Language through Translation

Exploring Alice in Chao Yuen-ren's Chinese 'Wonderland'

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For my daughter Xiaoyu

CONTENTS

LIST OF FIGURES

LIST OF TABLES

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LIST OF ABBREVIATIONS USED IN THE BOOK

AW: *Alice's Adventures in Wonderland*

BT: back literal translation

CDA: critical discourse analysis

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

SL: Source language

SLT: Source language text

ST: source text

TT: target text

CHAPTER ONE

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. 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. (Nodelman 2008, 206)

So it may be that contrary to the above "common belief," translating for children may not be as simple as it seems, especially 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" (Nikolajeva 1996, 27), different manipulations may take place in the translating process. Zohar Shavit (1986, 112–3), in *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, while others may delete or adapt 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. However, this discussion seems to be more 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* (henceforth *AW*), which consists of fantastic descriptions and is actually intended to create dream visions by means of language (Sutherland 1964, 326; Peng 2007, 153), how did 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" (Gardner 1990, ix). Of course, it is no easy task if we remember it contains parodies, puns, wordplay, proper names, encoded allusions, and unusual metaphors, as well as other elements of Carroll's creative style, such as seemingly simplified syntax which may result in a paradoxically humorous effect, rendering this book a big challenge for many translators. The method for translating the textual features of the *Alice* books is actually an issue that is seldom touched on in the translation studies of *AW*. In fact, fantasy literature, as Pennington (1995, 57) argues, is by nature "writerly,"[1] requiring diverse and sophisticated reader responses. Carroll's story is noted for its varied and distinctive use of style, palpable intertextuality, and the obscure relations created between fantasy and reality. Furthermore, in this book there are many details that are characteristic of Victorian

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[1] A term invented by Roland Barthes (1974, 5), it means texts that require the reader to write meaning onto the "galaxy of signifiers" and which are "reversible," and which the readers can gain access to 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."

society. Modern English readers may still be able to identify these features in the text, but the Chinese readers would fail to understand them without additional explanations. Despite the fact that Carroll himself believed that his book was untranslatable (Kibbee 2003, 308), *AW* is asserted to be translated more often 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 eighty-three different translated versions[2] since the 1922 edition by Chao Yuen-ren, the well-known Chinese linguist and translator. Why has this novel, which was originally addressed to children, been so popular in the Chinese context? And what elements of it have drawn readers' attention? Taking into consideration the fact that children's literature has been marginalized in the Chinese literary history, if we use Even-Zohar's system theory (1979), it is also true for the situation of China in the early twentieth century, even though it underwent some kind of renaissance. The early twentieth century was the inchoation period of Chinese children's literature, which originated directly from translating foreign literature for children. So far, we may have had many possible questions to ask – for instance, what are the purposes of 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 the translation strategies? Of course, these questions that 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 contribute to constructing a world of dream fantasy?

(2) Have these aspects or properties of the original text been

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[2] According to my counting from the website of the National Library based in Beijing, *AW* has had at least eighty-three translations since it was first published in 1922. This number includes the twenty-two adapted translated versions.

transferred through the translation? And what translation norms can be disclosed?

(3) Following this, the research will 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 behind the translational activities.

(4) The research will also demonstrate what fictional world has been built up around these choices made in the translation process, and how these choices can contribute to the audience's understanding of the characterization intended by the author. How can the translator exploit this understanding for their own purposes towards the translational texts.

Based on the structural properties of the original text of *AW*, I have picked up the following aspects in both the original and the translation for the process of text analysis:

(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 in the ST and how it is characterized in the TT.

(3) Characterizations of the protagonist Alice in the ST and the TT will be compared by examining the translation of the transitivity profile.

In the following I will outline briefly what I am going to look at in this research. One of the important aspects is the semantics of the discourse and the role it plays in constructing the characterization in the dream fantasy, and how the world constructed by the transitivity patterning is represented in the translation. It is known that the whole book of *AW* is

said to be of a 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 mostly used the syntax which Halliday (1971, 98) called intransitives, which was later termed non-transactives by Hodge and Kress (1993), to represent a special status of the protagonist Alice, such as passiveness and impotency in the book of *AW*.

By incorporating the descriptive-explanatory literary linguistic approach to the study of the Chinese translation of Chao Yuen-ren, I will focus 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 effect, and what impact will be exerted on the characterization of the protagonist. Of course, this investigation is based on another principle in stylistics – that is, style as choice, which will be discussed in detail in Chapter two.

Since this research is an interdisciplinary study of the translation of *AW* by using a tool constructed from systemic functional linguistics, there must be significant findings on how the social functions concerning the characterization are realized in the original text, 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, 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 favour 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 for 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 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* translations, and the data 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 readers, translators, and critics to look into its workings. According to Weaver (1964: 59), this book has been translated into 47 world languages by year of 1963, and the number today has been assumed to be more than one hundred and fifty. Its vast popularity constitutes a main reason for this present research, along with the Chinese translation 阿麗思漫遊奇境記 (*Alisi Manyou qijing ji*, literally *A Record of Alice's Wanderings in the Wonderland*) published by Commercial Press in 1922, the translator of which is the famous Chinese linguist Chao Yuen-ren.

1.1. Lewis Carroll and his book *AW*

The author of *Alice in Wonderland* is Lewis Carroll, whose real name is Charles Lutwidge Dodgson. He was thirty years old when the story was written and was on the way to being a successful scholar of mathematics at Christ Church College, Oxford University. Dodgson was the eldest son in the family. His father was a priest and he was a deacon in the Church of England.

It was on July 4, 1862 that the story of Alice happened when Dodgson and another young priest Robin Duckworth picked up the three Liddell sisters,

the daughters of new dean of Christ Church, for a boat journey up the river. It was a beautiful golden afternoon and the descriptions of this afternoon were later written for the beginning of the story when Dodgson elegized it 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 interrupted "no more than once a minute."

Later, Dodgson was asked to note the story down by the children, especially Alice, who insisted that he should write the story down. On the next day he began to write it, and on completing it he also drew some pictures for the story. Dodgson named the book *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 the next three years expanding it, and invited a cartoonist to draw some pictures for the story. It was this expanded version that was published in 1865 and which has become part of the canon of children's literature. In this research, it is this version and its translation that will be investigated.

1.2. Chao Yuen-ren and his Chinese translation of *AW*

Born in Tianjin with his ancestry in Changzhou of Jiangsu Province, Chao Yuen-ren (1892–1982) attended Cornell University in the United States to study physics and mathematics in 1910. He was a famous Chinese linguist who had very extensive interest in many areas, such as mathematics, physics, music, and linguistics. He taught in many American universities, such as Cornell, Harvard, Yale, the University of Michigan, the University of Hawaii, China's Tsinghua University, Beijing University, and then in 1947 he began to teach at the University of California Berkeley until 1963, when he retired. Chao was one of the

pioneers of modern Chinese linguistics and has been known as "father of modern Chinese linguistics" for his prominent contributions to the study of the Chinese language. His works include *A Grammar of Spoken Chinese*, *Studies in the Modern Wu Dialects*, and *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 a language experiment" to preserve the wordplay in the source text. Either due to Chao's quality of translation or/and his influence as a famous linguist, his translation still enjoys unparalleled popularity in today's Chinese context, even though there had been more than eighty-three 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 fourteen years until 1879 following *AW*'s publication, the book was translated into five languages: German (1872), French (1869), Swedish (1870), Dutch (1875), and Russian (1879). Although much difficulty was involved in the translation process, especially in translating the parodies, wordplay, and nonsensical poems, the translations gained wide popularity. After 1889, *AW* was translated into forty-one other languages.

In the Chinese context, Chao Yuen-ren first translated *AW* in 1922. Following his translation, up until 1948 before the founding of the People's Republic of 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 the Republic of China – that is, before the year 1949, when the People's Republic of China was founded. Theoretically speaking, the translators after Chao had the opportunity to imitate and evaluate Chao's translation. In fact, I

have found they indeed imitated his translation, or at least drew a lot of inspiration from it. For instance, He Junlian's translation is very similar to Chao's wherever there are very tough language issues to deal with, such as puns and wordplay.

Since 1949, Chao's translated version has been reprinted several times. Meanwhile, there were no 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 the Soviet Union) under the Maoist principles. In 1966 China underwent a destructive event – the Cultural Revolution – which repressed and almost destroyed all translation activities. Until December 1979, three years after the end of the Cultural Revolution, a simplified version of *Alice in Wonderland* was translated by Xin Ruo and published by the Hubei People's Press. Then, in 1981, two more versions were published, one (《愛麗絲奇遇記》) was translated by Guan Shaochun and Zhao Mingfei, the other (《阿麗思漫遊奇境記》) was translated by Chen Fu'an and published by the 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 the Sichuan Children's Press. The 1990s witnessed an explosion in translations of *AW*, which has been translated extensively ever since. By 2011 there were eighty-three different translations of this book in the Chinese mainland, excluding the various versions by the same translators which were published at different times. Among the eighty-three translations, the number of adapted versions is twenty-two; the number of complete translated versions (or claimed complete version) is sixty-one. If classified chronically, there were four translations before 1949 and seventy-nine afterwards (see Table 1.1 below).

Table 1.1. Overview of translations of *AW* from 1922 to 2011

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

The great number of translations is unparalleled by any other foreign author's translations into Chinese – even Shakespeare. Against the backdrop that *AW* has been translated so widely in the world, the research on its translation has also been done worldwide. According to my observation of the data at hand, a systematic study of its translation started from the 1920s.

Of the multitude of translations emerging since 1922, one has stood the test of time – Chao's translation. As Weaver (1964, 108) commented: "it was Chao's excellent translating skills and his deep understanding of both the Chinese and English languages that made him overcome all the difficulties in the translation process." Until now, *AW* has been translated into more than seventy languages across the world. This wide popularity, as Stoffel (1998, 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 an essential truth about the 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 works of art, *AW* has attracted the attention of not only translators but also translation studies scholars. People have

been interested in the wonderland world constructed by Lewis Carroll as well as his manipulation of language in constructing such a world attracting both child and adult readers. How, then, can this little story, written by one particular person for another in a very definite place and time (the idiosyncratic world of mid-nineteenth-century Oxford), say 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? And how about the translations? Do they distort the language and the characters? These questions have attracted attention of the scholars who are interested in the language and its functioning in *AW*. Actually, according to Weaver (1964), Carroll himself recognized the difficulty involved in translating his work, though he also encouraged it.

2. Studies on translations of *AW*

In past decades there have been two tendencies in studying the translations of *AW*. One is the linguistic-oriented tendency, while the other can be referred to as the cultural approach. The linguistic approach mainly prevailed before the 1970s, and focuses on the translation of sentences as its upper rank unit, basically ignoring the macro-structural aspects of 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 are highlighted. Usually, this approach can be referred to as the study of the techniques of translating. Weaver's (1964) study of the translation of *AW* is a representative of this approach, in which Weaver concentrates 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 humour, including the actualized narrative of the adventure

stories, should be preserved, and Weaver believes that these elements can promote children's love of 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*, and investigated the German translations by focusing on the micro textual and stylistic levels. She then points out that the syntax, though simple, representing the interpersonal meaning and point of view, has been converted into a kind of "colloquial-childish" tone that could not be found in the original (1977, 67). This mismatching thus distorts the relations and different concepts represented in the fantasy world. It is worth noting that the stylistic aspects Mango discusses mainly include the syntax and lexical features. She emphasizes that Carroll's language is very simple, his word order very direct, and the thing he expresses very refined, without any metaphors or clichés. However, "it is the very outstanding verbal nature of language that may explain our arguments above" (1977, 69). By resorting to Halliday's "The Structure of English Sentences," Mango further argues that the language and style in *AW* are very appropriate for representing the fantastic dream adventures, but this delicately constructed world has been damaged in the translation due to the 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 produce.

It is worth noting that many Chinese scholars' studies of the translations of *AW* fall into this orientation that focuses mainly on the translation techniques or transfer of the original words or clauses, such as the wordplay or difficult sentences. Of course, the stylistic aspects of this book, along with its cultural constraints on translation, have been looked at, and valuable conclusions have been reached by many scholars (Zhang

2007). Some Chinese scholars (such as Peng2007) also noticed the linguistic mechanism of the original work which was difficult to transplant in the TT.

The rise of the "cultural approach" to translation studies benefited from the cultural turn in this discipline in the 1970s, where the contexts – social or linguistic – began to be given full consideration. When discussing the translation of *AW*, the critical question is whether it is first and foremost a work of children's literature. Then, the question of how to translate a work for children emerges. 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 the features of this group (Oittinen 2000, 69). Oittinen also discusses 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 that her research is not intended 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 their readers. The process involves the loyalty principle put forward by Nord (1997, 123).

In regard to the translation of *AW*, Oittinen first discussed its relation to *The Nursery Alice*, in terms of narrator, the relationship between dreamland and reality, and the reader types addressed. After that, she analyses the three complete Finnish versions from the perspective of the construction of time, translation, and child image. The first version was

published in 1906 when Finland was still under the control of Russia. Finnish literature was still in its inchoate period, badly needing to absorb literary genres from other languages and cultures – in other words, "Finland needed Foreignization" (Oittinen 2000, 135). In fact, this is a very common phenomenon in cultural and literary studies, where translation activities are usually very active when national literature is still in its inchoate period (Bassnet 1993, 142; Even-Zohar 1979).

Oittinen also discussed the characterization of Alice, asserting that Swan's translation seems to be different from the original in that Alice does not want to be "an old woman," even after attending school. In Swan's translation, this "old woman" becomes "an old wife," the concept of which refers to the status of women at that time, being that all women should get married. Generally speaking, there are elements of domestication as well as foreignization in Swan's translation. The domesticated elements can be seen from the fact that the story seems to take place in the countryside of Finland, and the main characters are also Finnish. The foreignized elements include the introduction of Alice's story into Finland, and of a new genre.

Oittinen's discussion involves many subtle translation problems, such as the original author's gender prejudices. However, due to the subtleties and complexities of the issues in this book, Oittinen does not give an impressive discussion of these characteristics, although she mentions the features relating to the issues of narrator, dreamland, and the ambivalent status of the book. In this book I will discuss the construction of the characterization and its connection with the transitivity patterning of the clauses as representation with Alice as participant, along with the obscure relations between dreamland and reality.

There are also some scholars studying the 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 investigates eight translated versions of *AW* in German, French, Spanish, Brazilian Portuguese, and Italian, and discusses the forms and functions of their translations. She subdivides the proper names into three types: explicit reference to the real world in which the original author and addressee live (e.g. Alice, her cat Dinah, the historical figure William the Conqueror); implicit reference to the real world in which the original author and addressee lived (e.g. the three names Elsie, Lacie, and Tillie refer to the three Liddell sisters Lorina Charlotte, Alice, and Edith Matilda, respectively); and 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 may have different communicative effects for readers of the translations. In translating proper names, Nord also noticed another problem – 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 understand the appellative function of the original text. However, they may have a destructive effect on the translation of puns and humour. What is more, what readers face are 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, studies of translations of *AW* are discussed in this section, through which it can be seen that the linguistic and cultural approaches complement each other in that they both have shortcomings in the study of the translation of *AW*, a seemingly simple but actually complicated work of art. This means that a holistic approach should integrate the linguistic structures and also their function 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 is over, the characterization plays a crucial role in the fantasy, as asserted by Wilson (1983, II) (which will be discussed in chapter four, section 4.2.4). This research will focus on the characterization of Alice in translation by adopting a descriptive-explanatory stylistic approach to exploring whether the transitivity patterns constructed around the protagonist in the translation have been damaged or distorted, and hence their semiotic influences.

3. A Descriptive-explanatory Approach

The language of texts cannot be analysed by means of exploring just one feature of the text, such as 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 are 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. Similar steps will also then be taken on 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 have been demystified, or had their magic removed. Such an investigation certainly needs a solid approach to explore the 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, 36–9) 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
(3) inferring implications for decision making in future translating

Toury's full consideration of the notion of text within its context – its emphasis on cultural context – echoes Halliday's context theory. Although Toury's approach is mainly sociocultural 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 look at the original text to probe into the characterization of the protagonist Alice. In so doing, we can infer the author's fictional world which he tries to construct and the poetic strategies he uses. In the present book, it is assumed that the construction of the characterization of the protagonist in *AW* can be divided into three stages, following the fact that Alice gradually gains the power to control her body size, which makes her experience three distinct stages of characterization development (SCD): from the beginning where she is very timid and passive (SCD1), through the intermediate stage where becomes more confident (SCD2), until the third stage where she fully recovers as a

normal human being (SCD3). If the three stages exist in the original text then they can be construed in the transitivity systems in the translational text of *AW*. The investigation of such transitivity patterning may reveal to us how the social functions are realized in the language of text – that is, how the author's poetic intentions are realized through the manipulation of transitivity patterning. For the present research, an investigation will be conducted in order to find out what the transitivity patterns are like in the translations, and what the semiotic influences are on the construction of the characterization – that is, who the character becomes in the translation.

4. Data to be Used in this Research

Based on the division of the three SCDs of Alice's characterization through location of the transitivity profile in the SL text, this research will mainly focus on the transitivity patterning constructed around the characterization of Alice in both the original and translation texts and their semiotic 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 dataset according to the chapter in which they appear. In Table 1.2 below are all the processes that appear in each chapter of *AW*.

Table 1.2. Processes in each chapter of *AW*

Chapter	1	2	3	4	5	6	7	8	9	10	11	12	Total
Sub-total	157	110	50	170	110	125	92	119	88	58	54	43	1,176

Table 1.2 shows the numbers of the processes involving Alice as participants that appear in each chapter of *AW*. In the dataset their process types are categorized and annotated, after which the translated processes and shifts are listed in a parallel fashion, for which the shift

types will also be annotated and listed correspondingly. In so doing, a clear contrast can be seen between the processes in the original and those in the target text. So the first process involving Alice as participant in chapter one – *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. At the same time, considering its TT counterpart, it is found that the C1-01 is rendered as 坐得好不耐煩 (BT: "[Alice] sat in a very irritated manner") in the TT. Here, a shift has been observed, and the relational process has been rendered as a material process. This is a "process to process" opposition (which will be discussed in chapter six, section 6.2), and also an "expansion" into a material process and will be registered as *M in the dataset.

By investigating the shifted processes, this research will look at the semiotic influences on the characterization in the translation, and 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, in the hope of providing some implications for future research.

5. Outline of this Book

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

Chapter one includes a brief introduction of the research, and the reasons and motivations for studying the translation of *AW* by Chao Yuen-ren. This chapter also contains a brief review of studies on the translations of *AW* in translation studies academia in the West, as well as in China. On such a basis, the research question has been set forth. Finally, the data design and its use are discussed.

Chapter two outlines a general theoretical framework for the approach to translation studies of *AW*, in which the translation will be treated as a communicative event consisting of texture, discourse, and context.

Chapter three sets up an analytical tool for the follow-up research on the basis of transitivity analysis to construe the characterization development.

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

Chapters five and six mainly concentrate on the analysis of translation shifts at the clause and textual levels. The former investigates the transitivity shifts at the clause level in terms of shifts types categorized. The latter locates the shifts at the textual and contextual levels by attempting to explore the pragma-semiotic influences they have upon the construction of characterization in the translation. Accordingly, a discussion is conducted in terms of the three stages of characterization development.

