which will consequently damage the characterization all-round that may turn out to be different from that in the original novel. Thus the corollary of this finding is two-fold:

On the one hand, the translator may not be conscious of the pragma-semiotic links between the transitivity organization at the textural level and their semiotic effects. Thus in the translation, the original author's ingenuity in the structuring of the transitivity and the patterning constructed in a particular context may be neglected. Such negligence will result in damages or distortions to the communication between the translation and the audience in terms of semiotic and ideological effects.

On the other hand, the translator may be conscious of the function of transitivity patterning in conveying the semiotic and ideological effects. However, due to the translation principle followed by the translator in order to achieve fluency and smoothness for the sake of the audience, translators may adopt totally different transitivity patterns in the TT by sacrificing the ST transitivity systems. Similar to the comments given by many critics of AW, the translator Chao also agreed that this is a work of fantasy of nonsense. As for the techniques to translate this work, Chao also expressed his opinions in the "Translator's Preface":

AW is a work of laughter and jokes, but its jokes are of a special type in that its meaning lies in the fact that it has *no meaning*. Here this *no-meaning* has two layers of *meaning*: on the one hand, the author wrote it without any moral statement in it; on the other hand, the above mentioned *no-meaning* is the so-called *nonsense* in English. It is called *absurd* <sup>7</sup> in Chinese. (Chao 1922:8; *my translation and emphasis*)

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<sup>7</sup> Here it was called by Chao Yuen-Ren as *butong* (不通), which literally means the *obstruction* of meaning. Today the word nonsense has many other equivalent names, like *huzhouyu* (胡謔語), or *huangdan* (荒誕) in Chinese, though the latter may easily be used to refer to another kind of literary genre of modern fiction.

Apparently, translating such nonsense of dream fantasy involves a lot of difficulty on the part of the translator. This kind of genre should avoid the addition of footnotes in an attempt to explain a particular complicated term involving wonderful humor. So Chao mentioned that he was doing a kind of experiment on the language of Chinese (Chao 1922:10) because he believed in the literary value of this kind of genre of *AW*. He tried to use the relatively modern language to translate it. This principle has endowed him with the right to domesticate the original transitivity organizations and restructure them in the *TT*. Of course, it must be noted that Chao is one of translators among his contemporary colleagues and even the translators in modern time, who follow the *ST* very closely on the surface of language<sup>8</sup>. Actually, in the circle of translation of the work *AW*, he had many followers who have imitated and “used” part of his translations even today.

This study also confirms the fact that female status in the narrative stories is usually lower and passive in comparison with male counterparts (Birch 1989; Mills 1995; Simpson 2004) from a different perspective, but this study has been done by focusing a female child status in a very different environment and has thus demonstrated that such a status can change over three different stages in the same story with the change of power of the protagonist (which will be given in detail in the next section). The data analysis also confirms the *explicitation hypothesis* put forward by Blum-Kulka (1988:299) that translation is a process of explicitation, that is, the translator often uses explicitation strategies – consciously or unconsciously, in order to guarantee the efficiency and fluency of their text. Thus explicitation makes the story more accessible to the audience, but simultaneously it may distort and demystify certain significant contextual parameters that were highlighted in the *ST*. As far as the current research is

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<sup>8</sup> This may partly be explained by the fact that there is not any apparent deletion of psychological descriptions in Chao’s translation, which forms a stark contrast with his other contemporary translators who deleted a lot of psychological descriptions of the protagonist Alice. It can be explained that in the Chinese literary tradition the psychological descriptions were not prevailing until *New Chinese Culture Movement* in 1919. In such sense, Chao’s translation is more “faithful” than those of all his contemporary translators.

concerned, the first and foremost damage caused is the distortion of the characterization and demystification of the magic and mysterious atmosphere in the TT in terms of the powerfulness of Alice as the protagonist who is expected to have along the continuum of the three SCDs she has undergone at each stage.