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

Among the seven chapters, chapter six, according to its structural organization, can be divided into two subchapters – that is, another chapter to discuss the evaluation of Alice's characterization development. However, in light of the close relationship of the two parts, they are merged 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 TWO

CONTEXT AND MEANING CONFIGURATION

As Halliday (1978, 45) asserts, a grammatical structure is a configuration of functions or roles, each of which derives from some option in the semantic system as a whole. So the grammatical structure, when representing a meaning, is a non-arbitrary configuration of elements which can represent the function for which the 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.

1. Meaning Configuration and Textural Organization

The description of texts, according to Halliday (1971; 1978; 1994), Halliday and Hasan (1976), and Hasan (1985), among others, consists of three types of meanings which constitute the meaning configuration and 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: the meaning which is involved in making sense of reality

(2) interpersonal meaning: which relates the texts' aspects between the speaker and the audience, and represents 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)

The usefulness of systemic functional linguistics in exploring English texts, according to Butt et al. (1995, 122), is "its perception of the dynamic relationship between language and context." Thus, the relations of realization between different components are represented in Table 2.1 below.

Fig. 2.1. Realizations of contextual components

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

Actually, the first two meanings, the ideational and interpersonal, in Halliday's (2002, 92) functional grammar, are seemingly sufficiently all-embracing. However, it is the third meaning that combines the ideational and interpersonal meanings and 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, and 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 reactions, cognitions, and perceptions, and also 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 … builds up, renovates and keeps in good repair the semiotic "reality" that provides the framework of day-to-day existence 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 our experience. However, this meaning is often realized by the transitivity system, which we will discuss in the next chapter.

The logical component in the ideational meaning, which is also related to the experiential strand, is organized in language and is encoded in the form of coordination, 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 both are closely connected.

1.2. Interpersonal meaning

This concerns the meanings through which the writer establishes their relationships with the audience and shows their attitude to something or somebody. The speaker here is making use of language as a means of their intrusion into the communicative event, in which they will express their comments, attitudes, and evaluations – in particular, they will adopt their role of questioning, informing, greeting, and persuading. 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 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 depends on interaction, which in turn is mediated through language, the interpersonal function being both interpersonal and personal, and serving 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

This 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 a text, and how, through this function, language makes links with itself and the situation, whereby 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 can include the literary text as a special instance. The textual function is not limited to the establishment of relations between sentences, but is also concerned with the internal organization of a sentence, with its meaning as a message in itself as well as in relation to the context.

In systemic functional linguistics, textual meaning can realize the experiential meaning through the transitivity systems, while 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 a text and 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 in unity with respect to its environment (Halliday and 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 reflecting the speaker's point of departure and his focus, and the latter reflecting the speaker's consciousness of the audience's shared knowledge with them.

It is therefore very interesting that different text orientations may call for different thematic structures which have to do with the expression of point of view and semiotic influences, etc.

2. Contextual Components

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

2.1. Discourse as speech acts

In the 1990s, studies of discourse analysis came into the focus of translation studies, which apparently has 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 act in context, studied from the perspective of pragmatics. As 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 involve different language pairs that deal 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, they deal with the intentions of the speaker and the way in which what is said is often interpreted. In this definition, what is focused on 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:

(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, or 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 needs to translate not only 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, enabled by the textual function. Thus, the general model of translation studies on which it is based can be described as follows – translation is a cross-linguistic sociocultural 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, and translation thus aims to

achieve equivalence at the three levels of locutionary, illocutionary, and perlocutionary acts.

As Austin argues, the study of language should not stop at the level of locutionary or propositional meaning, but instead explore the acts performed by the words and sentences (1975, 98). When we view a text as a holistic speech act, we will find that 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. The illocutionary acts have to be inferred from the context in combination with the 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 the illocutionary structure of a 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 she 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 textual level. In this sense, the whole text can be referred to as comprising 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 possible meanings in the translational communication. Text and textural devices are not just the product or reflection of the interactants' individual intentions, but may constitute "signs" that are assumed to be a mirror and corollary of the

"social psychology" (Saussure, quoted in Pérez 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 symbolic value within that particular community. By adding this dimension to the present framework, the research can reveal how the meaning made by the textural systems functions 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 oriented dimension, which directs the audience towards certain interpretations within a particular discourse community through the writer/speaker/translator's stylistic choices.

Thus, the stance in semiotics (social semiotics) advocated by Hodge and Kress (1993) and Fairclough (1989) draws its theoretical source from Halliday's (1976; 1978; 1985; 1994) ideas of language as semiotic. This stance is very similar to the critical approaches to language studies in communication. Mason (1994, 28–9) 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 word he explored is the Spanish "memoria" (meaning *memory* in English). He pointed out after analysis of the 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 discoursal value in this context, whose value can be motivated by a rhetorical purpose, connecting the past with the present.

Therefore, we can understand that the conventions, beliefs, and value systems that constitute the content of social semiotics are very important for the translational communication. In order to explore the semiotics of

the transitivity patterning in constructing the characterization of Alice, the protagonist in *AW*, we must organize them into a particular theoretical framework so that different aspects of the original and translational texts can be explored. Actually, Hatim (1997, 31) put forward a tripartite framework on which he drew theories from many other scholars, especially those of Halliday (1976; 1985), Kress (1985), and Swales (1990) concerning genre theory. In Fig. 2.1 below is the semiotic framework for the present translation research.

Fig. 2.2. Translation as a triadic semiotic process
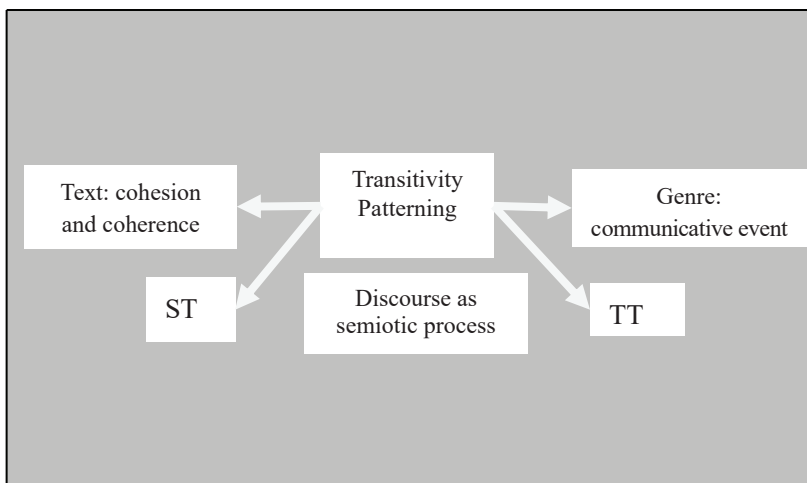
Translation can thus be taken as a triadic semiotic process between text, genre, and discourse. As can be seen, what gets translated in the communicative event is not only the ideational content – the transitivity patterns – but also the semiotic values and semiotic effects (e.g. attitudes, values, and beliefs, etc.). All this can be transferred through the construction 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, which is connected with the right-hand part that 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 semiotic influences, 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 the concept of genre, many attempts have been made to define 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 sociocultural activity and textual matters (Kress and 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), genre is contained in the notion of register. Genre denotes the organized structure, one of the three factors (generic structure, textual structure, and cohesion) that distinguish real text from non-text. Text types are the configurations of genres and subsequently of discourses, modes, and activity types that are conventionalized for specific activity in sociocultural settings (Fairclough 1995, 14). In fact, Swales (1990, 45–58) has concluded that the features of the concept of genre comprise a sociocultural 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 prototycality

(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 they can then receive and appreciate the particular semiotic effect through those features. So, the individuals belonging to the same discourse community will be familiar with a particular genre that is used in a particular communicative event. Someone reading these writings will be restricted by their generic 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. In addition, 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, and 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 be explored.

As discussed in the previous section, it is clear that the linguistic choices and interplay of these choices can reflect the speaker's attitude, beliefs, and value systems along with the relationships between speaker and audience. Textual devices (including the transitivity, modality, cohesive devices, and thematization) can ultimately be used to represent the discoursal, generic, and text-typological meanings. In turn, the discoursal, generic, and text-typological meanings have an important impact on the

texturing system of the text. In this sense, the textural systems are not only important for representing their propositional meaning and the individual intentionality they aim to disclose, but can also be tokens of conventional structures (Pérez 2007, 44). It is therefore easy to assume that the textural systems are closely connected to the socio-semiotic processes.

2.3. Style as choice

Style is primarily a textual phenomenon (Cater and 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: cohesion, coherence, intentionality, acceptability, informability, situationality, and intertextuality (1981, 3–7), called the constitutive principles of a text by Searle (1969), in that they define and create textual communication as well as set the principles for the act of communicating. Only after fulfilling all 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 text conventions that frame language in particular contexts so that readers will respond to the corresponding or intended ways. A study of the language of a literary text often needs an analytical tool in combination with stylistics.

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 of expressing one's ideas or meaning. In light of this definition, style can be said to be individual, and everyone has their own style, whether they are a writer or a translator. In the systemic functional linguistics approach to language studies, the choices are always made from options out of the language systems. Once we view the text in terms of Halliday's (1978; 1994) metafunctions, the text is composed of different strands of meaning (Matthiessen 2014). In this case, style is thus connected with the context in which the choice is made. The context is therefore very significant for understanding the meaning of literary productions. Language performs different functions which can convey various strands of meaning, and thus any use of language results from the 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 the stylistic aspects of translations is why a particular choice is preferred over another, or why a particular description is preferred over others. This is an important strategy for writers to realize their meaning making by exploiting the linguistic choices available in the system of language. When particular choices are selected by the translator, they are expected to have meanings of their own against the other 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, emphasis in original)

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 therefore be considered to be motivated and will have an impact on the ways in which texts are interpreted. Therefore, the writer's stylistic choices will enable certain readings on the part of readers while suppressing others.

In this present book, the concept of "transitivity" will be used in exploring the characterization of Alice in a different semantic sense from its traditional meaning where it serves only to identify verbs which can be directly followed by objects. Transitivity here means the way in which meanings are encoded in the clause and the way in which 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). Therefore, the critical approach to the interrelationship between transitivity patterning and the characterization in literary texts can turn out to be a significant methodological tool in stylistic analysis and the investigations of translational texts. We can then say that 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 of style as choice can direct readers to certain understanding of 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 discussion, 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 levels in a particular context. Of course, this can, as Baker (2000, 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.

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

3. Summary

Understanding translation as a communicative activity and socio-textual process, the focus, as discussed above, will thus be the communicative event consisting of texture, discourse, and context. All these levels are interconnected and the study of one level may lead to the investigation of others. This means that in any communicative event, what the interactants, both the speaker and the readership, communicate is not only the propositional content encoded in the textures and the textual structures, but also the semiotic effects. Eventually, the focus will actually be on the study of the mechanisms used to disclose the semiotic 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 sociocultural sphere is also of tripartite dimensions which take into consideration the text within its culture. This descriptive-explanatory approach is also advocated by Pérez (2002, 36), who refers to it as consisting of description,

explanation, and exploration. At the descriptive level, the linguistic features, such as transitivity, mood, modality, cohesion, and thematization, can be studied. The explanatory component is concerned with the pragmatic and semiotic features and the theoretical framework "discourse, genre and text type" closely connected with ideological meanings (Pérez 2002, 208). The exploratory component is concerned with the potential effect the translations may have on the target audience and culture. Such tripartite divisions or dimensions are actually similar in nature to the CDA advocated by Fairclough (1989; 1992).

As discussed above, 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 enables 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 text, translators read and interpret the original textural units with propositional content 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 – transitivity, modality, or thematic structure, for example – may result in a change in the interpretation of the pragma-semiotic effect on the audience's part.

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

CHAPTER THREE

TRANSITIVITY ANALYSIS AS A CONSTRUAL PROCESS

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 is to provide a theory to explain how language functions in our society, which has to explain linguistic structures and phenomena by reference to the concept that language plays an important role in our lives and must fulfil our different types of demands. The first function language aims to fulfil is the so-called ideational one, through which the speaker encodes their experience of real-world phenomena, which include the experience of their internal consciousness – their reactions, perceptions, cognitions, and acts of speaking and understanding. Within this ideational function, there are two sub-functions: experiential and logical. The second function language serves is interpersonal, through which a speaker can intrude into the speech event and express their attitude, comments, and evaluations. This function also helps the speaker to 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 also serves as a means of integrating the individuals into social groups, whereby the individuals are identified and reinforced. The third function

is referred to as the textual function, which is concerned with the production of the text, through which language establishes links with itself and 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 a 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 abovementioned three functions, for which he argues that the way the syntax of a language is organized through expression as a whole series of the linguistic functions it aims to fulfil. This does not mean each sentence embodies a particular function. However, it is common for each sentence to embody all 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 experiencing the events in the world or talking about them consist of the "flow of events, or goings-on," in Halliday and Matthiessen's (2004, 170) terms. We will always put them into different quanta in terms of the grammatical knowledge of the clause. And then "each quantum of the change is modelled 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 perhaps circumstantial elements such as time, space, cause, and manner. The grammatical system through 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, scholars such as Francis and Krammer-Dahl (1992) have undertaken relevant research by incorporating the Hallidayan functionalist classification of transitivity. Francis and Krammer-Dahl compare two medical texts by putting the analytical tools provided by systemic functional linguistics into analytical practice, and reach very relevant results. According Pérez (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 six processes expressed in the vast quantities of English clauses:

- material
- mental
- relational
- behavioural
- verbal
- existential

When we examine the major processes represented in English clauses, 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 of at least 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 who 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, the entity – or who/what fills the particular kinds of process directly– is very important. Fig. 3.1 below is a list of the major process types given following Halliday and Matthiessen (2004, 172).

In the clauses, besides the participant roles and the processes, there is another element 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 the characterization of the major processes, and the participant types associated with them.

Fig. 3.1. The grammar of experience: process types in English

relational

existential — having attribute — having identity

existing — symbolizing

verbal

happening [being created] — world of abstract relations — saying

being

material — creating changing — doing — sensing — thinking

physical world — world of consciousness

doing (to), acting — feeling

behaving — seeing — mental

behavioral
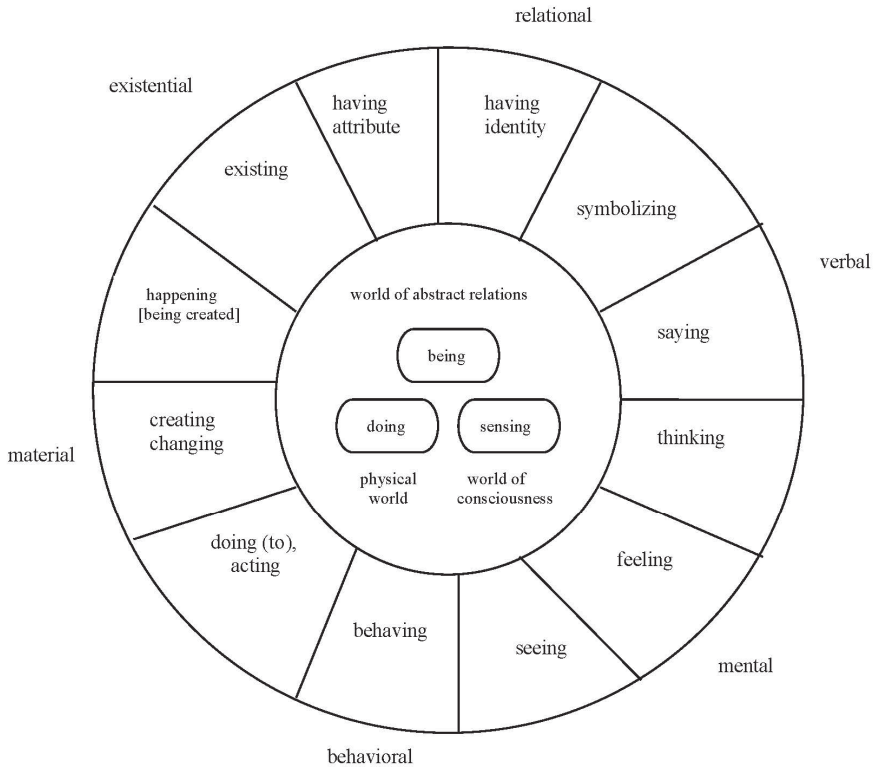
1.1. Material process

As 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?"

E.g. (1)   Alice opened the door
        What did Alice do?

   (2)   The door of the house opened
        What happened?

It is also 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. In the following, I will present the participant roles by giving them as examples:

(1) Agent. In general, an agent is a human intentional actor who acts upon a given medium; so when we probe into 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 indicates the one to whom something is given

    (a) Jim bought a book for me

    (b) Mary made Jane a big cake

(5) Recipient (often preceded by *to*)

    (a) He posted a letter to me last week

(6) Instrument (often preceded by *with*)

    (a) Alice opened the lock with <u>the little golden key</u>

(7) Force (often preceded by *by*)

    (a) The ship was ruined by<u> the storms</u>

    (b) <u>The time </u>has wrinkled his face

The material processes can be subdivided into two subtypes: transitive and intransitive. 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 one to extend to – that is, the outcome is confined to itself, and there is only one participant inherent in the process. Such a material clause represents a happening. So we can say that the process *Alice opened the door* is a transitive material clause, while *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

    (2) an inanimate instrument manipulated by an implied or explicit human agent

    (3) an inanimate natural force performing completely beyond human beings

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

Medium	Material process
The door	opened

Agent	Material pro.	Medium
Alice	opened	the door

Force	Mat. Pro.	Medium
The wind	opened	the door

Instrument	Mat.pro	Medium
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 a *phenomenon*. The present tense is usually used in the mental process, and participant roles thus 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 reach the conclusion that the processes differ at this point, since Kertesz's female patient did not 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 book.

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, 60–1) strongly emphasize the relational process and specifically highlight the attributes that distinguish the nature of carriers and attribuants. Relational processes can be said to do two basic things: contribute some quality or status to an entity, e.g.

> Sally is very sexy
> Sally is an idiot

or identify an entity as having a particular role or standing, e.g.

> Sally is the 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):

> (a) attributive: *a* is an attribute of
> (b) identifying: *a* is the identity of *x*

Participant roles: carrier and attribute (non-reversible descriptions)

Carrier	Relational 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. Behavioural processes

These processes indicate physiological and psychological behaviours (typically human), such as *breathing*, *coughing*, *laughing*, *dreaming*, and *staring*. According to Halliday and Matthiessen, these types of process are the least distinct of the six types because they have no clearly defined features of their own (2004, 249–50). In these types of process an animate participant behaves in a way that is neither intentional nor accidental, but mainly through reflex or instinct. The only participant, that is, the behaver, is typically a *conscious* being, like a senser, but is acting *unconsciously*. So, behavioural processes are within the boundaries between material and mental processes, but closer in nature to the latter when the behavioural processes are used, as they are usually in the progressive aspect:

e.g. The Cheshire Cat is smiling at Alice

Participant roles:

Behaver, the "do-er" of the process, which is the sole role of the clause.

1.5. Two other types of processes

So far, I have outlined four types of processes and their related participant roles: material, mental, relational, and behavioural. These processes are the major types in terms of their status in the English language as well as the fact that they will be involved in this research. Actually, Halliday and Matthiessen (2004, 248) point out that the first three types are the principal ones, presenting three distinct kinds of structural configuration and accounting for the majority of all clauses in a text. There are also two other subsidiary types of process – verbal and existential, which are located within the boundaries between relational and material processes. I will give them both a very brief mention because of their low frequency in the current research dataset.

Verbal process

These are processes of saying. Typically, there will be a human who says them.

> Participant roles:
> Sayer, a said, and an addressee.

Existential process

These are processes of existing, indicating that something *exists*, which is usually introduced by *there*. Existential processes are not very common in the discourse, according to Halliday and Matthiessen (2004, 257), accounting for three to four 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 book, this process is very important 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 having taken place in a particular situation or context.

Participant roles:
Only the existent

	Existential pro.	Existent
There	was	an old man of Dover

Above are the six types of process and participants in the English clause which are often accompanied by a third element – the circumstantial. 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 for the audience, and will regulate their interpretation towards a certain direction. This effect can usually be perceived consciously or unconsciously by the audience. This means that the study of processes reveals the experiential meaning while linking the latter to the social and semiotic 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 – the material and mental processes – which are often thought to be most relevant to characterization in fiction (Toolan 2001, 107), although my discussion will involve other process types, especially verbal and relational processes. Of course, this does not mean that the other two processes are not important in any way, just that the

first two fit better with the present research objectives of translating the descriptions of dreamland and the characterization of the protagonist *Alice* in the fantasy fiction. In the following sections, by making use of the transitivity theories of Halliday and Mathiessen (2004), I will develop an analytical tool to reveal the subtle ways in which transitivity is organized and signified in the dream fantasy of *Alice in Wonderland*, through which not only the hidden meaning but also the poetic attitudes and values of the original author will be revealed.

In fact, the so-called "hidden meaning," the author's "poetic attitude and values" in the original and the translated texts, is the very objective of my present study. Nevertheless, before we go any further in this direction, in the following section the practical framework as an analytical tool for the contrastive analysis in the following chapters will be outlined.

2. An Overview of 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 the transitivity analysis we can find out how our experience can be encoded into the language about the world.

Hasan defines "transitivity" as being concerned with "who does what to whom/what, where, when, how, and why" (1985, 36). This suggests that the transitivity analysis involves the process, participants, and 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 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 is a brief review of the methods these scholars have used in profiling characterization.

Halliday applies the framework of transitivity analysis to William Golding's novel *The Inheritors*, in which he explores the linguistic patterns which encode 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 in the syntactic prominence. Most of the story is narrated from the perspective of Lok, one of the primitive Neanderthal groups. The later stages of the book see 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 patterning reflect the very transition. The behaviours of Lok's tribe are described as discontinuous and rather aimless, where physical actions barely affect objects in the immediate environment. In experiential terms, Lok's language is consistently marked by material processes which realize an actor element, but without the goal element. What is important here is that these goalless 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 interpretation of the activities of a particular character in terms of process types and participant roles. Halliday shows that the text's linguistic structure embodies its meaning as discourse. In his study, Halliday makes a strong memetic claim about the explanatory power of the transitivity patterning in construing the characters in narratives.

Apparently, Halliday's work motivated many stylisticians and pointed out the directions for unmasking the semiotic process 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, and he advocates that there is a political dimension in textual interpretation, suggesting 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's and doctor's actions are usually represented in the form of "material: action: intention" processes, while the processes used to represent the persona are mainly mental processes, which means that the persona under Burton's focus is put in a position where she can only feel and perceive, but rarely act upon other objects in her immediate environment. This analysis presents a persona as a helpless and detached victim.

By the same token, Kennedy applies the model of transitivity analysis to a passage from Joseph Conrad's *The Secret Agent*, in which Mrs Verlac is discovered to have killed her husband 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 she is 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 is she who murders Mr Verlac. However, the transitivity patterns are in fact:

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

Together with other similar transitivity patterns, Mrs Verlac is 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 is very dramatic, being represented through mental processes. Thus, Mr Verlac is depicted as one who could be aware of everything, but paradoxically is unable to take any action to prevent his being killed. This depiction works collaboratively with that of Mrs Verlac to express the literary theme of the novel. As Simpson (2004, 77) points out, the use of metonymic agency in the excerpt means 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, 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 descriptive analysis of the text of an "unremarkable" style can provide insights into the

literary effect which serves the theme of the text at the global level. At this point, Montgomery (1985, 127–42), and Simpson and Montgomery (1995) also establish the meaningful relationship between transitivity patterns and the construction of characterization in the fictional texts. The latter two also extend their research to different textual media, for instance film. In their co-authored work, Simpson and Montgomery (1995, 129) made a distinction between plot and discourse. They define plot as the basic story line in which events happen in a 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, and 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 being 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 do not tend to affect others, but rather take place involuntarily. So, in this way, patterns of choices constructed around Cal contribute to the meaning of him as inactive. Thus, a close relationship between the transitivity choices and construction of characterization is established. The model of analysis, in Simpson's (2004, 120) words, "can be replicated on any narrative text." Having 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 mentioned above in that they are dealing with a different genre by means of analysing transitivity choices in the two medical texts. One is Oliver 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 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 lexico-grammatical 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 first 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. They found the distribution of processes was "strikingly similar" (1992, 59). However, the impression Sacks's patient Dr P gave is that he had a definite and "almost caricatured personality," while that of Kertesz's forty-one-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 in Sacks's text that Dr P assumed -*er* roles in most of the processes, and 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 on 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 state that whenever Kertesz's patient is the

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), 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 in 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 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 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 behavioural and existential processes in Sacks's and Kertesz's texts. For example, they listed the numbers of behavioural processes in Sacks's text, but did not give an analysis of them. The relatively larger number of the behavioural process (seven) 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 three 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, behaver, 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.

More recently, Pérez (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, Pérez investigated her contrastive corpus of fifty-two political speeches made in the European parliament in both English and Spanish along with their translations. Pérez analysed 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 analytical tool formulated within the abovementioned 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, Pérez's research explores the depth of the pragma-semiotic and ideological meanings hidden beneath the linguistic structures.

By presenting participants in the clauses as actors/goals, sayers/targets, sensers/phenomena, and carriers/attributes, the texts can create a general profiled impression on the audience by manipulating the distribution of the different types of processes. This impression will affect the audience's judgement about participants and the world of events and relations, and is thus usually connected with the generic and discoursal considerations that may be perceived by the audience. The study of the process types and participant roles will therefore 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 one of this chapter, there are six types of processes inherent in the clause as representation. Each has its own participants.

The participants and processes are realized in the clause and are thus the main devices conveying experiential meaning in a communicative exchange. However, in light of the larger proportion of material processes taking up the textual distribution (Matthiessen 2001, 43–7), which makes it "one of the most salient types" (Thompson 1996, 79), this research has material processes as one of its focuses. Since mental processes also play a significant role in the construction of characterization, they will be examined in this research.

Of course, this does not mean that other processes are not significant in 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 involves the examination of how actions are represented, and the kinds of action that may appear in a text, along with 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 clearly be seen that "the hidden attitudes and values" in both the original and the translation are the real focus of this present research. In the following, we construct an analytical tool on the basis of the work of the abovementioned scholars, especially that of Halliday (1994), Halliday and Matthiessen (2004), Kies (1992), Hodge and Kress (1993), and Pérez (2007) in the field of critical linguistics informed by Hallidayan linguistics.

3. Constructing a Transitivity Analysis Model

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 behaver 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 process that represent the world. Therefore, we now need to make some more delicate subdivisions of the process types for 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), and Pérez (2007).

3.1. Material process: action vs event

So far, many scholars have researched the material processes and made a detailed division of them. As can be seen from the previous analysis, human beings can act as an actor, on the one hand, while the inanimate thing can also be the 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 a 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 both have the human beings 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.
(2) A large plate came skimming out.

Berry also adds that there is no question of their having been brought about intentionally or unintentionally because inanimate participants as actors do not have free will 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 the supervention process, in which a process "just happens" (Berry 1975, 151). Hasan (1985, 36) also notes this type of material process, referring to them as mostly like *doing* in the normal sense of the word, and pointing out that words like *fall*, *slip*, *break*, *grow*, and *shrink* are more like *happening* than *doing*. We can therefore create Fig. 3.2 below 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.