## *2 Findings concerning changes of Alice's powerfulness*

If we remember the scale ranking proposed by Hasan (1985:25-46), which was discussed in the Chapter Four, section 4, the powerfulness on the part of Alice reflected in the transitivity system can be distinguished into the three distinct stages. In the TT, such a development order of the protagonist towards a normal human being, or the so-called cline in terms of the powerfulness endowed to Alice as the agent, has been disrupted by the shifts in the transitivity patterning in increasing or decreasing Alice's dynamism at different places in the text. It has been shown that Alice even played an active and dynamic role in the processes in the very first stage, in which Alice was mostly intended to act passively and can be even termed as *medium-t*, which is least powerful in Toolan's (1998:88) terms<sup>9</sup> for her lack of powerfulness because the subject actually doesn't initiate any action in such a process as C1-29, (*she found herself*) *falling down*, which is more like an event or a happening than a actual "doing".

The binary opposition of powerfulness vs powerlessness can also be applied to the transitivity patterning through the mental processes, those with *body parts* acting as sensors, such as *the eye* in the instances C1-162, *Soon her eye fell on a little glass box that [...]* and C4-31, *her eye fell upon a little bottle that stood near the looking-glass*, are the least powerful, and in comparison, those mental non-transactives are relatively more powerful. This distinction is very useful to investigate Alice's changes of dynamism in the story. For example, in a material

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<sup>9</sup> In Toolan's classifications of medium, the term *medium-t* is the human medium and is the target of the process. It has been classified at the bottom of the scale of powerfulness, that is, it is least powerful. Along with this medium-t, there are still two medium that are not powerful, the beneficiary and medium, the three of which are the "kinds of done-to individual." (Toolan 1996:89)

process, it is very evident that an agent that can enact upon an animate being is the most powerful; while those processes like C1-31, *she fell very slowly*, belong to the least powerful. From these comparisons and contrasts, it can be seen that the depiction of Alice as a participant has changed dramatically and significantly in the patterning of transitivity across the three stages. The disruption of such a continuum has produced the following consequences on the construction of Alice's characterization in the story:

Firstly, as a general trend in the TT, the translator has increased the dynamism of Alice in the first stage of character development, and this dynamism is continually increased in the second SCD though it seemed to have been reduced at some particular place in the text. However, in the third SCD where this dynamism is supposed to be developed towards a higher degree, there is evidence to prove that this dynamism accumulated through the first two stages (that of the SCD1 and SCD2) has been weakened at many places by the translator's choices in the TT. So in the ST, a literary characterization designed to be developed stronger with increasing powerfulness along the continuum through the twelve chapters of the three progressive stages is crippled with distortions and demystifications of it in the TT. It is particularly significant to note here that it is the shifts the translator has made to transitivity patterns have resulted in these distortions and demystifications, in light of the fact that the links between the textural levels and their ideological influences have been established in previous discussions in the chapter six of this thesis.

Secondly, from the perspective of dream fantasy as a particular genre targeted at young readers, the dream fantasy is expected to have a style of its own except for the superficial simplicity this kind of genre gives the audience at first sight. However, having a style does not mean having a constant mode of expression throughout the literary work. In Carroll's dream fantasy fiction, there is a continual progress in terms of characterization in the language describing Alice's dynamism and engagement with her surroundings. However, in the TT, the



continuum, as the research has found, is often disrupted and such an evolutionary arrangement on the part of the author is often rendered in a disordered sequential order on the part of the translator. So in each of the three stages, the mode of particular transitivity patterning that is formally foregrounded against others is often disorderly arranged and even go unnoticed sometimes by omitting them altogether in TT.

Some particular patterns of transitivity in the TT even work in a contrary direction against the ideological influences the original author had intended. In this sense, the ST authorial motivations inscribed in the transitivity patterns through the three stages are distorted or even eliminated in the TT. As a domain of linguistic choices, transitivity is prominently implicated for its role in the construction of a character in the narrative fiction. By building participant roles into the terminology of the system, the choices made at the textural level can reflect the underlying actantial role structure at the deeper discourse semantic level. The three stages underlying the foregrounded transitivity patterns represent the three significant contrasts around which the dream fantasy story is built and the characterization is developed. The contrasts themselves are meaningful in that a dreamland-like world was developed gradually from the first stage SCD1 through an intermediate stage SCD2 to the climactic stage SCD3, the linear sequential order of which is more like reality where Alice had been gradually developed until she could control something around her on her own, that is, finally she began to behave like a normal human being the chapter twelve, the climactic point of the SCD3. This process signifies Alice's *growing up into a mature woman* in the end of the story. In contrast, in the TT, when the transitivity patterns are disrupted, the characterization constructed out of the signifying transitivity patterning also lose part of their symbolic meaning in the context of the translation.