Fig. 3.2. The typology of material processes

```
                                          Intention process

                     action process

Material process                          supervention process


                     event process
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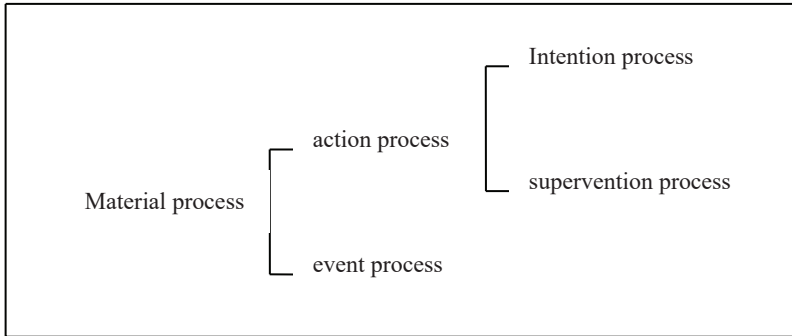
However, among the two types of clauses of action processes, a further category can be classified, as shown in Fig. 3.2 above, on the basis of the distinction in which the participant in the role of actor extends its action to the other participant, say the goal in the same process. If it does, the process can be called transitive, and if not it will be called intransitive, in Halliday's terms (2002, 109). Halliday analyses the language of Golding's novel *The Inheritors* in his article "Linguistic Function and Literary Style." In Golding's novel, Lok, from whose point of view the story is mostly narrated, is a Neanderthal whose primitive mind cannot grasp the significance of the "new people," who are a group of more advanced human beings invading Lok's tribal territory. However, Lok cannot 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 transitive and intransitive concepts are different from the definitions in traditional grammar where the transitive is understood as being followed by an object and the 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 the transitive

the transactive, where the actor extends its action to the other participant in the role of goal, and the intransitive the non-transactive, where there may be only one 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

Below, the details on the distinction between the transactive and non-transactive, and their structuring and functioning, will be discussed.

3.2. Transactive vs non-transactive processes

In the last section, the binary concepts of transactive and non-transactive were discussed due to their relation to the concepts of the binary concepts of transitive and intransitive, utilized by Halliday in his 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) give the notions of transitive and intransitive the names 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), in that the non-transactives serve as "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 the traditional sense, we are referring to the surface syntactic form of models. The distinction between the 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 a participant in the latter. It is therefore difficult to know which role this entity is in, and to distinguish it as actor or affected, since it is here that the model makes it vague to discerning the precise causal and affected statuses (Hodge and Kress 1993, 8). Thus, the defining difference between the transactive and non-transactive lies in the fact of 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 transactive or non-transactive.

3.2.1. Transactive verb plus prepositional extensions

We have discussed the binary concepts in the above section so it is not difficult to make judgements 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 assume that a transformational result *degenerate learning* is in the status of *actor/initiator*. However, the non-transactive model has obscured the causal relations, and further, 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 – 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 the 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.

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 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, and, unlike the material transactive processes, mental transactives do not in fact establish any causal links. 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 impinges upon her retina, and she inevitably sees 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 her "action" (if her seeing can be termed as an action) is nothing but a reaction. Of course, this process can also be some other type of reaction, like perception or cognition.

The second clause cited above can be termed a mental non-transactive process, with an "effect of blurring the direction of causality" (Hodge and Kress 1993, 46), which consequently obscures 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 an action blurring the causal relations, so that *look* is both active and passive, a self-caused action which is also a 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 the perceiver than through the patientive transactive model.
> (Hodge and Kress 1993, 47)

It is therefore 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 this is not the case. Thus, it can be inferred that for
the reaction, mental transactives are more passive than those
non-transactive mental processes. Fig. 3.3 below demonstrates the
typology of the mental processes that can be classified into three types:
perception, reaction, and cognition.

Fig. 3.3. The typology of mental processes
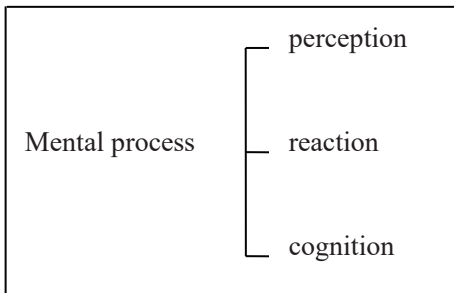
Among the three categories of mental processes which are termed
internalized ones (Berry 1975, 152), the perception can be *see* or *hear*,
the reaction process can be *hate* or *like*, and the cognition process can be
think, for example. These are more delicate classifications of the mental
processes. From Fig. 3.3 above 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 transactives 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 notes:

> 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. (1971, 113)

Based on the features of the clause types, Halliday also concludes the overall characteristics of the causality inherent in the processes of the transitives and intransitives, which Hodge and Kress (1993) term transactives and non-transactives, respectively. "Transactive" is the explicit form of causality and non-transactive can be described as implicit causation. Hodge and Kress also stress 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. (1993, 19)

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 cannot 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 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 *opened* is under full control in the
incident, leading 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 supervention, and transactive vs
non-transactive, which can be said to complement each other. They can
also be subdivided under the binary concepts, which will prove to be a
very important analytical tool in the analysis of the pragma-semiotic
effects in the following chapters.

3.4. Transitivity and passivity

So far, transitivity has become a main vehicle for carrying the ideational meaning. In the previous sections and the following chapters, passive constructions are used in the original text in order to represent the fictional world. Hodge and Kress subsume this kind of construction 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 discussed in the above section, 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, passivity 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 that may be imbued with the author's intentional and 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 the nominal group in the clause. (1994, 41)

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

Nominalizations have focused 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 process underlying them and the participants accompanying them can provide us with 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 <u>adoption</u> of more energetic remedies –" (*AW* 30)

(b) Nominalization (action/non-transactive)

There seemed to be no use in <u>waiting</u> 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 <u>pattering</u> 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 <u>consultation</u> about this. (*AW* 28)

(e) Nominalization (mental)

Before her was another long passage, and the white Rabbit was still in <u>sight</u>, 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 <u>existence</u>. (*AW* 22)

Nominalization has a hybrid nature with a mixture of noun and verb phrase, for which Halliday 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, a very important point here is that, in critical discourse analysis, nominalization is often seen as an implicit process, but there is a necessity for being vague about how the process takes place, and what has caused the process to happen, and what other participants are involved in the process. For this, Fowler and Kress (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 processes into static nouns that conceal agents, pushing them to the background. In this way, "nominalizing a process is the single most powerful resource for creating grammatical metaphor" (Halliday 1994, 352). So there is no doubt that nominalization can be a powerful locus of meaning making.

4. Transitivity Comparisons Between English and Chinese

In this chapter, the general types of transitivity patterns and their functioning are classified and analysed. 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 as an analytical 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 exist. 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 serves to stress the particular cases for the present research.

Many researchers have done comparative studies on the different aspects, such as Liu (2006) and Lian (1993), whose work mainly focus 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 that 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) passivity
(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 passivity, the representation of non-transactives, and causality.

4.1. Expressing passivity in English and Chinese

As 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), e.g.:

(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 passivity. The markedness refers to the features of those clauses in which there are some discourse markers, such as *bei*(被), *jiao*(叫), and *shou*(受), to indicate the passive status of the clauses in question. Wang (1998, 15) concluded that the verbs that comprise the unmarked passive must be the transitive verb in the traditional sense. For instance:

飯   做   好了。

Food   do   ready.

  BT: 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 of passives can be noted:

(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 + _ + verb + de (的), in which the empty slot is usually filled by an agent or circumstantial elements or verbs,

e.g. 這事是他乾的。
This thing is he do
BT: 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 *zaodao* the enemy's bitter beating
BT: 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。
    BTn: *Alice ba gloves and fan picke up*

(2) 手套和扇子被阿麗思撿了起來。
    BT: gloves and fan are picked up by Alice

Clause (1) is a material transactive clause, while clause (2) is the passive form of (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 clause (2) the affected *Gloves and fan* （手套和扇子）and the action itself are highlighted.

4.2. Comparing causality between English and Chinese

Causality is closely connected with the distinction between the 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 transactive 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. 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。

> BT: 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 agents on the surface, though they are not the causer or initiator in the strict sense of the discourse semantics. This indicates that English and Chinese express causation in a very similar way.

5. Summary

From what has been discussed above, we can see that the models of the transitivity analysis can be employed to analyse the text's ideational meaning, and further the interpersonal meaning, along with the semiotic effect. A Transitivity construal aims 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). Therefore, the transitivity patterning analyses have been a useful tool for understanding and identifying an author's style and their poetic purposes. For instance, Simpson and many other critics have commented on the "flat feel" of Hemingway's writing style 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 aspects of meaning of the characterization.

CHAPTER FOUR

TRANSITIVITY PATTERNING
IN THE SOURCE CONTEXT

The production of a literary work cannot 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. 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 book, the textual status of *AW*, especially in terms of transitivity patterns, will be located because it is the transitivity patterning that plays a significant role in the characterization in the novel. So, in the following section, the sociocultural 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; section 4 will reveal the signification of the transitivity patterning at the textual level; and in section 5 the three stages of characterization development will be outlined, following which a tentative summary will be made.

1 The Socio-Textual Characterization

The fantasy novel *AW* was written in 1862 when the UK was under the rule of Queen Victoria, who was on the throne from 1837 to 1901, a time known as the Victorian period. Victoria was very notoriously decorous in her behaviours and stubborn in her beliefs and manners. Her subjects followed suit and became more attentive to their manners, status, and notion of propriety. This was also a period of affluent riches and social

stress, 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 in *AW* is just a kind of vivid description of the sense of time pressure felt by adults as well as the children of the time. So, people are always warned to be "on time" – eating on time, attending class on time, going to work on time, sleeping on time … The fear of being late can always therefore linger in children's imagination, which can be reflected in the rabbit hurrying to attend the Duchess's party in *AW*. The Victorian period was a time we usually associate with rigid rules of behaviour and the preoccupation with a proper outer appearance.

The rigidity of rules and people's behaviour partly explains 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 *AW*, the norms of Romanticism and its enthusiasm for fantasy and fairy tales were occupying a central position in the English literature, but Romanticism itself was in decline at the time. The passion of the Romantic movement for fantasy allowed the genre to be absorbed into children's literature. Carroll was not the first to write a fantasy story, as before him there had been several stories by Perrault, Grimm, and Andersen. However, at the beginning of the nineteenth 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 of the time. However, like other classic children's literature, there was always some strong moral tendency in fairy tales. When discussing the children's literature in the mid-nineteenth century, Gillan Avery points 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 to 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, for the purpose of promoting children's development of moral character in education. Chan also notes that there is a trend of didactics in the Chinese *Zhiguai* tales (Chan 1991), in which the main character is usually coaxed by some superpowers derived from some kind of ghost or animal. However, Carroll's *AW* 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 created a new model, but because the methods he used for the manipulation of fantasy models created a turning point in the history of British children's literature. It is this manipulation of the models that already existed at the time that earned him the status for the text, which eventually became a classic and was imitated by other writers.

Here, an exhaustive analysis will not be made of the text, but only to stress that Carroll made use of the concurrent models to give them 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 identify the moral lessons.

As mentioned above, Carroll's writing of the *AW* text is based on three models that existed in children's literature at that time, which he both integrated and distorted. 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.[3] According to Shavit (1986, 81), the first model had been prominent in children's literature in the preceding fifty 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; in Shavit 1986, 81). Here, Carroll abandoned the moral principle of the current canonized literature for children. However, interestingly, the children in Carroll's time loved the book precisely because it did not have a moral. 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 is because there are so many children's books 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, 151–2)

In fact, the novelty not only resides in the lack of a moral in the book, but there are also many other aspects, such as the nonsense properties

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[3] The nonsense story was at the time said to have originated from the inventor of limericks and creator of "Jumblies" and "The Owl and the Pussy Cat" Edward Lear, who was assumed to have influenced Carroll in one way or another when the latter started to write *Alice's Adventures Underground* in 1862.

and linguistic features in the combinations of the three concurrent models at that time.

2. The Generic Features

As discussed, *AW* incorporates three models: *adventure* stories, *fantasy* stories, and *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 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 1976; Abram 2004). The whole book – except the beginning and the ending paragraphs, which may be difficult to include as dreams – can be conceived as a series of dream episodes; in other words, all the events of the story take place in Alice's dream until she wakes 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 and distant underground world that is distant from 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 magical and supernatural elements always coexist. 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 non-existent in this type of nonsense fantasy. In the discussion of *AW*, Taylor also points out

that the story "grew out of separate bits and pieces linked up more by the associations of ideas rather than cause and effect" (1952, 48). Reichert also refers to 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 comments that the dream visions in *AW* have been pieced together (1965[1971], 231) from different separate events. Just as Ede points out, change is an important theme in the story of *AW* (1975, 9), in which the world Alice experiences 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 the 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 a genre, but also the following characteristics that are specific to the dream fantasy of *AW*:

- the use of imagination and the suspension of disbelief
- the use of language to create a fictional magical 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 particular points
- the author purposefully obscures the relations between reality and fantasy by making use of some specific techniques and constructs a fictional world that exists in a fantastic and magical space, or the *secondary world* in Tolkien's (1966 113) words, 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 take place automatically

The above points are some of the 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 at lexico-grammatical levels.

3. The Socio-textual Features of Transitivity Patterning

In this section, I will analyse the socio-textual features in terms of
transitivity patterns demonstrated in the original text of *AW*, in which the
focus will be on how transitivity patterning at the clause level can
produce the social-semiotic effect in creating a fictional reality intended
by the author to be magical and fantastical 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 magical dreamland
effect. The processes of the clauses have special characteristics, which
deviate regularly from the everyday process patterns that are employed,
thus forming the so-called "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
    (2) magical happenings
    (3) dreamland illusions
    (4) the helpless and perplexed Alice

These four components can actually cover the characteristics of happenings existing in the underground and wonderland world, which thus form the foundation of the novel's fictional reality as constructed.

In the following 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 the pragmatic and semiotic effects in the original language.

3.1. Mystified actions

Generally speaking, the original author has a poetic purpose in any piece of writing that can be subsumed under the heading of the literary genre – that is, they have to concentrate on the aesthetic aspect of the literary nature. When commenting on Spitzer's achievements in stylistics, Lodge points out that a particular ordering of language can produce a particular literary effect (Lodge 1984, 53). In fact, modern linguistics informed by systemic functional linguistics can explain the effectiveness of a particular literary text. So, the processes in the language of *AW* serve to highlight the mystified fictional world deliberately created 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 or mental, are left as implicit or just concealed from the reader. First, I would give some examples of material processes in the following:

> (1) At this moment <u>the door of the house opened</u>, 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 first speaks with the frog-like footman, and then, just as she wants to walk

through the door, the door itself *automatically* opens. Nobody actually opens the door for her and subsequent things 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* in the actor 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 cannot recover who did the action from the context. In so doing, the initiator responsible for the action is nowhere and cannot be kept track of, on the 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 actual 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. In the following is an example text describing Alice's dropping herself into the rabbit hole – the mysterious hall – in which she feels very anxious and wants to get out of:

> (2) There were doors all round the hall, <u>but they were all locked</u>, 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 one whose initiator has been concealed deliberately by the author from the readers' eyes, as well as their mental recovering abilities. First, in such a strange place with so many doors, one cannot help wondering why the doors are all locked and who locked them. Secondly, doors here act as the *Medium*,

which further makes the recovery of the Agents of the action (to *lock*) more impossible. As a result, the main character Alice is completely trapped in difficulty and helplessness, all of which is shrouded by a kind of mysterious atmosphere. This effect provoked by the signification signalled by the lack of the actor's participation is in nature semiotic. From the writer's perspective, as mentioned previously, this ordering of the process could actually reflect an 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 and fantastic world.

We can look at another example in the following in which Alice talks to the Cheshire Cat, a mysterious animal in the underground dreamland world. Let's see how the author represents the animal's mysteriousness:

> (3) "You'll see me there," said the Cat, <u>and vanished</u>.
> 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, <u>it suddenly appeared again</u>. (80)

This time, there are Agents in the underlined material processes: *the Cat* and the pronoun *it* (indicating the Cat). However, we find that the two processes seem to function 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 do not extend to the other participants. In other words, they just happen 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 mystified.

3.2. Magical happenings

AW is a fantasy story embedded in dream visions, 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 does not engage in searching for reflection or reason, or in figuring out strategies or exercising discriminating judgement. So, when an action takes place, it usually does so automatically and therefore somehow 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 makes use of is avoiding the direct mention of the external causes of the processes. In so doing, the attention of the audience is drawn to the reading of the processes while concealing the reason that has caused them. 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 mentioning explicit external causes can be obtained in various manners that are impossible in the real world.

In order to obtain 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 <u>she set to work very carefully</u>, nibbling first at one and then at the other, and <u>growing sometimes taller</u> and sometimes shorter, until <u>she had succeeded in</u> bringing

herself down to her usual height. (*AW* 66)

As can be seen from the underlined clauses, Alice functions as an agent of the process, but whose action does not extend to any other participant: *she just set to work, and she grew taller or shorter, and then she succeeded*. In fact, all three clauses are Material: non-transactive. In such a sense, Alice has been seen to be a quite passive rather than active human participant *agent*. So, her *growing taller or shorter* is more like an event than an action, because such participants do not relate 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 force is magical like this? Is it the mushroom? Does a piece of mushroom have so magical a power? Of course, both questions cannot be reasoned in this way. Apparently, avoidance of the goal keeps the whole process in a magical condition. This situation directly reflects the lack of external cause, or the motivation of causation.

Secondly, the author may also use relational clauses to create a magical reality. In describing the magical happenings and events in the wonderland, he 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 the *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 look at its relational processes only:

> (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 down 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 the actional verbs *went* and *dipped* respectively, but they are actually not actions, describing only the rabbit hole's appearance and thus being relational processes according to Halliday and Matthiessen (2004, 243). It seems to be clear from the text that the unique and magical rabbit hole was just there, detached from any human agency and action. The last relational process in this cited text <u>what seemed to be a very deep well</u> 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 a quite magical 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 <u>sight</u>. (*AW* 60)

The underlined word <u>sight</u> is the nominalization of "see," a mental process. The relational clause "it was out of sight" is a description of the wonderland scene from the perspective of the protagonist Alice. However, the author did not choose to use such clauses as "Alice didn't see it" or "she could not find it anymore." 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 reference to the structural consequences is that nominalization has been transformed from different processes, and therefore entails "substantial ideological opportunities" or effects. Therefore, it is inherently and potentially mystifying, which will contribute to the magical aspect of the narrative of the story.

3.3. The dreamland illusions

The wonderland in *AW* actually consists of episodic dream visions in which the dreamland effect – which I call the *dreamland illusions* – may be created by the deliberate transitivity patterning deployed by the author. However, the dream visions in *AW* are primarily of a 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 which is chosen from the seventh chapter when Alice enters 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)

Most people would have such experience in their dreams which consist mainly of dream visions or episodes, in which one's actions are usually not directed at particular goals. This means, in the material processes, that there are no goals to be extended to by the agent. In other processes, like mental processes, the participant, the senser, actually reacts or perceives the phenomenon "herself." But note, it is only a reaction, or a perception in this case – "she found herself." This is not an action which extends a process to a goal, it just "finds" 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 as 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 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. The helpless and perplexed Alice

As a very important creative strategy, the writer not only uses words to communicate the magical and fantastic aspects in the fantasy fiction, but also, and more importantly, he identifies 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). Characterization is now 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 suggests that those investigating such a story should also make an investigation of the

characterization of the protagonist.

As can be seen from Wilson's comments on the significance of characterization in the magical fantasy stories, the significance in the unfolding and development of the stories can be clearly revealed. So how did the author identify himself with the protagonist Alice? How did he characterize this? Whatever he did, he had to make the audience concerned with the heroine's mood and her situation, as well as the development of the 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 a lot of information about Alice's characterization in order to explore and keep track of its different stages of development. One of the strategies of the author is using 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, her action does not extend to any other participant, and she cannot thus 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 text (8) cited here, there are two material clauses in which "she" (Alice) acts as actor of the process. However, the action she exerts is confined to the body of *herself* – in other words, it does not extend to the other participant. In fact, in the clause, the action *fell* is the one that Alice can help. She just feels and cannot control her *falling* action. Therefore,

the clause in the same text is in the same text instance – *she went down* in a somewhat automated sense.

In (9), the item that occupies the position of the subject is actually *her foot* that becomes the actor or seeming agent of the material clause *her foot slipped*, and then she is instantly in the pool. This is quite unintentional on Alice's part, because it is not *she* but *her foot* that *slipped*, causing her to fall into the pool. She is totally passive in this whole process.

In fact, in the text of *AW*, there are a large number of such processes in which Alice serves in the role of actor or agent, but her action does not 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 act upon.

As can be seen from the above analysis, with the non-transactive material clauses, the audience cannot be clear on *who is doing what to whom*, or what is acting on what, because there is usually only one participant in these processes, and the directionality of the causal relations is thus consequently indeterminate. However, in the clauses that characterize the protagonist Alice in the narrative, there is still another type of clause that may attract the audience's eye in the description of Alice's behaviour. 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 five)

> (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 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 Goal seems to be elusive. In the first underlined clause, it is "a little of the right-hand bit," which seems to be far from being a concrete entity; in the second underlined clause, it turns out to be more elusive 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. The impression and signification given to the audience seem to be that Alice has great difficulty in "nibbling" the mushroom, so she just makes an efforts in "nibbling" *at* it. But in so doing it remains very much obscure as to *whether* her action of *nibbling* produces any effect and extends to the other participant, "the right-hand bit." So, in the two clauses, we can find that even Alice functions as an Agent of the material processes, but her participation in the processes is quite limited, and thus cannot exert any concrete influence on the other participants. It seems that she is more passive than active in the context. This point can also be felt in the following mental processes 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 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 processes, plays a kind of active role in finding something (the phenomenon). In fact, these mental processes do not establish any causal relationships like 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 manner; "herself" is not changed in any way by her *finding*. However, the opposite seems to more true. In such a mental process, the perceiver is usually passive, meaning her *sensing* or *perceiving* is a reaction, rather than an active action or mental processing of the mind.

This analysis is also true of the process in the clause in example (14) to find herself still in existence. It shows that the sense in such processes is very passive, and the act of the *perceiving* is just an automatic response. Here, Alice remains a passive *senser* and cannot do anything but only reacts to the things she happens to meet with, and these things include the body of *herself*.

Therefore, as a 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 world. The *characterization* of the protagonist Alice is a little complicated in that it involves the uses of material processes as well as mental ones. The original author uses both processes to highlight Alice's statuses at

different stages in the dreamland world.

4. Signification of Transitivity Analysis at Textual Level

Through the transitivity analysis at the clause level, it is apparent that the author may have his own poetic strategies for the arrangement of 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 in a different direction. Therefore, when similar transitivity processes form a pattern, they must have their 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 effect in the writing of a literary genre.

In the conveyance of the mysterious, magical, and dreamland-like atmosphere in the novel, the author consistently uses non-transactive material clauses, in which either Alice acts as an actor, but whose action does not extend to any other participant at all, and in some other cases an inanimate entity acts as the actor, which is in fact the Medium or effected Medium that has no "power" to act upon the other participant. So it seems to the audience that whole chain of causal relations of the happenings and events is not present for them to keep track of.

In order to keep the audiences' "disbelief in suspension," the author purposefully avoids the more direct and blunt use of the transactive material clauses: Action: Intention. Even the relational and existential processes are sometimes used to create an effect of the so-called secondary world in which there is all this magical stuff and it is a fact!

This fact allows the 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]
> - (4) Would the fall never come to an end?
> (non-transactive material process)
> - Either (5) the well was very deep, or (6) she fell very slowly,
> for she had plenty of time as she went down to look about her.
> (*AW* 4)
> [(5)relational process; (6) non-transactive material process]
> - At this moment, (7) 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 the 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, these kinds of clauses are very rare, particularly in the first five chapters of this fiction where Alice remains timid and frightened until she gets used to eating the magic mushroom to control her body size after receiving advice from the Caterpillar at the end of the fifth

chapter. So it is no wonder that Alice's dynamic force in the activity becomes stronger in this chapter. I will also discuss this point in detail in the seventh chapter by focusing on the development of Alice's characterization as the protagonist in the story. In the following I would like to briefly demonstrate the textual patterns that can help exemplify the author's transitivity choices and selection in representing the protagonist in the dream fantasy.

> - (8) <u>She found herself in a long, low hall</u>. (mental process)
> - (9) <u>it flashed across her mind</u> that (10) <u>she had never before seen a rabbit</u> with either a waist-coat-pocket or a watch to take out of it. [(9)mental process; (10) mental process]
> - Soon (14) <u>her eye fell on a little glass box</u> that was lying under the table. (mental process)
> - When she got to the door, (12) <u>she found she had forgotten the little golden key</u>, and when she went back to the table for it, (13) <u>she found she could not possibly reach it</u>. [(12), (13): mental processes]

By the same token, the mental processes cited here form very prominent textual patterns in the original text and are thus foregrounded. In these processes, Alice is projected in a very passive manner. Although she acts as a *senser* in these clauses, she does not make any change to the phenomena. Interestingly, the opposite seems truer – that is, the actor is changed in some way by her *sensing* or *perceiving* these phenomena. These patterns formed out of the processes consistently play a significant role in the development of Alice's characterization along the three stages, which we will discuss in detail in the sixth chapter.

5. Alice's Three Stages of Characterization Development

Halliday (1971), Montgomery (1993), and Simpson and Montgomery (1995) established the relations between patterns of transitivity and the construction of central characters in their fiction. The following concerns the figure following Hasan indicating 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 Fig. 4.1 below.

Fig. 4.1. Scale of dynamism of the instance clauses

Dynamic

1	Actor+Animate Goal	Alice took Harry to London.
2	Actor+Inanimate Goal	Alice took the books with him.
3	Sayer+Recipient	Alice told Harry …
4	Sayer+Target	Alice praised the system.
5	Sayer	Alice talked.
6	Phenomenon+Senser	Alice attracted her.
7	Senser	Alice recognized the house.
		Alice was attracted by it.
8	Actor	Alice went away.
9	Behaver	Alice woke up.
10	Carrier	Alice was sleepy.
11	Goal/Target	Harry took Alice with him.
12	Range	He watched Alice.
13	Circumstance/ …	They have Alice.

Passive

As can be seen from Fig. 4.2, 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 at the very opposite bottom to the dynamic end, the passive. Hasan (1985, 46) takes node 6 where "Alice attracted her" as the halfway 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 the active in the upper and the passive in the lower. A horizontal axis is drawn here just below node 6 in order to show the distinction between the passive trend contained in the mental process "Alice recognized the house," in which Alice acts as the phenomenon, and the dynamic trend contained in the mental process "Alice attracted her," in which Alice acts as the 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 book will only consider these two types of process and their effects on the characterization at 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 novel into three stages in terms of the story development, 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."[4] This division of the stages should be in accordance with the narrative development in which Alice changes with the different powers she has in the different periods she experiences in

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[4] 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 five to seven 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; Tigges 1988, 153).

wonderland. Based on the distinction proposed by Tigges, three stages have been discerned in this research according to the degree to which Alice can control her body size and the confidence she has 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 as follows:

> *SCD1* roughly covers the first chapter when Alice falls into the rabbit hole and is very timid and puzzled in the contradictory wonderland, up to chapter five where this timidity culminates when she is attacked by the pigeon
>
> *SCD2* starts from chapter six after she asks for advice from the Caterpillar at the end of chapter five and becomes more confident when she learns to control her body size by eating different sides of the mushroom, to the seventh chapter where Alice approaches the gate of the garden. These two chapters can be assumed to be an interim stage where Alice grows more confident, but not fully adopting a brave persona.
>
> *SCD3* starts from chapter eight where she has been in the garden, going to chapter twelve where she is no longer scared. She becomes 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 three stages form a continuum of Alice's characterization development, along the cline of which Alice gradually becomes brave, courageous, and confident enough by the closing chapter, which symbolizes her unavoidable grown-up process as a mature woman who experiences the 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 translation, according to my observation of the data, does not 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 SCD1 is characterized by the impotency and inability on the part of Alice to act in the wonderland. This stage starts from Alice falling into the rabbit hole and entering the underground world, where she is very timid. The status of impotency and timidity permeates the first chapters from the first to a large part of the fifth, which is particularly construed by the transitivity patterning characterized by material non-transactive superventional processes and mental processes. The transitivity features are obviously significant for the characterization of Alice's status at this stage in terms of her 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 wonderland. In the following I will list the typical processes that represent Alice's status in the story.

In view of the roles that material and mental processes play in the construction of characterization, we will list two types of processes only. Of course, this does not mean other types of process are not important. On the contrary, all the process types used in the text play a role and contribute to the construction of the protagonist, for example, the relational processes, and especially the attributive relational process, serve to express and represent the static status of Alice, which results from impotency and inability. Therefore, 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

Most of the above clauses 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 processes. Others cited above are those which can be termed material intentional ones – that is, the actions are intentional on the part of Alice. However, on a closer look, they seem more to be brought about by another agent, such as the Rabbit, rather than by Alice herself. For example, clauses C1-21, C1-27, and C1-39 are all initiated by Alice following the rabbit into the hole in a series of events.

Even for the material transactives, there seems to be something in the way that functions to obstruct the action to be extended from the agent to the affected. This point can be seen from clause C1-44, where a preposition "down" is inserted between "took" and the affected "a jar." I

discussed this phenomenon in chapter three, section 3.2.1, and it will be discussed again in some detail in chapter six, section 3.4.

Of course, there are other material processes which have Alice as the 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 passivity on the part of Alice, who is intended 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 in a certain way. This seems to be significant for interpreting Alice's role in the first SCD. In this 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 constructing characterization and promoting 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. 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 two, participant roles are often used to represent the roles the participants play in the different types of process. Quite unexpectedly, a large proportion of mental processes are found in the SCD1 characterized by Alice's passive status. Altogether, there are 172 mental clauses in the first SCD covering chapters one to five out of a total 556 processes involving Alice as participant, which is shown in Table 1 below.

Table 4.1. Mental processes in SCD1

Chapter	Mental pro.	Total Processes in chap.	Percentage
1	51	153	33%
2	33	104	32%
3	12	48	25%
4	52	150	35%
5	24	101	24%
Total	172	556	31%

As can be seen, mental processes account for thirty-one percent of the total processes appearing in the SCD1. This unreasonably large proportion of mental processes points to her mental activity and lack of physical activities, especially the lack of material intentional processes. As can be seen from the cited clauses, even in the mental processes, Alice's mental processing ability does not seem to be sharp enough to control her own mental behaviours. Her mental capacity seems to be "happening" rather than intentionally "doing," which is quite mechanical in some way. For example, in C1-162, Alice's sensing seems to be mechanical and she doesn't even 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, for example.

In all the instances of mental processes, Alice, here construed as the *senser*, against the background of mental processes, is very much reserved to a "sense." The internal worldview construed by these processes indicates Alice's impotency and inability to affect the world. She cannot even "sense" what is going on in wonderland 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 the 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 at different stages in the story. From the instances cited above, she is construed in the mental processes in very negative ways – she is impotent and inactive in impacting the surrounding world, and she cannot "think" or "see" properly.

As can be seen from such an analysis, the number of mental processes accounts for a large proportion when compared to other process types. Specifically, Alice is construed as the *senser* in the mental processes of perception, but she cannot manipulate her *sensing* in the way a normal human being often does, which can be seen from her being deprived of the senser's role in some clauses in the SCD1. 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 is developed from ineffectuality and impotency to a relatively more effectual and active state. In this stage, it is assumed that there will be

some indicators in the transitivity patterns that show Alice becoming more active than in SCD1. They can also be represented by foregrounding particular elements and suppressing others in the transitivity patterning. If looked at in terms of impotency on the part of Alice, she seems to be more potent and more able than at the first stage. In Table 4.2 below are the different process types that appear at this stage.

Table 4.2. Processes distribution in the SCD2

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

As can be seen from the table, the biggest proportion of the process types comprises 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. What comes next, close to the verbal processes, are the mental processes, accounting for thirty-three percent of all the processes that appear in SCD2. This forms a stark contrast with the number of material processes – twenty-eight percent – which should be expected to be much higher than the 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 that 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

 C6-09: … 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 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 slightly higher 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 the way between the action "nibbling" and the Goal "the mushroom" like the previous "nibbling" actions, which are indicated at the end of the fifth chapter through to the 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 receives the advice from the Caterpillar and learns to control her body size. In the following are the clauses that represent Alice's passivity, which may involve changes:

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, we are provided with a whole picture of Alice changing in this stage, though these changes seem to be subtle in appearance. The clauses in the context symbolize Alice's difficulty in eating the mushroom. We will further discuss this point in detail in chapter six, 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 – only one, the C7-38: A bright idea came into Alice's head (*AW* 90), 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. Table 4.3 below is a list of the mental processes in the successive chapters, of which the mental non-transactives are picked out for a comparative purpose.

Table 4.3. Mental non-transactives in the SCD2

Process Type	Chap. 6	Chap. 7	subtotal
No. of Pro.	45	23	68
Non-transactive	14	10	24
Percentage[5]	31%	43%	35%

If we confine the comparison within the same SCD, from chapter six through chapter seven, a distinctive change can be detected in terms of the number of mental processes in each chapter in succession: twenty-three in chapter seven, forming a stark contrast with those in

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[5] This percentage is the comparison of mental non-transactives with the total number of mental processes of each chapter.

chapter six, at forty-five. This may mean the processes that signal Alice's mental inability have reduced and other abilities have increased accordingly.

Very interestingly, the proportion of mental non-transactives over the two chapters has a steady increase. There are fourteen out of the total of forty-five, accounting for the proportion thirty-one percent in chapter six, and in chapter seven this proportion increases to forty-three percent with ten mental non-transactives against the total of twenty-three mental processes in this chapter. This increase in proportion of mental non-transactives shows Alice's increase of dynamism and effectuality in her mental-processing ability.

The number of mental non-transactive processes in this SCD2 is thirty-five, 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 a climactic stage in which the protagonist Alice recovers her 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 is no longer timid and weak at the end of this SCD. Not incidentally, such a status of Alice is also realized through the 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 analysing the data, Table 4.4 below takes a comparative look.

Chapter Four

Table 4.4. Processes in SCD3[6]

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%

[6] Chap=Chapter Serial Number; pct=percentage; mnt=mental process; rlt=relational process; verb=verbal process; exis=Existential process; Ttl=Total

As can be seen, the overall tendency in the SCD3 in the material and mental processes and their proportions as "principal clauses" (Matthiessen 2007, 44) which have come to a normal level at which material processes account for the biggest proportion, that is 107, or thirty-four percent, while there are 102 mental processes, accounting for thirty-one percent of the total processes occurring at this stage. However, there is a very marked phenomenon here that the verbal processes account for a proportion of twenty-nine percent, which seems to be contradictory to Matthiessen's observations that the 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, this 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 something and interact with the surrounding environment. She has relatively more freedom in terms of mental processing abilities. All this can be detected from the high frequency of the occurrence of material and mental processes. Also, this increase of dynamism on the part of Alice can be represented through the main types of process: material and mental. In the following space I will analyse the ways in which the two process types are used to convey such a 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 process 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 four, section 5,

formulated by Hasan (1985, 46). Table 4.5 below gives a brief analysis of the data of the material processes of this SCD3, of which the intentional and transactives are listed for a comparative assessment.

Table 4.5. Material processes in SCD3

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

As can be seen, most processes involving Alice as participant at this stage are intentional material processes, which in each chapter account for more than ninety percent compared to the total in the same chapter. As far as the 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 SCD1 and SCD2. In chapters eight and nine, the percentages of the material transactives are thirty-seven and thirty-nine percent, respectively, the dynamism of which has been promoted to a higher level than that in SCD2. These strong dynamism-carried percentages are increased to forty-three percent and fifty-six percent respectively in the last two chapters of SCD3. Obviously, fifty-six percent is a very conspicuous prominent number if we look at nine transactives out of a total of sixteen 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 in the events in wonderland, on which she begins to exert an

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* the percentage indicates the comparison of intentional processes with the total number of material processes in each chapter.
# this percentage indicates the comparison of transactive processes with the intentional ones.

impact. Here are some instances from SCD 3:

> C8-02: she went nearer
>
> C8-07: she stood
>
> C8-55: … managing her flaming
>
> 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 twenty instances from SCD3, it can be seen very clearly that all of the processes entail 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, and C12-04 are material non-transactives. Though her actions do not impact other participants, all of them are intentional processes. 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 forms, especially

when the affected entities are extended to by the agent which is an animate being. There are many such cases indicating Alice's strong dynamism from 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 culminate 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 by impacting on the environment. Of course, this recovery can also be detected through looking at the patterned uses of mental processes at 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 Table 4.4 – the mental processes in each chapter of SCD3 are 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 relative passiveness and impotency on the part of Alice, it can be safely assumed that these decreasing numbers of mental processes in distribution have also signalled the steady increase of dynamism and engagement of Alice with 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 direction. In chapter three, 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. Table 4.6 below lists the statistical data concerning the mental processes in the SCD3.

Table 4.6. Mental process in SCD3

	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%

The overall proportion of the total mental non-transactives in comparison with the total number of the mental processes is thirty-eight percent, which is three percent higher than that in the SCD2 of thirty-five percent. Although this increase is not so distinct, it is enough to have accumulated a strong dynamism on the part of Alice if the increasing proportions of the non-transactives in the total of each chapter from the eighth to the twelfth 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 intentional transactives over the successive chapters in this SCD3 so that a fuller picture of Alice's recovery as a normal human being can be construed in the context of Wonderland.

6. Summary

In this chapter, the source text has been characterized according to the 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 analysed under the headings of the four effects, which has signification at not only the clause level, but also at the textual level. The following aspects have therefore 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) Four basic features are picked out of the original, which are as follows:

(a) mystified actions

(b) magical happenings

(c) dreamland illusions

(d) the helpless and perplexed Alice

The characteristics of the transitivity patterning are then discussed under each of the above headings.

(3) Very importantly, the transitivity processes form some textual patterns in the source text and convey the signification 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 follows the Rabbit down the hole to the end, when she recovers 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 as being used consistently by forming textual patterns to convey the pragmatic and semiotic effects, and then reinforcing 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 literary genre.

Throughout the analysis, it has been 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 provides the audience with 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 points out 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 the characterization of the protagonist. The assumption will be confirmed by the contrastive analysis in the following chapters.

CHAPTER FIVE

TRANSLATION SHIFTS
AT THE CLAUSAL LEVEL

The concept of a "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 (1995) comparative stylistic model, Catford's (1965) linguistic model, Blum-Kulka's (2004) discoursal model, and Leuven-Zwart's (1989; 1990) model designed for the analysis of key concepts at delicate micro-level shifts in translation. 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 when comparing translations with their originals. 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) shifts in rhetorical structures. The first type consists 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 defines shifts as a deviation in the translation from the source texts, which "necessarily entails changes both at the textual and discoursal levels" (Blum-Kulka 2004, 278).

In her very famous paper "Shifts of Cohesion and Coherence in Translation," Blum-Kulka concentrates on the shifts at the levels of cohesion and coherence. Blum-Kulka hypothesizes that increased

explication of cohesive links is the general strategy made use of by all translators. She shows how the modifications at the level of cohesion may bring about functional shifts in texts. On the level of cohesion, the shifts of cohesive markers can affect translations in the direction of explicitness and text meanings (Blum-Kulka 2004, 299), while at 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 2004, 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 2004, 298–9)

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, while 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) shifts at the level of texture, such as the transitivity, modality, etc.

(2) 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 identifies three types of translation shift at the level of 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 2004, 18)

The three types of 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 2004, 312).

For the first, texts are assumed to cohere with their subject matter, with its genre conventions or 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 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" (Blum-Kulka 2004, 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 2004, 309)

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

The *reader-focused shifts* of coherence are often related to the prevailing normative system in which the translator works, and are thus very difficult 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 in their own cultures – that is to serve as a magical dream fantasy which is aimed at child readers, both being recreational and entertaining as a 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 for revealing 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 the 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 analytical model and the discussion of shifts at different levels have led to the classifications of the following types of shift. Because the shifts often result from particular choices made by the translator, they can demonstrate to a great extent the translator's lack of awareness of the meaning potential of the ST. In each type of shift, the contrastive analysis of the examples will be carried out at the clause levels. The number of shifts in the translation comes to a total of 522, whose broad categories of shift 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 otherwise (1.3)