As discussed, the dream fantasy works as a genre. It is a form of thinking which is magical in nature, and it is free from the laws and realities of the external

world. This means that fantasy must have its own world with supernatural power to bring all the stuff about. In the case of the language of *AW*, Lewis Carroll introduces Alice's adventure as a dream consisting of different dream-visions or episodes. So the language that represents the dream visions can be very interesting to probe into. For instance, the physical material non-transactives have been largely used in the first two SCDs, especially in the SCD1, in order to represent a passive and impotent Alice before the audience.

Of course, it has been seen that these magical powers can be represented through the transitivity patterning which is also largely made use of to promote the audience's identification with the protagonist Alice across the three distinct stages of her character development in the dream fantasy. By narrating the story through the non-transactives, a series of magical, mysterious and very inexplicable happenings can be narrated in the dreamland world, which can not be created by means of transactives. At the beginning of this thesis, when it is said the language of children's literature is often assumed to be *simple*, the vague notion of *simplicity* is actually the assumptions made by the adults on the basis of their imaginations. It is obvious that the transactive models are scientifically more adequate and essential to the expression of complex processes and to the developed notions of responsibility (Hodge and Kress 1993:55), whereas non-transactives blurs the attribution of responsibility, rendering the happenings or events to be a series of self-contained actions or events without external causes. It is in such sense that this patterning of transitivity is called "primitive" or "childlike", in keeping with common myths about noble savages and the innocence of childhood (ibid.: 57). This is similar to the discussion of Halliday (1971) who had referred to the language Lok and his people had used in the novel of *The Inheritors* as primitive, which has to be evolved towards an advanced level just as human beings develop from the primitive tribes into the civilized and advanced society, and as a human being develops from a primitive and innocent infant into a normal and powerful adult. Lewis Carroll, in the work

of *AW*, seems to have imitated this development through his manipulation of the transitivity patterning of language. However, when the transitivity patterns are disrupted in the TT, the audience's identification with the protagonist is also destroyed and will consequently cause damages to the semiotic meaning expressed by the language of *AW* and to the dream fantasy as a particular type of genre in the genre.

Then at a deeper level, the semiotic meaning expressed by the transitivity is also connected with the theme of the dream fantasy, that is, the theme of interpersonal relationships:

When the child is very young, she is always alone and helpless. However, her growing up requires company for communication. The process is also a process of undergoing psychological miseries and loneliness in the communication of a growing child with those around her. In *AW*, both the condition of *aloneness* and subsequent *adventures* Alice experienced are made more specific. It seems to suggest that to overcome the fear and loneliness accompanying a child's growing up, he or she has to stand by him/herself and becomes stronger. So the focus again is on the progressive development from the human impotency and inability gradually to the status of dynamism and active engagement. It is the very development that gives meaning to human presence. If there is something wrong with human sanity on the part of Alice in the story, it lies in the type of human communication that has been portrayed in the dream fantasy, which had always alienated Alice on many different occasions. So the semiotic and ideological meanings signified by the language and story point at some kind of criticism and concerns about human conditions, especially in their childhood. When the language is transplanted into the TT, however, the transitivity patterns are disrupted, and the networks of semiotic and ideological relationships become disconnected and consequently fail to give a full picture of the development in the ST.

### *3. Significance of the findings*

#### *3.1 significance of contrastive analysis for characterization*

The findings are particularly significant in terms of the different aspects of the contrastive analysis conducted between English original work of AW and Chinese translation by the translator Chao Yuen-Ren. The parallel and comparable data analysis carried out at both clause and contextual levels in the chapters five and six has revealed different types of shifts along with their ideological influences in the translation in comparison with their source text. The shifts thus form textual patterns and function in a cumulative manner which may distort the pragma-semiotic effects and the ideological influence intended by the original author in the interpretation of the characterization on the whole from the perspective of the audience. The comparisons have provided us with empirical evidence for the field of discourse and critical discourse analysis. So in terms of quantitative and qualitative analysis, various comments can be made concerning their significance.