- *Materialization*: this type of shifts is the 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 process 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)

- *NT* (shortened for Non-corresponding *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 they 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 shift in order to have a clear view of the characterization of the protagonist in the fiction and the translation.

Fig. 5.1. Readers' interpretation in light of shifts in translation
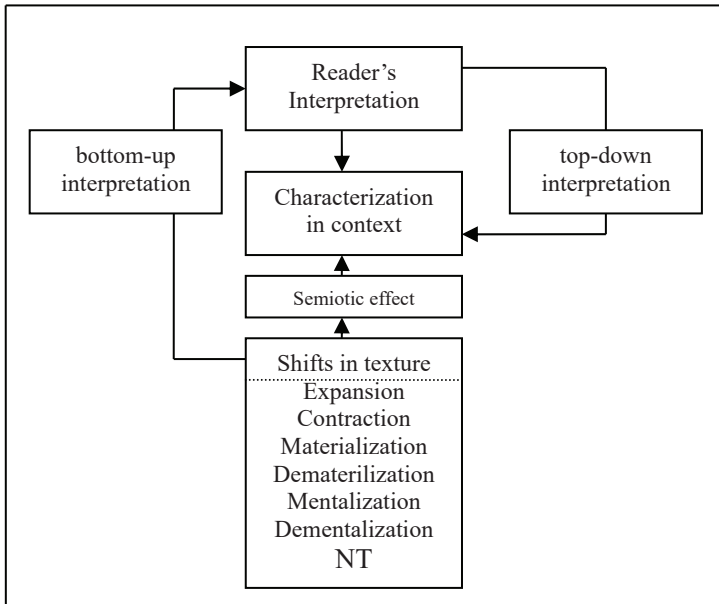
In the following space, I will address the issue of the possible shifts at the level of transitivity according to their prominent features. This means that their classification is based on their most relevant distinctions even if the

ST may differ from the TT in a number of ways. For example, the shifts in the ST and the TT concerning causation are very different in terms of other characteristics, 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 a total of 182 instances of this type of shifts recorded in this dataset. The collected data shows 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 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, which may take their form in many different types. The corpus contains thirty-seven 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. 阿麗思看見一隻紅眼睛的兔子[也沒什麼大不了的]。
> BT: [that is nothing] Alice has seen a red-eyed rabbit …
> LC1-18. after it …
> C1-18.　就緊追著那兔子。
> BT: she thus pursued the rabbit
> LC1-122. at the thought …
> C1-122. 她就想到 …

BT: She thus thought of …

LC2-41. her hands on her lap

C2-41. （手）放在腿上。

BT: 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。

BT: 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 …

BT: she was so nervous that …

The first example C1-07.1 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. It is rendered as a mental process. The second instance C1-18 shows the circumstantial element *after it* rendered into a material clause: Action: intentional, whose intentional action is reinforced again by the circumstantial element, that is, the use of 緊 (*jin,* meaning *closely*). The instances C1-122 and C12-03 are also prepositional phrases, but are rendered as 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 C2-41 and C2-102, the circumstantial elements are also rendered into a material process: actional: intentional. These expansions, to a certain extent, reinforce Alice's dynamism as an active participant in the "sensing" and "doings." The absence of processes in the ST may be filled by all types of process in the TT. Among the 165 instances of expansion, there are 145 cases in which there are no processes in the ST, but there are "corresponding" processes in the TT. Of the 145 instances, 72 belong to the type of active action: intentional processes, while two are action: supervention processes, and 71 instances belong to the mental process

type 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 research purpose of this book is concerned, the significant instances are those of added processes of action: intentional processes, and event and mental processes, because these can indicate Alice's status of participation in the events that happen in the Wonderland story and function as an indicator of the dynamism in her characterization. According to the analysis of the data, 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 the 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。
>   BT: She felt she had entered a long low hall
> C1-92. it would not open any of them
>   Chao. 她一個也打不開。
>   BT: She could not open any of them

In the first instance C1-80, the mental transactive is expanded into two processes: one is a 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, where it is Alice herself who carries on the intentional transactive action. In the second stage of character development, Alice's passiveness does not seem to be relieved in the progress of the story development, although she becomes more dynamic than 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 the Caterpillar's advice. In the seventh chapter

there is a very last mention of this *nibbling* action just before she enters the garden:

> C7-93. Then she … nibbled at the mushroom (98)

In order to form a contrast with its previous counterparts, the several "nibbling" actions are listed as follows, with the 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 five: 62)
>
> C5-109. (she set to work very carefully) nibbling first at one and then at the other (chapter five: 66)
>
> C5-122. so she began nibbling at the right-hand bit again … (chapter five: 66)
>
> C6-134. till she nibbled some more of the left-hand bit of mushroom … (chapter six: 82)
>
> C7-93. she set to work nibbling at the mushroom (chapter seven: 98)

In order to show the 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 seen that Alice's dynamism develops 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 works on "nibbling at the mushroom," which indicates her more dynamic activity by reducing distance between the action of "nibbling" and the affected entity "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, as shown in Chao's translation:

Chao. 她又咬了一點右手裡的蘑菇。(chapter seven: 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 remains as difficult as when she received the magic mushroom by following the Caterpillar's advice. Of course, this lack of awareness of the dynamic change can also be reflected in the translations of the SCD3, in which Alice is more active than in the previous chapters, especially in the last one. Generally speaking, due to the similarity of transitivity structures between English and Chinese, problems seldom arise in this aspect, because at this stage Alice is appearing in the 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, and 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 twelve: 160)

   Chao. 她的裙子邊帶翻了陪審團座廂。

   BT: 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 a supervention, an event process. As a result, the dynamism is very much reduced 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, especially the last chapter 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 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 discussed in chapter three, section 3.5. 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 nominalization 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 their role is taken into consideration in the construction of Alice's characterization in the dream fantasy, where 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. 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 <u>thought</u>

Chao. (她臉上登時現出喜色)她就想到 …

BT: (Her face produced a delightful colour) she instantly thought of …

C2-69. to find herself still in <u>existence</u>

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 <u>swim</u>

Chao. 自從她在河裡游水之後。

BT: Since she swam about in the pool …

In the instance C1-22, the prepositional phrase *at the thought* contains a nominalization, which is rendered as a 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 also has the features of a static noun which indicates Alice's passiveness and inability in the surroundings on the other. This status is changed when the nominalization is rendered as a material intentional process "standing there." This effect is even more obvious when the word *swim* is 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 easily be 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. Tables 5.1 to 5.4 below represent their respective sources.

Table 5.1. Three sources of expansion shifts

Expansion from	no process	prep.	nominal.	Total
No. of shifts	145	37	24	206

Table 5.2. Expanded processes from no process

no process to	material process	mental process	others
No. of shifts	56	58	31

Table 5.3. Expanded processes from prepositional phrases

Prep. phrases to	material process	mental process	others
No. of shifts	14	7	16

Table 5.4. Expanded processes from nominalizations

Nominal. to	material process	mental process	others
No. of shifts	17	4	3

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 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 the focus of our study. As shown above, tables 5.2 to 5.4 function as supplementary figures of 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 tables, the expansions are mainly into material and mental processes which may have a strong tendency to distort the characterization in the ST.

1.2. Contraction

In the last section the expansion was discussed, in which processes can be expanded from no processes or circumstantial elements in the ST. These added processes may reinforce the fluency of the reading of the translation but undoubtedly result in some damage to the representation of the author's poetic purposes – that is, to represent Alice's characterization along the cline of dynamic development from a completely passive status through relatively active to a completely active and interactive stage in the dreamland. Contrary to the *expansions*, some clauses in the 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 contracted into a word or phrase. In this sense, contraction in the translation corpus consists of seventy-six 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 …
> BT: 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。
> BT: 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。
> BT: She skilfully 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*, meaning *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 falls down the hole while she still has time to manage to put a bottle into the cupboards, this process is there to help to represent the 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 cannot even 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 has no choice but 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 act upon her surroundings around herself. Here are two examples from SCD1 in which she finds that she is falling into a seemingly deep well:

> C1-28. she found herself [falling down …]
>   Chao. 往一個很深的井裡[掉了下去 …
>   BT: 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。
>   BT: Alice very respectfully watched it

In C1-28, the mental process representing Alice's passive status is deleted in the TT for the sake of the fluency or smoothness of readability. Along with this omission, the passive *senser* and the process which accompanies the dreamy atmosphere are also deleted. So, Alice's inability to act upon her soundings is nowhere represented in the co-text in the translation and thus the intended effect is also eliminated. In 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 act upon is quite limited. She actually has nothing to act upon but herself or her own body parts. This is a case in point that Alice was *acting upon her eyes* in the original, but nothing else. Interestingly, while the first material process was deleted, 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 process, such as mental, relational, and behavioural, 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 the 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 can take on various forms, such as actions or events, transactives or non-transactives, explicit or implicit agents, causative or non-causative, and intention or supervention. The dematerializations can reduce the semiotic influence and ideological meanings they are designed to carry in regard to construction of the characterization of the protagonist in the ST. There are altogether fifty-nine instance shifts under the heading of dematerialization.

The dataset shows that there are twenty-one ST material processes in the SCD1 (covering chapter one to chapter five), which are converted into various types of processes; while in the SCD2 (covering chapter six to chapter seven), there are seven material processes that are converted into other types; and in the SCD3 (covering chapter eight to chapter twelve), there are thirty-one material processes into various types of processes. In the following a few instances are presented:

C1-144. she could not possibly reach it.

Chao. 太矮了。

BT: 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)。

BT: (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)。

BT: - (Alice very respectfully watched it)

C6-40. Alice quite jumped

Chao. 阿麗思嚇了一跳。

BT: Alice was frightened

C7-02. (when they saw) Alice coming (chapter seven: 2)

Chao. (他們看見) 阿麗思。

BT: (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。

BT: but she had never seen such a thing in the books

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

Chao. - (omitted)

It would be better to discuss these instances according to the three SCDs in which they appear. In SCD1, characterized by Alice's passive status, there are twenty-one material processes that are rendered into various

types of process, which is a relatively large number of the dematerialized processes. However, taking into consideration the structure of the clauses, the processes mostly have no goals to act upon, or in some cases 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 an adjective phrase – 太矮了 (too short), which turns out to be a rather static judgement made by the narrator rather than a "neutral" description of Alice's paralyzed state in her inability to "reach" the key or get into the garden. The second clause C1-147, which describes Alice's weak and helpless situation, was omitted in the translation. It is particularly a process of dematerialization. In the instances C1-27 and C3-06, which still belong to SCD1, Alice really acts upon something, but this very *something* is nothing but her own body, or her "*eyes*." In SCD2, Alice's dynamism is relatively stronger than it was in 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 is 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 entering the garden. At this point she is becoming relatively more active and dynamic than in the previous chapters. In the instances C8-07 and C8-44, this dynamism is maintained and becomes even stronger in C11-10, when Alice "read about them," in which she begins to act upon "them," which is inanimate and in C12-37, Alice's dynamism reaches a high climactic point where she affects the animate entities and she has the strongest dynamism in terms of Hasan's (1985, 46) scale.

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 process 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 SCD3 where Alice becomes more and more active to the extent that she can ultimately control the whole situation in the last chapter of the novel.

The translational text also contains four 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。
> BT: [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。
> BT: she always thought of the goldfish tank accident

In instance C7-38, "a bright idea came into Alice's head," and in instance C12-13, "the idea of the goldfish keeps running in her head". It is worth noting that this type of processes does not appear in SCD1, but appear only in SCD2 and SCD3. This difference is significant in that Alice in these latter two stages is not as passive as in SCD1, but rather more active and interactive. In SCD1 she can only 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 thirty-nine material processes which are translated respectively into relational processes (eight instances), mental

processes (nineteen instances), verbal processes (eight instances), and behavioural processes (four instances):

> C1-112. Alice was not going to do that in a hurry
> Chao. 阿麗思絕不會這麼冒失。
> BT: 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。
> BT: She had never spoken to a mouse
> C6-51. while she was trying to fix on one
> Chao. 她正在想著。
> BT: 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)。
> BT: She thought of some ways (to get her body tucked under her arms)

The clauses cited above are of the instances that are material: intentional: transactive in SCD1, designed to describe Alice's realistic aspect in the absurd dreamland, although this realism always comes to be ridiculed in the end. So, the conversion of material processes into relational ones renders TT processes more static or abstract than their counterparts in the ST. Although the instance C1-112 is a material: action: intentional process on the part of Alice, it is an action which is negated and never acted upon. When it is rendered into a relational process "阿麗思不會這麼冒失" it becomes a rational judgement which emphasizes Alice's rationality in the context. This is obviously contradictory to the descriptions from the perspective of the original author. This kind of analysis also applies to instance C2-98, where the action is also negated and never acted upon. The instances C6-51 and C8-56 are both rendered as 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 that when these processes appear, they may convey a rigid, mechanical, unnatural, and passive status of the protagonist. In the TT, these material processes can also be dematerialized by being replaced with mental processes. Here are two examples from SCD1:

> Cl-162. Soon her eye fell on a little glass box that …
> Chao. 不一會兒她又看見桌子底下…
> BTBT: 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。
> BT: Alice very respectfully watched it

By transforming the metaphorical mental processes into purely mental ones, the translator also brings about the change of participant roles – that is, the agent "the eye" is changed into Alice, who reacts 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 denotes parts of the human being rather than denoting the intending human being as a whole. In 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 a similar result to the translation of C1-162. In this sense, the kind of passiveness and inability on the part of Alice stands out in the ST context, but this layer of meaning is eliminated in the translation.

1.4. Materialization

Different types of processes, such as mental, relational, existential, and verbal, even along with the nominalizations, can be rendered as material processes and thus materialized in the TL text. According to the observations of the dataset, the TT material processes may take on different forms, such as action or event, transactive or non-transactive, and causative or non-causative, and 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 dataset, mental processes are used to represent Alice's passive status, especially in SCD1 and SCD2, although the non-transactive mental processes are sometimes used to indicate certain increases of dynamism on the part of Alice in 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 six 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。
> BT: 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。
> BT: 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。
> BT: 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. In C1-169, however, it seems that the process "feel" and its Chinese counterpart 摸摸 (*momo*) have very similar meanings, 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 as the opposite is true. The third instance C7-86 is even more apparent that the dream-vision-like feeling Alice has in 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 twelve instances of shifts from relational to material processes. It has been very clear that the relational clauses are often used to represent the static state of situations or solid statements. When they are rendered as material processes, the function they have had in the ST may get lost. Here are some clauses in the following:

C1-78. She was close behind it
Chao. 她已經追上得很近。
BT: 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。
BT: Alice walked down one side and walked up back along another side

In the instance C1-78, Alice is actually *running* after the Rabbit, but the author does not represent it as it appears. Instead, he uses a relational process for the purpose of conveying Alice's passiveness. She is *running*, but the action of *running* under the writer's pen feels magical 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 magical and mysterious world, which Alice could not manipulate in any way.

There are also nine instances of shifts that belong to nominalizations, but which are rendered as material processes in the TT. Of the nine shifts, five cases are the nominalizations in the sense that they play a role of noun, and four 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. 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 …
> BT: Although Alice has read a lot history …
> C1-106. in waiting by the little door …
> Chao. 等在小門那裡 …
> BT: (Alice) waited at the little door
> C8-109. (in search of her hedgehog)
> Chao. 去找她的刺猬。
> BT: looked for her hedgehog

It can be clearly seen that the nominalizations are used here to promote the descriptions and characterization of Alice through passiveness and inability. With the materializations in the translation, Alice becomes dynamically active, and even her action becomes intentional and transactive in the sense that "she read history" (她念過許多歷史). This

conversion is very significant in that it increases the dynamism on the part of Alice, especially in SCD1 in which she intends to go in a contrary direction of characterization development. In C8-109, the nominalization *search* is rendered as a mental process 找（*looked for*）in Chinese. If we remember that chapter eight belongs to SCD3, in this very chapter Alice's dynamism becomes increasingly stronger, and her action begins to act upon other things, even animate things.

Of course, an obvious case in the materialization in that material processes may be produced out of *non-processes*. This means that there are non-processes (which may take on the form of prepositional phrases or adverbs, or even the implications inferred by the translator) in the original, but these non-processes are rendered as 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 thirty-six shifts in this respect from non-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。

BT: (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。

BT: (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。

BT: (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 not only come out of non-processes, but also that they are rendered as transactive: intentional actions, in which Alice's action is extended to the other participant in the process – *the door* in C1-84. In C1-102, the process 玩 (*to play*) is created to create fluency in the text on the translator's part, which has largely increased the dynamism and intentionality of the character. In C4-168, the translator adds 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 on Alice's dynamism, which increases, especially when we take into consideration the SCD1 the protagonist stays in. In this very instance shift, Alice undertakes an action which is very intentional on her part, when she "pulled a vegetable leaf," an action on which she had seldom enacted previously.

1.5. Mentalization

The term "mentalization" is coined here after materialization in the sense that there are some shifts from non-mental processes to 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 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 senser's *reaction* and *perception*, while the non-transactive mental processes are used to emphasize the 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 ninety-one instances of shifts under the heading of mentalization.

The corpus records fourteen instances of shifts from relational processes to the mental processes, of which five are from SCD1, two are from SCD2, and six (metaphorical mental processes) are from 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 …
> BT: This time she actually feels …
> C1-64. And Alice began to get rather sleepy
> Chao. 阿麗思覺得睏得慌了。
> BT: 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, which are thus characterized as "more active and purposeful" on the part of Alice in the TT, though this is not the case in the ST. Very contradictorily, Alice's mental processing abilities seem to be suppressed from the author's use of metaphorical processes in the material forms in the SCD1. The conversion of the static relational processes into mental ones to a certain extent points to the protagonist's increasingly strong engagement in her surroundings and highlights her dynamism.

In some cases, mentalization may be derived from material processes. This corpus contains twenty-two instances of shifts from material processes, seven 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。

BT: 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。

BT: 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。

BT: [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。

BT: 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)。

BT: 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 …

BT: (She) thus saw …

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

Chao. 但她曾經看見書里講過。

BT: but she saw them discussed in books

In the above seven instances, the first four 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 as the mental counterparts in the TT, regardless of the particular functions they carried in the three different SCDs, the poetic purposes characterizing the protagonist on the part of the author are damaged to some extent. These mentalizations in the SCD1 actually increase Alice's dynamism in the TT, while in the SCD3 they decrease the dynamism in some way.

The corpus also registers nine 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 <u>thought</u> [that …]
> Chao. 她總<u>覺得</u> …
> BT: she always felt …
> C5-60. and in another moment it was out of <u>sight</u>
> Chao. (阿麗思)一會兒便<u>看</u>不見他了。
> BT: In another moment, (Alice) did not see him any longer
> C10-26. whose <u>thoughts</u> were still running on the song
> Chao. 阿麗思心上還<u>惦記</u>著那首歌。
> BT: Alice still remembered the song on her mind
> C12-122. at the <u>thought</u> …
> Chao. 她就<u>想到</u> …
> BT: She instantly thought …

By bringing participant roles to the surface of the clauses, the causal relations are also made explicit. They not only decrease the magical and mysterious atmosphere intended by the original author in the ST, but also

increase Alice's dynamic perception in the TT, which is not intended.

A very conspicuous phenomenon of mentalization is that there are still some instances of shifts in which the mental processes are derived from the non-processes in the ST. Altogether, there are forty-six instances of this type of shift, 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 have unconsciously increased Alice's perceiving abilities in the TT as an active and purposeful mental process may have increased in SCD1 and SCD2, while in 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。
BT: (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。
BT: (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<u>看</u>那渡渡鳥（停了半天）。
BT: Alice saw (that the Dodo stopped for a while)
C7-12. [-]
Chao. 阿麗思聽了。
BT: 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。
BT: (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 characterization 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 SCD3.

1.6. Dementalization (to other processes)

As a functioning device of the binary opposition of materialization vs dematerialization, accompanying the process of mentalization is its opposite form, dementalization. Dementalization is also a very common shift that can be observed in the translation dataset. 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 thirty-two 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 five 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…")
> BT: (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。
> BT: ("But why to pretend to be two people now?") Alice said.

Both of the above ST clauses are from the first chapter where Alice falls down into the Rabbit hole, where everything remains magical and mysterious around her, who seems to have only the ability to think or wonder and react passively to the events that happen around her. As demonstrated in the previous discussion, even her mental processing abilities are limited in one way or another, and 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 the verbal process has more dynamism than the senser of the mental process. The dementalization into the verbal process in this way increases Alice's reacting and perceiving abilities in SCD1, where she is intended to remain passive.

As observed in the translation corpus, there are three 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 as a relational one can decrease the protagonist's dynamism. However, in 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 judgement made from the point of view of Alice and can be assumed to be equivalent to the original. In C8-54 Alice is expected to be more active than in SCD1, rendering the mental process into a relational one, decreasing her dynamism in the context.

There are also twenty-four instances where mental processes are transformed into a *non-process* – that is, they are omitted in the TT. Of

the twenty-four instance shifts, sixteen belong to SCD1, four belong to SCD2, and four belong to SCD3. Of the four instance shifts from SCD3, three are from chapter eight, the very beginning of SCD3, and one is from chapter twelve, the climactic point of Alice's dynamism. As can be seen from this comparison of the dementalizations in the three different stages, most appear in SCD1, sixteen out of all twenty-four (66.7 percent) dementalization shifts. Very interestingly, the only shift of mental process appearing in the last chapter is the mental non-transactive, in the following C12-26, which is, however, omitted in the translation. In the following are two such examples.

> C1-28. she found herself (falling …)
> Chao. 掉了下去。
> BT: fell down
> C1-143. she found (she could not … reach it).
> Chao. - (太矮了)。
> BT: - (too short)
> C4-37. She found (her head pressing against the ceiling)
> Chao. 頭已經頂到天花板了。
> BT: 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。
> BT: she stood close enough

It is particularly significant here that these omissions take place along with the avoidance of mentioning any explicit or implicit reference to the senser, 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 process 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 drawing 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 Table 5.5 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 *Non-corresponding types of process* (NT) between the ST and TT (1.7), which will be discussed following this present section.

Table 5.5. Table of general shifts categories

| 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%

Taking the shifts directly related to the material and mental processes into the picture, we can get the following data, which can be significant in the characterization of Alice (see Fig. 5.6 below).

Table 5.6. Shifts involving material and mental processes

	Material	**Mental**	**Total**
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%

Tables 5.5 and 5.6 demonstrate 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 of the shift types in the translation corpus visually, Fig. 5.1 below shows how they contrast with each other.

**Fig. 5.2. Contrastive overview of the shift types**

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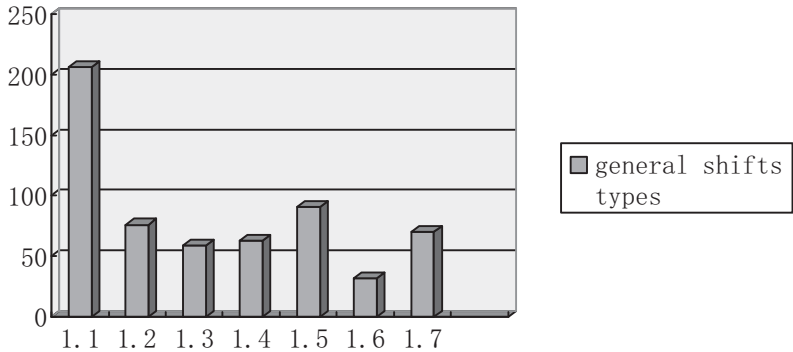
* here indicates only inclusion of the shifts in relation to the material process, which also applies to mental ones in the second column under the heading of mental processes.

As shown, the seven types of shift – expansion, contraction, dematerialization, materialization, mentalization, dementalization, and non-corresponding types of process in ST and TT – are shown to form conspicuous contrasts. It is quite clear that among the different types of shift, expansions occupy a dominant position. As discussed in chapter five, section 1.1, this type of shift is derived from *no processes*, *prepositional phrases* (or circumstantial elements), and *nominalizations*. Tables 5.2, 5.3, and 5.4 give a clear description of the details of the expansions into material and mental process types. In the following the expansions take the form of two main types of process, and the rest are expanded into other types of process which are not taken into consideration in this research.

Fig. 5.3. Material and mental processes in expansion shifts
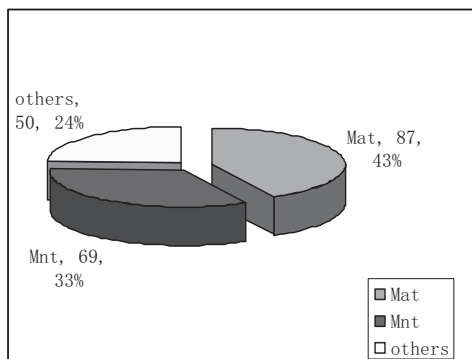
It can be clearly seen that the material processes account for a relatively larger proportion (forty-three percent) of the expansions, which means Alice's dynamism is increased by the translator because most of the shifts are detected in SCD1 and SCD2, where Alice is poetically intended to be passive and impotent. Apparently, material and mental process-related shifts dominate among all shift types. Fig. 5.4 below represents this trend with bars to display the contrast.

Fig. 5.4. Overview of material and mental process-related shifts
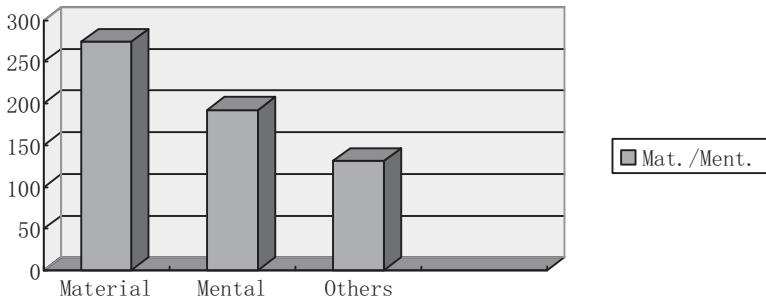
As can be observed from Fig. 5.4 and Fig. 5.2 above, the number of shifts related to material processes stands out starkly against the mental and *others* types of shifts. The total number of the mental and *others* shifts is very close to that of the expansion. All of this constitutes a safe conclusion that the ST transitivity system has been changed in some way by the shifts occurring in the TT. The outstanding number of 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, embedding mental processes also plays a complementary role in the characterization of the protagonist. However, out of the 348 mental process shifts from the comparison of the ST with the TT, 192 are observed to be shifted from the original, which is a very noticeable number in the shift categories recorded. In Fig. 5.2 above it can be seen that most shifts occur within the material processes or material-related processes, which, however, may play a vital role and thus distort the characterization of Alice in the ST when it is translated into the TT.

1.7. Non-corresponding types of process 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, or mental processes into other processes, such as verbal ones. However, the so-called non-corresponding types refer to those processes in the original which are rendered as processes of the same general types, but differ from their ST counterparts in some subtle aspects. The main difference between the ST and the TT can be found in the participant roles, and in the nature of the processes themselves as well as 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. 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 event material processes in that they have an animate participant in the role of actor. The focus of this study is on the transitivity patterning of Alice as the *er*-roles – that is, the participant roles of the actor are usually occupied by Alice herself. There are few cases in which the actions are rendered as event processes. If there are some cases in which actions are rendered as events, especially in SCD3, the semiotic effect caused will be very prominent in the aspect of reducing Alice's dynamism. In other cases, Alice as the participant may be in the role of the affected entity.

There are six cases of shifts in which action processes are rendered as ones in the form of an event – that is, the animate actor or agent is

replaced by the inanimate object, such as the parts of the body in the TT. The following are three instances from the 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。
> BT: 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。
> BT: 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。
> BT: the two hands tried to block them

In the above three instances, the animate participant in the role of actor/agent was rendered as an event with the inanimate participants in the role of actor. The first instance C1-147 is from the first chapter where Alice remains very passive. This clause is a description of her acting 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, but also reduces the degree of her passiveness in the description. The following clauses, C12-05 and C12-43, are from the last chapter of *AW* in which Alice becomes so dynamically active that she herself is able to act upon other things around her – even the animate beings. But the shift into an event process seems to have reduced this effect.

(b) Event to action

There are four 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 in the position of actor. When this happens in the first

two stages, especially in the SCD1 where Alice is intended to be passive and impotent, the effect of the dynamism increase may be very prominent, as in these two instances:

> C1-92. it would not open any of them
> Chao. 她一個也打不開。
> BT: 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。
> BT: 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, the shift of Alice 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, signals some increase of dynamism on the part of Alice. The instance C4-76, which also occurs in the first SCD and represents 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 few instances observed 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 four instances 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。

BT: 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。

BT: (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 SCD1, Alice has no ability to control her *falling* action – she can do nothing but *fall down*. In comparison with the translation, it is found that the Alice had the initiative in her action to *go by* the cupboard. The instance C12-45 from SCD3 where Alice wakes up to find herself lying on the bank, which is undoubtedly a supervention, is 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 seem to be reversed in the two stages, in the first of which she is intended to be passive but is rendered as active, while in the second she is intended to be active, but is rendered 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 one 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 sixteen 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 fourteen instances are entailed in the first two SCDs, where Alice's dynamism is relatively much lower in comparison to SCD3.

> C1-01. sitting by her sister on the bank
> Chao. 陪著她姊姊。
> BT: accompanied her elder sister
> C1-93. nibbling at the mushroom
> Chao. 她又咬了一點右手裡的蘑菇。
> BT: she again bit a little of the right-hand mushroom
> C5-18. Alice turned
> Chao. 阿麗思就掉過頭。
> BT: Alice thus swivelled her head

All the above three instances appear in the first and second SCDs, where the conversions of the non-transactives into transactives have undoubtedly increased the intensity of the protagonist's dynamism in an unexpected way, for example, in C1-01 when the non-transactive is rendered as transactive "accompanied her elder sister," wherein the dynamism is promoted very much on the part of the protagonist.

(b) Transactive to Non-transactive

The translational corpus registers six shift instances that transform the transactive processes into non-transactive processes. 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)。
> BT: she didn't even think of stopping …
> C7-61. Alice … took the place of …
> Chao. 阿麗思挪到 …

BT: Alice moved to …

C7-81. as she picked her way through …

Chao. 阿麗思走上了林子的路上。

BT: 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。

BT: but she herself paused hastily

In 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 cannot act 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 C7-61 and C7-81 that both take on the form of transactives, but are actually pseudo-transactives, in Hodge and Kress's (1993, 49) term. These seeming pseudo-transactives actually play an *intermediate* role in this transitional stage which bridges SCD1 with SCD3. So here, at this point, in the instance C7-61 in the ST, Alice, as the actor of the clause, has been demonstrated as dynamic enough to "take the place of the March Hare," who "moved into the Dormouse's place." In this intermediate stage, Alice gains relatively stronger dynamism through the accumulation in the first SCD and will gradually develop into a stronger position in SCD3. In C10-03, although the affected entity is *Alice* herself, there is one point that is different from that in C1-27, that is, this is an effective action – Alice realizes the action "checked," in the sense she succeeds in enacting the action. It is in the very 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 discussed in the methodology section, causality can also be seen from the opposition between transactives and non-transactives. Based on the observation of the shift analysis, there are two types of shift concerning the causality: one is the ST non-causatives rendered as causatives in the TT; the other is the ST causatives 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 as causatives can increase the dynamism of the actor of the clause if the causer is the force pushing 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 seven 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。
> BT: 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。
> BT: (She nibbled a little bit of the right-hand mushroom) and makes herself shrink to more than a foot high

In C4-82 and C7-93 above, 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 meaning 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* the mushroom is surely the cause of her shrinking to the height of one foot. However, it just does not say so, and the result is represented through a relational process. If we remember Alice has come into SCD2 in this clause, 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 in dynamism.

(b) Causative to non-causative

The translation corpus also registers three instances of the shifts from causative to non-causatives. These three instance shifts are distributed in chapters three, seven, and eleven, which belong to the three different SCDs.

> C3-44. (Alice was) always ready to make herself useful …
> Chao. 她總喜歡幫人家的忙。
> BT: she always likes to help others
> C11-02. It made Alice quite hungry
> Chao. (阿麗思)都餓起來了。
> BT: (Alice) was becoming hungry

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 strong dynamism on the part of Alice. The instance C11-02 has Alice as the affected entity. However, it has the 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 contradict 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 representing 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 Chinese speaking and writing. So, the shift from the English receptive to the Chinese operative is just the translator's stylistic strategy for conforming to the norms of TT usage. There are twelve 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 …
> BT: 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。
> BT: and put them into the jury box

In the above two instances the receptive processes are converted into operatives that show the agent's (Alice) active intervention of the action in the TT. So, in the TT, the agency of Alice is made more explicit while backgrounding the patient's role.

(b) Operative to Receptive

The reverse of the above situation renders a receptive as an operative. There are also two ST operative clauses which are converted into receptive processes that 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。
> BT: 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 eliminated in the TT.

1.7.6. Mental transactives vs Non-transactives

As discussed in chapter three, 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 a transactive into a 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 an example analysis.

(a) Mental transactive to mental non-transactive

The comparative translation analysis records eight instances of shifts in which mental transactives are rendered as mental non-transactives. The conversions have undoubtedly increased Alice's dynamism, especially in SCD1, as shown in the following:

C1-109. She might find another

Chao. 再找找另一個。

BT: 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。

BT: (she) looked: inside there was a small cake

C5-62. when she found that …

Chao. 她低頭一看。

BT: 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)。

BT: (she) opened her eyes to look, she was still lying on the bank

The ST mental transactives are made use of by the author to represent the dream-vision-like events on which Alice cannot exert any control. However, they are rendered as non-transactives in the TT.

(b) Mental non-transactives to mental transactives

The translation corpus contains two instances of mental non-transactive processes to mental transactive ones. The ST processes mostly occur in the SCD2, where Alice is expected to be more dynamic than in the 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 chapter four. That is, the dynamism is suppressed to some extent by the means of this transformation. When this happens in the latter two SCDs it distorts the characterization of the protagonist intended by the author. 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 …)

BT: (she) saw (the cat again …)

1.7.7. Transactive verb plus prepositional extensions

In reference to section 3.2.1 of chapter three, there is another type of shifts that cannot be avoided in the discussion of the different types of shift along with their repercussions – the use of the 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 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 SCD1 and throughout SCD2 up to the point of Alice's entry into SCD3. The effect of the shifts, if any, is very prominent.

However, the focus is on how the "hindrance" created by the "small words" *inserted* between the actional verb "nibble" and the affected goal is removed in the translation and also in a contrary direction, and how the very hindrance may be "inserted" in another case. In the former case, the dynamism on the part of Alice is increased due to the removal of the hindrance words, while in the latter case the dynamism involved in the context is decreased as a result. There are only four shifts from the total of five *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 chapter five of SCD1 and chapter six of SCD2, while the fourth 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 four shifts point to the change of the 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 bring significant 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 are listed in the tables below.

Table 5.7. Subcategories of material processes

Sub-processes	code	No.	Pct. (%)
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

1.7.1 Action/Event	No.	Pct. (%)
Action to event	6	60%
Event to action	4	40%
Total	10	100%

1.7.2 Intention/Supervention	No.	Pct. (%)
Intention to supervention	1	20%
Supervention to intention	4	80%
Total	5	100%

1.7.3 Transactive/Non-transactive	No.	Pct. (%)
Transactive to non-transactive	16	73%
Non-transactive to transactive	6	27%
Total	22	100%

1.7.4 Causality	No.	Pct. (%)
Non-causative to causatives	7	70%
causative to non-causative	3	30%
Total	10	100%

Table 5.9. Subcategories of mental processes

1.7.5 Operative/receptive	No.	Pct. (%)
Operative to receptive	12	86%
Receptive to operative	2	14%
Total	14	100%

Table 5.10. Transactive verb plus prepositional extensions

Sub-processes	No.	Pct. (%)
Transactive to non-transactive	8	80%
Non-transactive to Transactive	2	20%
Total	10	100%

| Sub-processes	No.	Pct. (%)
Hindrance removed	3	75%
Hindrance added	1	25%
Total	4	100%

These tables are designed to display the total number of shifts with their corresponding percentages in the field of the subcategories under the heading of 1.7 in the dataset. As can be seen from the comparative tables, there are more shifts in the material clauses than in the mental process types. These subcategories reflect the 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 provide evidence for the interpretation of the effect within the framework of translation as communication.

It must be noted that the largest number of shifts shown in Fig. 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 in 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 dream fantasy fiction. In order to gain an insightful view of the changes, a bar chart is used here again, in which the shifts from action to event (A-E) and from event to action (E-A) are both depicted.

Fig. 5.5. Overview of actions and events in material processes
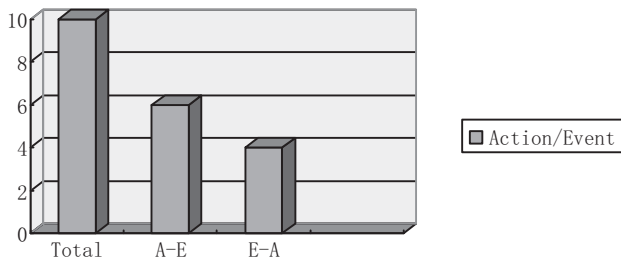
As shown in Table 5.5, the numbers of both shift types are quite close to each other, though the number of shifts from action to event is a little higher than the shifts from events to actions. This may also show that the shifts from actions to events are a little more common than those in the reverse direction. This seems to suggest that the translators prefer the events to actions. If we take into account the distinct stages in which these shifts happen, the influence they may create is more semiotically significant. Most of the A-E category takes place in SCD2 and SCD3, while E-A is in SCD1. This means the translator has reversed the effect the original author intended in the ST. This is also true with the case of the subcategories of mental processes. Fig. 5.6 below is a depiction of the mental transactives vs non-transactives.

Fig. 5.6. Overview of the shifts in mental processes
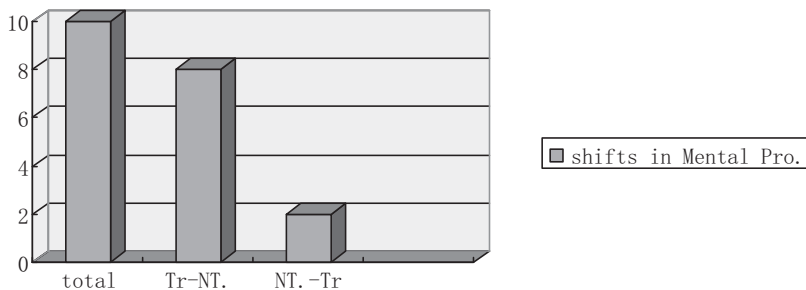
In Fig. 5.6, what attracts our attention is the predominance of the number of shifts from the transactive to non-transactive. This tendency shows that the main character Alice is made more dynamic and active from the perspective of mental processes if it is remembered that the mental non-transactive processes involve an active participation and engagement on the part of the senser, especially when these processes appear in SCD1 where Alice is intended to be impotent in the ST, and the shifts from the transactive to non-transactive may increase her dynamism.

2.3. Transitivity and causality

The causality involved in the shifts is in connection with translators' behaviours. Two types of obvious causality were discussed in section 1.7.4 of this chapter, which demonstrate the occurrence of the causality shifts identified in the corpus. These two types of shift are:

(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

Fig. 5.7. Overview of the shifts on causatives
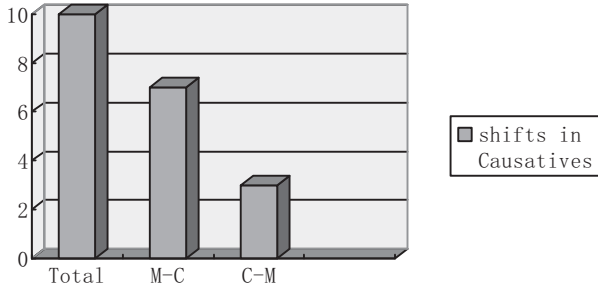
In this case, as can be seen from the chart, the shifts from the non-causative material processes to causative processes form a stark contrast with those in the other direction. Generally speaking, the translator keeps close to the ST and renders them closely, at least on the surface form, but still cannot help provoking shifts in dealing with the causative processes. It seems to be a habitual tendency for the Chinese translators to seek 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 magical reality in the genre of fantasy fiction. There are many receptive processes used in the ST, especially in SCD1 and SCD2. However, some of them are rendered as operative processes in the TT. In chapter three of this book, section 2.4, a detailed theoretical description is given of the functions of the two processes and the differences between them.

The analysis of the translational data also confirms the functions of and distinction between the two types of process. 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 shifts of receptive vs operative processes, a bar diagram is used in Fig. 5.8, in which R to O indicates the shifts from receptive to operative, and O to R means the shifts from the operative to receptive processes.

Fig. 5.8. Overview of shifts in receptive vs operative
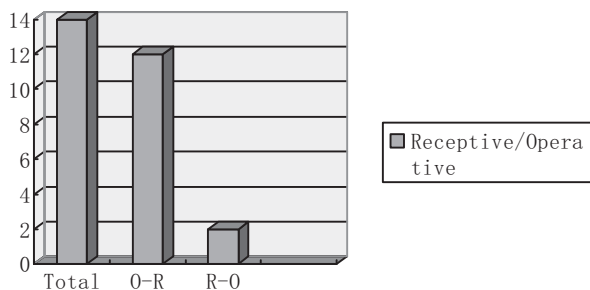
Fig. 5.8 shows that the shifts from operative to receptive are much bigger in number than those from receptive to operative. But if we learn that these shifts mostly take place in SCD2 and SCD3, where Alice's dynamism is becoming increasingly stronger, it is clear that the quantitative analysis confirms the theoretical descriptions of the applicability of receptive clauses in representing Alice's characterization. The number of 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 significant, and may attract the audience's attention if they appear in SCD1.

Generally speaking, the receptive voice is assumed to be marked in English, so the place where it is used often involves some particular foregrounding purposes on the author's part. As far as the shifts from the receptive to operative processes 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 Yuen-ren always keeps very close to the original text. Thus, he purposefully avoids such processes by using operatives instead. This avoidance reflects the translator's stylistic preferences and his tendency to cater for the usage habits of the TL systems.

3. Summary

This chapter has looked at 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 (2004), the focus of this book 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. The purpose is to discover the shifts and lay a foundation for the exploration of their semiotic effects on the characterization of the protagonist in the TT. In this chapter of a quantitative study, the following types of significant shift 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 non-processes. For the translator, it seems that these expansions are purposefully added in order to promote the readability and fluency of the TT.

(2)   As for the shifts of contraction, the number is a little lower than that of the expansion. The shifts mostly occur in the field of mental, relational, and material processes – that is, the three types of process are converted into non-processes in the TT.

(3)   The conversion of material processes into other types of process, such as mental, relational, and behavioural processes, is also a kind of common shift 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 senser's role is also increased in the mental processes by converting the body parts (e.g. *her eye*) or any other inanimate object (e.g. an idea) into a mental process, with Alice as the senser directly.

(4)   As far as the shifts in relation to causality are concerned, there are two types of shift that are observed in the translation dataset:

    (a) The first type refers to those in which the ST causative processes are rendered as material processes without demonstrating the causality; this type of shift is fewer in number than the second type, below.

    (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 shift takes up a larger number in the subcategory of causality. This seems to be a conspicuous 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, two types of shift 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 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 entities, 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, especially the receptive voice in the form of the *bei* (被) construction is seldom used in Chinese writing and speaking, and is thus very marked in the semantic sense. However, receptive voice is relatively more common in English, although its number does not 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 looked at the shifts at the clause level in the TT. On the whole, the statistical analysis confirms the validity of the discoursal and communicative approach to the translation shifts. As an act of communication, this chapter explores the shifts that relate to the linguistic, discoursal, and social systems for both the English and Chinese languages and cultures involved. However, this analysis relates more to the clauses than the textual patterns or 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 for an insightful investigation into the shifts that occur at the textual level, the contextual effect must be explored on the basis of the previous statistical discussions. In the next chapter, such discussion will be carried out by finding the foregrounded transitivity patterns that may affect the characterization in one way or another.

CHAPTER SIX

SEMIOTICS OF PATTERNED SHIFTS IN CONTEXT

In the preceding chapter, different types of shifts that occur in the target text have been discussed at the clause level. All the shifts are optional ones 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 interpretation of the text 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 Hasan's (1985) terms, will be explored. Only in this way can the analysis of the above shifts validate the claims or assumptions pertaining to patterned shifts of meaning through translation.

Of course, there are also some particular cases where the shift changes can help to characterize the protagonist in the direction as three SCDs have been intended:

> C1-31. as she went down …
> Chao. 她掉了半天。
> BT: She fell for a half day

In the above shift, the intentional material process is rendered as a supervention in the TT. This shift can increase Alice's passive status in some way because 掉(*diao*, fell) in Chinese is an act that happens by itself without any agentive or external causes. The ideological effect this

TT clause creates seems to be more inclined to following the characterization of Alice in accordance with the author's poetic purpose and writing strategy in SCD1. However, such shifts are so few in number that they cannot 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 were discussed in the last chapter. This present chapter will be devoted to analysing 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 patterning 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 semiotic effects will be discussed. All the shifts have such an effect, which will be accumulated step by step and will gradually point to the changes, or, to be more exact, the distortion of the characterization of the protagonist Alice in the translation 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 patterning of shifts.

1. Non-processes vs Processes

Since this research focuses on the material and mental processes that are assumed to contribute to the characterization of Alice in the fictional text of *AW*, it is important to reveal all the instances of shifts that are connected with the two types of process and explore the potential effects on the audience's interpretation, illustrating the links between the texture and semiotic effects 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, and 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 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 shift from *no process* to material processes occurs very frequently in the translation in SCD1, where Alice first falls into the dreamland by following the Rabbit. She is rather passive and all her actions are like dream visions that happen automatically. However, this situation is changed a little in the TT.

Table 6.1. Comparative no/other process to material process

No.	ST	TT
C1-18	(she ran across the field) after it	(快快地跑過一片田場)就緊追著那兔子。 BT: (she ran across the field) and thus pursued the Rabbit closely
C1-26	-	阿麗思跑的是有那麼急。 BT: Alice ran in such a hurry.
C1-44	-	伸手 BT: [she] extended her hand
C1-78	She was close behind it	她追上得已經很近。 BT: 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。 BT: [She felt] she has entered a long low hall
C1-159	She was playing against herself	自己玩槌球。 BT: She herself played with croquet

Besides the instance shifts listed in Table 6.1 above, there are still many others that are worth our attention. For the convenience of the discussion, only six instances are chosen and discussed in detail. As shown by their serial number, all six shifts are derived from the first chapter of *AW*, which initiates the beginning of SCD1. As can be seen from the description (except two non-processes) of Alice in light of the cited instances, her actions are described in a static manner rather than a dynamic one, and 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 is changed in the TT, where Alice is rendered as having "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 fourth instance (C1-78). The TT clauses show that Alice becomes a person with strong dynamism at the very beginning in SCD1, in the first chapter of the dream fantasy fiction. This stark contrast between the two kinds of situation can even be conspicuously demonstrated in the fifth instance clause wherein the ST Alice "found herself" in a sudden manner "in a long low hall." This is a very dramatic dream-vision-like picture that is described magically and mysteriously without any external causal relations. Therefore, the lack of an external cause for Alice's showing up in the "long low hall" creates 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 enters it. Such a rendition not only misses the description of Alice's passive status, but also eliminates the magical 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 acting upon *herself*, and nothing else. The damage caused by such renderings undoubtedly undermines 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 non/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 2005, 42). There are a lot of mental processes used in SCD1 where Alice