Firstly, there are many different types of translation shifts in terms of the categories of the processes elaborated by Halliday and Matthiessen (2004:179-258). However, the most prominent shifts types belong to the material and mental processes. Their being foregrounded in the three progressive SCDs also indicates the important role they play in the construction of characterization in the dream fantasy story of AW.

Secondly, there is a biggest proportion of shifts in the type of material processes. This prominence in number in expanded material processes evidently indicates the translator's efforts to conform to target language habits of usages. Apparently, the translators' behaviors of preference towards particular linguistic habits have inevitably led to an increase of dynamism on the part of the protagonist at the overall level through the three distinct stages.

And there may be a third reason for the appearance of translation shifts in

particular transitivity patterns that may affect the translation in Chinese. It is known that the ST is a literary work for children and the translator seemed to think it appropriate to adapt the different aspects of the ST to cater for children's taste in the Chinese context. With such an idea in his mind, the transitivity patterning will inevitably be changed in order to conform to TL usage habits though some translators like Chao himself who had intended to stick to the original very closely.

So the above analysis has demonstrated that the texture and the contextual parameters are interdependent on each other in order to direct the audience's interpretation towards a certain direction, but this interdependence is not simple correspondence of a stable or absolute type. On the one hand, the transitivity at the textural level is linked with the pragma-semiotic context in a relatively flexible manner. This means that when a transitivity shift occurs in the translation, its ideological influences do not necessarily automatically show up. On the other hand, some of the transitivity shifts can be said to have ideological implications without any intentions on the part of the translator(s). Therefore, even if the translators do not want to create the ideological shifts (it has to be admitted that most translators do not because they always claim to be faithful to their STs), they may still initiate some effects by means of the shifts they make at different levels of the translation as communication.

The research conducted within the overall framework of critical stylistic approach that was put forward in the first chapter views translation as a form of communication that consists of the textures, semantic and contextual parameters that are interdependent upon each other. This interdependency can thus affect the way in which the writer and audience interact and interpret the semantic and contextual parameters. As a result, the key goal of a critical stylistic approach is to elucidate the process of reading rather than to provide substantial readings in themselves. Now that the main task of creative writing of magical fantasy is to establish the audience's identification with the chief character of the fantasy, it is

thus very significant to discover how characters are constructed and based on what kinds of linguistic choices among the system of language. It is the analytic tool of the transitivity analysis provided in this research that can be seen as textual cues for the construction of such characterization. When the character is inscribed into the transitivity systems, they will direct the audience towards the interpretation of the literary work at the global level of its ideological influences.

### *3.2 Significance for the evaluation of translation*

At the practical level of application and pedagogy, the analytical model constructed in this research may be of great significance to the evaluation in translation, esp. the comparative look at the ST and the TT in a parallel fashion, This will lead to the quality of translation which highlights the shifts or so-called “mismatches” or “errors” in the comparisons. In this respect, House’s (1977) model of translation quality assessment may provide us some insights. In her later version of “revisited model” (1997), she revised her model by explicitly incorporating Hallidayan register analysis of contextual components, namely *field*, *tenor* and *mode*. The revisited model involves a systemic comparison of the textual “profiles” between the ST and TT (1997:43), which can be reduced to register analysis of the ST and TT in terms of their realization through lexical, syntactic and textual devices. House’s (1997:44-45) textual devices mainly include the following aspects:

- 1) the theme-dynamics which contain thematic structure and cohesion;
- 2) the clausal linkage which contains the additives (such as *and*, *in addition*, etc.) and adversatives (such as *but*, *however*, etc.);
- 3) the iconic linkage signifying the parallelism of structures.

Obviously, House’s “revisited model” constructs a delicate model between and ST and TT in conducting comparisons in the component of field consisting of subject matter and social action. Closer examination allows us to find that this

model is not so delicate as to be applied to the delicate comparisons at transitivity levels in the ST and TT texts in search for the shifts of different types at the textural level. So the comparative transitivity analysis applied in the present research can be used to evaluate the quality of translation as a communicative product. It is also a significant step to realize the “whole-person” translator education in the translation teaching on university degree programs advocated by Tan (2008: 589)<sup>10</sup>. This approach just describes the categories of different processes as resources for interpreting different aspects of meaning in the text. And it is further investigated in relation to the context parameters in order to produce a translation that works properly in a specific context. The translator has to pay special attention to the very delicate levels of the ideational meaning and make choices from among the options of language system in order to reproduce them in the target language context which are often connected with the translation as discourse with specific functions in a particular context and particular genres. So the translation shifts in the TT may have their own meanings that may shape the context which may turn out to be different from that in the ST. In this sense, the analytic tool is very useful to look at how the meaning is negotiated within the particular discourse and contexts. And then their effects at the further dimensions of prama-semiotic and ideological levels can be further explored. At this point, Mira Kim (2009:134) has a very clear statement:

- 1) A translation must be treated as discourse that fulfills its functions within a specific context.
- 2) As a result, the translator should not only focus on whether or not there are any grammatical errors in the translation, but also and more importantly on the translation as discourse that serves purposes within the context.

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<sup>10</sup> Tan (2008) proposes to emphasize the holistic development of translator education of students as translator and specialist. There are two important concepts in his model, the whole-person translator education and the translator development pyramid, both of which aim to help students of translation to become “whole person”. For details, see Tan (2008).

As far as the literary translation for children is concerned, it can be said that this principle is most applicable in most cases. As a result, the research should not only focus on shifts or errors in the translation, but also on the contextual effects and ideological influences produced in such a process, because it can not do without the study of the so-called “purposes”, that is, the prama-semiotic aspects, along with the ideological influences in connection with its genre in a larger context. These so-called “purposes” are particularly important for the creation of patterned effects in the case of dream fantasy of *AW*. Here language not only plays the role in creating a magic and mysterious environment, but also has to invite the audience’s identification with the protagonist Alice in light of this identification’s critical significance in the success of the creative writing of magical fantasy. In *AW*, all this is done by original author’s manipulating the transitivity patterns. However, as the research has shown, both the magic and mysteriousness has been demystified to a certain extent at different places in the translation.

#### *4. Implications for further research*

Generally speaking, the critical stylistic approach to translation of literary discourse for children is fruitful and constructive as the present study has shown. It helps to disclose the complex power relations and ideology hidden beneath the superficial textural structures and features. So the present study is a tentative attempt to explore the literary discourse since it has been applied to media discourse (Fowler 1991) and political discourse (Trew 1979; Perez 2007). These shifts compared and analyzed have reflected translator’s distortion of the original transitivity patterning at both the clause and contextual levels and thus confirms the validity of studying the characterization by focusing on the transitivity patterning within the framework of critical discourse analysis and the treatment of translation as an act of communication. Thus the empirical data collected in the corpus can provide evidence for the interpretation of the semiotic effect



within the framework of communication. The analytic tool applied in this study can also be used in analyzing other types of discourse, such as the discourse of education, or classroom discourse, or as we have discussed, it can be applied in the evaluation of translation quality.

In the case of the present research on the characterization of Alice in Chao's translation, the delicate typology of material and mental processes, the theoretical framework consisting of three progressive steps: description, interpretation and explanation can provide as a theoretical foundation for further language studies, especially in the field of critical discourse analysis. The comparative data used in the research can also be used as evidence to justify dynamism change concerning characterization in different circumstances.

This research has shown that the surface linguistic structures and context are so closely interrelated, the relationship of which will further affect the text in question as a case of a particular text type. So it can be clear that any meaning can not be isolated from the context in which it is made. And any research on meaning making in literary discourse must also be conducted in connection with the functions, context and ideological effects of the textural features. Such a research, as Matthiessen (2001: 42) emphasized, can "gain linguistic insights by contextualizing the translation rather than by insulating it". A single transitivity may not be significant when looked at in isolation, but when it is investigated in the context along with other textural features, or when these textual features form particular language patterns, they may have significance of their own in connection with the context.

At a very practical level, the dynamism changes detected along the cline of the three SCDs may provide insights for practical purposes. For instance, the delicate typology of material processes and other types of processes can be used to test the roles a particular person or character has played in certain environment in terms of the degree of his/her engagement in the environment in question. It can also be used in research on clinical narrative discourse analysis in which the

research can be conducted on the basis of the subjects' narrative across different stages of time so as to find out whether the patients' dynamism has changed or not so that his/her cognitive status can be further revealed.

##### *5. Limitations of this research*

Like anything that is imperfect, this work is not devoid of limitations, which can mainly be found in the following aspects:

Firstly, a very obvious flaw in this research is concerned with the data collection. As mentioned in chapter one, there have been at least 83 published translations of *AW* in the Chinese mainland up to now, but this research only has Chao's translation as the research object. This means that the insights from a comparative look at Chao's translation and any other translators' versions can not be gained from this research. So if there is future research, a diachronic study of a few selected versions may be wanted and the findings from the research across a wide range of translations may be more interesting.

Secondly, though strenuous efforts have been made on the present research, there is still much suspicion that this research is not thorough because it only focuses on the material and mental processes of the narrator's descriptive clauses involving Alice as participant. There must be some other elements signaling the protagonist's dynamism change through the three different stages, such as Alice's direct *speech* and *thought* presentation. So a comprehensive and thorough research on Alice's characterization should include the exploration of all these types of transitivity features.

Finally, as an outstanding trend in contemporary translation studies, the "cultural turn" has also disclosed the significant role "ideology, poetics and patronage" (Lefevere 1992) have played in the production of translation. This CDA-oriented approach does little in touching upon the socio-cultural factors, such as norms proposed by Toury (1980, 1995) and Lambert & van Gorp (1985) that might have

influenced the construction of characterization in one way or another. If not limited by the scope of this research, a comprehensive method incorporating both the stylistic and a socio-cultural one would be certain to provide more insights.

## Appendix I

### Chinese Translations of *Alice in Wonderland*

The following is a list of the titles of the Chinese translations of the *Alice's Adventures in Wonderland*, which were collected from The National Library of China located in Beijing. There had been altogether 83 versions published by the end of the year of 2010, exclusive of the different editions of a translated version by the same translator(s). The titles of the adapted translations were in shaded color. They were listed in a chronological order as follows.

1. Chao, Yuen-Ren(趙元任). 1922. 阿麗思漫遊奇境記，北京：商務印書館。
2. Xu, Yingchang(徐應昶). 1933. 阿麗思的奇夢(Adapt.)，上海：商務印書館。
3. He, Junlian(何君蓮). 1936. 愛麗思漫遊奇境記，上海：啟明書局。
4. Fan, Quan(范泉). 1948. 愛麗思夢遊奇境(Adapt.)，上海：永祥印書館。
5. Xin, Ruo(欣若). 1979. 阿麗思漫遊奇境記，武漢：湖北少年兒童出版社。
6. Guan, Shaochun(管紹淳) & Zhao, Mingfei(趙明菲). 1981. 愛麗思奇遇記，烏魯木齊：新疆人民出版社。
7. Chen, Jing (陳靜). 1981. Swan, D.K. 愛麗絲漫遊奇境記(Adapt.)，北京：外語教學與研究出版社。
8. Chen, Fu'an(陳複庵). 1981. 阿麗思漫遊奇境記，北京：中國對外出版公司。
9. Zhu, Hongguo(朱洪國). 1984. 艾麗思漫遊奇境記，成都：四川少年兒童出版社。
10. Rong, Xiangqian(容向前). 1995. 愛麗絲漫遊奇境記，南京：譯林出版社。
11. Yu, Hongliang(俞洪亮), & Xiao, Ying(肖英). 1995. 愛麗絲漫遊奇境記，南京：江蘇教育出版社。

12. Zhu, Hongguo(朱洪國). 1995. 愛麗絲漫遊奇境記(Adapt.), 成都：四川少年兒童出版社。
13. Lan, Zhou(蘭周)& Guo, Jiexian (郭潔嫻). 1995. 愛麗絲漫遊奇境，南昌：二十一世紀出版社。
14. Fan, Quan (范泉). 1996. 愛麗絲夢遊奇境，長春：時代文藝出版社。
15. Wang, Leiping (王磊平). 1996. 阿麗思漫遊奇境記，海口：海南國際新聞出版中心。
16. Xia, Qing (Xia Qing). 1997. 愛麗絲漫遊奇境記（書蟲：牛津英漢雙魚對照讀物），北京：外語教學與研究出版社。
17. Zhi, Jing (志靜). 1997. 愛麗絲夢遊仙境，(adapted by D.K. Swan), 上海：上海譯文出版社。
18. Liu, Jin (劉進). 1997. 愛麗絲漫遊仙境，北京：中國三峽出版社。
19. Wu, Hua (吳華). 1998. 愛麗絲漫遊奇境記，北京：中國發展出版社。
20. Huang, Jianren (黃健人). 1998. 愛麗絲漫遊奇境，北京：接力出版社。
21. Fan, Shu (范澍). 1998. 愛麗絲夢遊仙境，上海：上海文藝出版社；香港：明報出版社。
22. Shi, Xinying (石心瑩). 1999. 愛麗絲漫遊奇境記，南海：南海出版社。
23. Guo, Bin (郭斌). 2000. 愛麗絲的奇遇 (adapted), 合肥：安徽少年兒童出版社。
24. Yu, Li (雨笠). 2000. 艾麗絲漫遊奇境記，杭州：浙江文藝出版社。
25. Yu, Xuegong (于學功). 2001. 愛麗絲漫遊奇境記(adapted), 上海：上海世界圖書出版公司。

26. Jia, Wenhao & Jia, Wenyuan (賈文浩、賈文淵). 2001. 愛麗絲漫遊奇境記，北京：燕山出版社。
27. Qing, Lan (青藍). 2001. 愛麗絲漫遊奇境記，上海：上海人民美術出版社。
28. Yuan, Yuhua (袁雨花). 2001. 愛麗絲漫遊奇境記（英漢對照），北京：中國少年兒童出版社。
29. Zhao, Weihua (趙偉華). 2002. 艾麗絲漫遊奇境（adapted），北京：北京出版社。
30. Huang, Qing (黃青). 2002. 愛麗絲漫遊奇境記，烏魯木齊：新疆青少年出版社。
31. Wai Wen (外文). 2002. 愛麗絲漫遊奇境記，北京：外文出版社。
32. Zhou, Xiaokang (周小康). 2002. 愛麗絲漫遊奇境記（全新譯本彩色版），哈爾濱：哈爾濱出版社。
33. Yang, Yuzhen (楊玉珍). 2002. 愛麗絲漫遊奇境記，昆明：晨光出版社。
34. Kai, Li (凱麗). 2003. 愛麗絲漫遊仙境，延吉：延邊大學出版社。
35. Huang, Hui (黃慧). 2003. 愛麗絲漫遊奇境記，北京：北京朝花少年兒童出版社。
36. Zhang, Kang (張康). 2003. 愛麗絲漫遊奇境記，上海：上海百家出版社。
37. Yang, Haili (楊海麗). 2004. 阿麗思漫遊奇境記（adapted by Rachel Williams），北京：航空出版社。
38. Hua, Dong (華東). 2004. 艾麗絲漫遊奇境記（adapted by Gaia Ierace），上海：華東師範大學出版社。
39. Li, Minzhong (李敏中). 2004. 愛麗絲漫遊奇境記，北京：中國書籍出版社。

40. Mei Jin, Chen Yingzhen and Ya Xing (美錦、程映真、亞星). 2005. 愛麗絲漫遊奇境記，合肥：安徽文藝出版社。
41. Wang, Chao (王超). 2005. 愛麗絲漫遊仙境記，延吉：延邊人民出版社。
42. Li, Hanzhao (李漢昭). 2005. 愛麗絲漫遊仙境，天津：天津人民出版社。
43. Hong, Xin (鴻鑫). 2006. 艾麗絲漫遊奇境記（英漢對照），延吉：延邊人民出版社。
44. Zheng, Jian & Yu, Miao (鄭健、于淼). 2006. 愛麗絲漫遊奇境記，北京：中國對外出版公司。
45. Cheng, Yue & Chen, Tianjun (程悅、陳天俊). 2006. 武漢：長江文藝出版社。
46. Cheng, Hui (成慧). 2006. 愛麗絲漫遊仙境，呼和浩特：內蒙古人民出版社。
47. Xu, Dongda (徐東達). 2007. 艾麗絲漫遊奇境記，上海：上海人民出版社。
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