acts as a participant. Obviously, an impression has been formed here where Alice is just an observer who remains outside the situations and is unable to act on anything else within them. This situation is even reinforced by the metaphorical mental processes in the form of material process forms, such as, in C1-162, her eye fell on a little glass box; and in C4-31, her eye fell upon a little bottle that stood near the looking-glass. In both mental processes, Alice is not the senser, but "her eye" *is*. If the audience read clauses in which Alice acts as the senser, like "she found," "she looked for …," and "she saw," they would 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 mentioning Alice as the senser or actor in the instances contrasts sharply with the mental non-transactives in the last chapter, of which there are few in number, but that 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 *enacting* her actions. A thorough analysis of the mental process shifts can therefore shed light on the construction of the character from the perspective of "inside," which definitely helps the audience probe into how Alice behaves in the dreamland.

Table 6.2. Contrastive mental process to non/other processes

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)

It should be noted here that the term *other processes* 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 about the phenomenon, but the senser is changed in some way by the phenomenon of the sensing. Thus, the sensing (or perception, or cognition) is just a kind of reaction of the senser to the 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 non/other processes 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 come 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, and 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 "find" herself falling down "what seemed to be a very deep well," in which the action of *falling* can actually be regarded as a happening rather than 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 above. However, the translator seems to find it redundant to keep the mental processes in the complex sentences. Different from the direct deletion strategy, C1-35 was converted into a verbal process, and C1-117 and C1-143 both seem to be some kind of judgement made by Alice. These judgements, like the clause 那味兒很好吃 (The taste is very delicious), or the adjective clause 太矮了 (Too short), become indicators of Alice's consciousness and sanity in making correct judgement in such a dreamland. This of course obviously contradicts the protagonist's real situation in Wonderland. The shifts that occurred in the types like the deletion of mental process actually eliminate the description of Alice's passive status, while the shifts like those in C1-35 increase 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 a conspicuous type of shifts that occur in the translation of the *process to process* opposition. These shifts from mental process to the material process take up a big proportion and can thus have a great ideological influence on the audience's interpretation of the characterization in the translation. Another type of shifts that can cause these semiotic influences under this heading is that from the relational process to another process type. In the following, the two types of shifts will be discussed in detail.

2.1. Mental processes to material processes

As discussed in the previous sections, mental processes in the language of the dream fantasy play an important role in the characterization of Alice – that is, they are used to help represent Alice in the passive and impotent status, whose dynamism in the context is always suppressed in one way or another by using the mental processes. The impression these mental processes create is that Alice only 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 senser, but "her eye" takes such a role – for example in C1-162: *soon her eye fell on a little glass box*. If we 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 are rendered as material processes, especially as intentional ones. Table 6.3 below demonstrates contrastive examples of mental processes converting material processes.

Table 6.3. Contrastive mental processes into material ones

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

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 *AW*'s first chapter, in which Alice has the mental capacity to "fancy" or "feel," but is 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 from the ST clause, which both belong to material: action: intention: transactive clauses. 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 that 摸摸 (*momo*, to touch) in Chinese is a different word meaning *touch* from the original word "feel," which indicates 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 which 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 SCD1, where the mental processes are often used to inscribe Alice in a status of inability to carry on material physical actions or act 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 an 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 semiotic effect 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 process. It was 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 two main purposes:

(1) to mystify the dreamland world in the fiction
(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 expressing 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 in the dreamland creation and characterization of the protagonist in the TT.

Table 6.4. Contrastive relational processes into other types

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 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

As discussed in this chapter, and as can also be seen in the instances cited in Table 6.4 above, relational processes are often used in the ST to describe some static situations or set some attributes on the protagonist, or something not usually an active participant. 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 C1-02, C1-57, C1-64, C1-82, C2-75, and C2-78, a passive, static, and impotent Alice can be distilled from these ST clauses. This characterization 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 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 effort 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 the circumstantial element *till*, although this action is still suppressed to a great extent. Apparently, relational processes may serve the author's very poetic strategy to mystify the world of the 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 Table 6.4 above are concerned, the ST instances C1-02, C1-82, C2-78, and C5-115 were rendered as material processes which undoubtedly promote Alice's dynamism in the TT. What is more significant here in the shifts is that they are all material: action: intention processes, which makes it quite clear that Alice is both actor and 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 to render 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 than that via the patientive transactive mental process. The shifts from the relational processes to the mental ones in the TT increase Alice's ability for active perception as a *senser*. So, a contrast between the author's writing and the translator's rendering can clearly be seen here – the active senser's perception is restricted and suppressed in the ST, 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's 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 C7-96.

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 the 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 *non*/other processes to material processes, or shifts from mental processes to other non-mental or material processes, can cause significant ideological repercussions that 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 coming along with them.

3.1. Shifts from event to action opposition

In the original text, the author uses event processes to represent the autonomous mysterious atmosphere that shrouds the underground dreamland world in which Alice cannot exert any control over her surroundings in the first stage of her characterization. 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 begins to control the situation and act 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 occur when the event processes are

rendered as action processes in SCD1 and the early stages of SCD2, or the action processes are rendered as event processes in SCD3 and the later part of SCD2. This type of shift mainly results from the shifts of *agency*. The damages on characterization can be seen from the two examples from the first chapter of SCD1 in Table 6.5 below.

Table 6.5. Contrastive examples of events to actions

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

According to the statistics, there are four instance shifts in the dataset, but all of them appear in SCD1. This finding is very significant for interpreting the effect on characterization because turning an event into an action always involves the increase of dynamism on the part of the human actor. In the ST instance C1-92, "it" originally refers 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 act 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 SCD3 in the TT. This means that Alice's actions dominate the scene in SCD3 but its translation counterparts do not reflect these changes from SCD1 and SCD2. This can be seen from

the stark contrast between the ST actions and their TT counterparts from
the instances in the twelfth chapter of SCD3 in Table 6.6 below.

Table 6.6. Contrastive examples of actions to events

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

It is very dramatic in this very last chapter in SCD3 that Alice, the
protagonist, has recovered her abilities in all-round aspects as a normal
human being in acting upon her environment. As discussed previously,
SCD3 is the stage where Alice's dynamism as the protagonist is largely
promoted and she can completely act 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 believes 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, especially
an animate entity, can be regarded as a signal of high dynamism on the
part of the agent.

However, the translator seems 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 an inanimate actor "她的裙子邊" (*ta de qunzi bian*; the edge of her skirt). According to the discussion in chapter three, 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, which conceals 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 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), with her body parts as the agent. Accordingly, this is also an 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 remains passive and has not achieved enough dynamism to act upon her surroundings, and needless to say she can exert her influence on the animate beings. This rendering is very interesting in that it appears in SCD3 where Alice is intended to be more dynamic than in the previous two stages, in which her body parts also act as sensers in the

ST in order to represent her passiveness and impotency. A 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 patterned mental processes is reinforced by the metaphorical mental processes in the form of material processes, such as C1-162: *her eye fell on a little glass box*; and C4-31: *her eye fell upon a little bottle that stood near*. In both the instances, Alice does not act as the *senser*, but "her eye" does. If we have Alice as the senser, like "she found," "she looked for …," and "she saw," we will be made aware of Alice's mental-processing abilities. As it is, with "her eyes" as the senser, 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 mentioning Alice as the senser or actor in the instances contrasts sharply with the mental non-transactives discussed in the last chapter, which are few in number, but involve more dynamism on the part of Alice. Following the last section discussing the shifts in agency in the material processes, this section will be devoted to the changes of the senser's roles in the mental processes. Since the changes of the senser's roles are very similar to those in the material processes, this type of shifts will be discussed in a successive manner in order to form a comparison with the previous 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.

It can be said that Alice's passive status is also represented through the author's manipulated use of the senser's 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," in the position of the *senser role*, which is expected to be taken up by a human being, conventionally.

Table 6.7. Contrastive examples of shifts in sensers' roles

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 goldfish kept running in her head	她總想到那回金魚缸出的事。 BT: she always thought of the accident of the goldfish pot

Generally speaking, the processes C1-162, C1-11, and C1-14 in Table 6.7 above can be regarded as borderline cases located between material and mental processes if we look at them in terms of the transitivity structuring they contain. 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 is rendered as "她又看見" (she again saw …), the ST "it occurred to her …" in C1-11 is rendered as "她才覺得" (she just felt), and the ST3 is rendered as "阿麗思…記得" (Alice remembered …). The shifts caused by the additions of the senser's roles in the mental processes on the part of Alice undoubtedly increase Alice's dynamic thinking/processing capacity in the first SCD, especially in the first chapter where she should remain very impotent, even for the reacting and perceiving capacities.

In comparison with the first three instances, C7-38 and C12-05 that come from SCD2 and SCD3 respectively can be referred to as material processes due to the action verbs they both use – "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 accident 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 …), and 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. The following two instances clauses C7-38 and C12-05 from SCD2 and SCD3 respectively 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 a type of mental process containing special senser 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 the 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 the receptive voice is often used in SCD1 and SCD2 in which Alice often acts as an affected entity and is placed in the actor position. However, in SCD3 some foregrounded receptive ST clauses still appear in which Alice acts as agent and other objects or animate beings as affected entity in the processes, such as C12-14, *they must be collected at once*, in which *they* refers to the jurymen *upset* by Alice due to her carelessness. Such receptive voices are actually backgrounded in the ST SCD3 to indicate Alice's strong intervening activity on the environment, which forms a stark contrast with those representing Alice's status in 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 shift 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 Table 6.8 below.

Table 6.8. Contrastive examples of shifts from receptive to operative

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)

As discussed above, receptive processes can be used in the ST to represent Alice's passive status 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 mental processes, such as C7-26, with 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, their *receptiveness* will be highlighted so that we can discuss their translation. In all the instances except C6-27, where Alice acts as the recipient (whom it is *told* to) of the verbiage, she is actually the *affected* entity, contrary to her intended status in SCD3.

In the instances cited above, the affected status of Alice in the ST material processes is rendered in a 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 is the actor of the material process. In 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, C7-26 was transformed into 阿麗思覺得這話不很明白 (Alice felt these words were not very clear), while C7-42 was completely omitted in the translation. Through such reversing of her status – that is, converting it into an agent and a senser – 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, especially in the first and second SCD where the author intends Alice to remain very passive, sometimes even limited in her thinking and reacting abilities. It can therefore be seen that the cases of a ST receptive process conveyed as a 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 in the ST so that the actions contained in the text seem to be autonomous and self-generated, and cannot extend to any other participants. Besides, the use of the transactive verb plus prepositional extensions can also limit the extension of the action 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 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. Table 6.9 below demonstrates the uses of the action of "nibble" in the ST plus its prepositional extensions.

Table 6.9. Progressive scale for *nibbling* actions of Alice

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

In the whole novel there are altogether five instances of Alice's *nibbling* actions at the mushroom after receiving advice from the Caterpillar to learn how to control her body size. It is very interesting that the five material processes are distributed among the three chapters from chapter five through to chapter seven. C5-49, C5-109, and C5-122 occur in the fifth chapter, while C6-134 occurs in the sixth chapter and C7-93 in the

seventh, the very point right before Alice enters 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 C5-109, C5-122, and C7-93 appear in the form of transactive verbs plus prepositional extensions. Apparently, the prepositional extensions, the grammatical construction of "at + noun phrases," refers 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 be detected in the representation of the processes – that is, there are usually some specific *small words* "lingering" between the process *nibbling* and the "affected entity". 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 enacts her *nibbling* action 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 C5-49 and C6-134, both of which lack the prepositional *at*, for which we can take the following clause as an example:

C5-49. (she) <u>nibbled a little of the right-hand bit</u> (to try the effect)

Superficially, this seems to be a straightforward transactive, in which the circumstantial element "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," or the "right-hand bit" – "a little" as well as "the right-hand bit" actually refer to some abstract quantifier that

means not so much in amount or degree. Apparently, this analysis also applies to 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 is apparently a powerful process of material: action: intention: transactive, which the author has deliberately chosen to avoid. Instead, as shown above, he chose to use the former (C5-49), which Hodge and Kress (1993, 49) subsume under 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 for its function in the characterization of Alice in the transitional stage (roughly in SCD2), these pseudo-transactives vividly mimic 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 take time to finish with great difficulty. The translated counterparts are presented in Table 6.10 below.

Table 6.10. Translation of the nibbling actions of Alice

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]把左手裡的蘑菇再咬了一點。(*AW* 67)
	BT: She bit a little of the mushroom in her left hand

C6-134	[她]把左手裡的蘑菇再咬了一點。(*AW* 83)
	BT: She again bit a little of the mushroom in her left hand
C7-93	她又咬了一點右手裡的蘑菇。(*AW* 99)
	BT: She again bit a little of the mushroom in her right hand

In a comparative look at both the ST and TT versions of the five instances of *nibbling* clauses, a lot of differences can be detected between the comparative versions. 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 the fourth clause C6-134 along the progressive cline of Alice's characterization development. In the TT instances, 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 clearly be seen in the ensuing three processes. In C5-122, the translator not only missed the prepositional extension, the "at" phrases, but also converted the ST into a very apparent transactive process by concretizing the "[in the] right-hand" into "the mushroom in the right hand." In 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 comes to control her body size. The ST instance C7-93 comes from the end paragraph of the seventh chapter when Alice is planning to enter the beautiful garden. *Then she went to work nibbling at the mushroom* (chapter seven: 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 entity "mushroom" appears in the clause for the second time and also the last time; and what is equally marked here is that there seem to be no small words inserted in the space between the 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 in the previous two chapters five and six. Through learning to control her body size, she is also much more confident in dealing with the world than in the previous events, and this is reflected in the author's representation of the *nibbling* process that takes place at this point of time in the ST. However, the translator seems to have ignored this aspect of semantic and semiotic representation by sticking to the 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 no longer needed at this point of time in the translation of C7-93. The additions of such *hindering* words seem to have undoubtedly suppressed Alice's dynamism that the original author intended to highlight in this particular context. Apparently, the five instances of *nibbling* actions through chapters 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 at the local level of the fantasy fiction. The translator seems to have missed the very link that the original intended to establish between the structure of language and the pragma-semiotic functions that such structures try to transmit in their context.

3.5. Non-transactive to transactive opposition

As discussed in chapter four, 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 and self-caused, hence becoming magical and mysterious. Table 6.11 below demonstrates such processes.

Table 6.11. Contrastive shifts from non-transactive to transactive

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 colour
C1-159	She was playing against herself	自己玩槌球。 BT: She herself played crocket

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 swivelled her head

Due to the similarities in the expression of the non-transactives between English and Chinese, the English non-transactives can usually be rendered as 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, especially in SCD1 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 the surroundings. The five ST non-transactives in Table 6.11 actually represent Alice's passive status. In C1-03, *(she gets very tired of) sitting by her sister*, 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 C1-121, it is "her body parts*"* (i.e. her face) that are the actor, whose action (brightened up) occurs without indicating the explicit causal relations. However, in the TT there is an action 现出 (*xianchu*, produced) that was added to the process which also extends to the affected entity, 喜色 (a delightful colour). The shift in 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 crocket). The word 玩 in Chinese may mean "move something (such as a crocket) 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 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 the affected entity of the agent in the translation. In 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 Table 6.10 are all from SCD1. Apparently, the characterization constructed from the TT processes – a protagonist injected with stronger dynamism – seems to be contradictory to the one from the ST processes. It can therefore be said that the shifts that occur in SCD1 can actually form a sharp contrast with those that are detected in chapter twelve, the very final stage of the third SCD, in which Alice becomes dynamically active. But their translations are expectedly different in their transitivity structuring in the TT. Table 6.12 below demonstrates two ST instances.

Table 6.12. Contrastive shifts of Alice's dynamism at climax

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

Actually, in these two shifted instances, Alice is not a participant in the ST of C12-41, but acts only as a circumstantial element. It was designed to describe the shattered court system before Alice, who becomes very brave and courageous in last stage in the story where she is expected to be dynamic and when she boldly says "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 magical, 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 that Alice, the protagonist, wakes from her long dream and comes back to the real world from 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 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 yield to. This is quite contradictory to the situation descriptions in the ST of the last chapter where Alice's dynamism is so strong that it is a norm at the climax that she can act upon the other animate beings around her.

4. Discussion: Evaluating *Alice* on a Cline of Development

As discussed previously in chapter four, 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; SCD2 can be referred to as an intermediate stage of Alice's dynamic activities and engagement with her surroundings in comparison

with the first one. SCD3 can be referred to as a "perfection" stage in which Alice's characterization is developed and promoted to a degree of near perfection and Alice behaves with complete freedom as a human being, especially in the last (twelfth) chapter where the story comes to a climax. So, through the three SCDs of the story, Alice's characterization development can be said to form a cline from the beginning of the story where Alice follows the Rabbit down the hole through to the last chapter where she wakes and is *liberated* from absurd dreamland underground world as a free human being. At one end of the cline Alice is impotent and very passive; at the other, she recovers completely from her inability and becomes dynamic and active as a *normal* human being. This development can be seen from and is supported by the representation in the transitivity system of the language of experiential structures. Now, in the following, we will conclude the transitivity patterning detected in the language through the translation, the features of which may have distorted the characterization in one way or another.

4.1. SCD1

SCD1 (covering chapters one to five) is the beginning stage where Alice falls down into the rabbit hole by following the Rabbit. She is 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 patterning through the SLT are thus of great significance, so the features that are chosen to be foregrounded are highly significant and 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 were discussed in chapter four, section 4. However, it is significant that most of these physical transactives have *her own body* or *herself* as the affected participant. This means, in this stage, that if Alice is able to act on anything, she acts on nothing 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 that acts on an eternal participant, for example:

C7:54. She helped herself to some tea and bread and butter

was rendered as:

TT of C7-54: 她就用了些茶和泡麵。
BT: she ate some tea and instant noodles

In some cases, the ST material processes with Alice herself or her body parts as the 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:

C1-47. When she tired herself out …

This ST process was simply 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 mental transactives shapes Alice into a 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, 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*, and Alice is instead changed in some way by her reactions. So we can say that the heavy use of mental processes definitely increases Alice's passivity and impotency in the ST.

There is still another means of representing this passivity, which 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 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 is limited in this stage of 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

SCD2 is the intermediate stage (covering chapters six to seven) 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 four, section 5.2, this stage has a total of 207 processes,
which mainly consist of fifty-eight material processes (accounting for
twenty-eight percent), sixty-eight mental processes (accounting for
thirty-three percent), and seventy-four verbal processes (accounting for
thirty-six percent). The remaining are those which are insignificant for
the construction of Alice's characterization in the story, which consists
of five relational and two behavioural processes. The relational and
behavioural processes are not significant any longer. On the contrary –
the significant semiotics-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 the 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.
Some material transactives appear at this stage. In the latter chapter of
this SCD2 (the seventh of *AW*), Alice is even given enough *power* to act
upon other animate beings to do something, for example in 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 obtains some
kind of power to *let* others *go on*, though of course if she does not, but
she could *interrupt* it, as the latter clause bracketed in the above sentence
may have implied. Besides, there are a relatively large number of

transactive physical processes that show Alice's actions beginning 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 seems to have rendered a relatively equivalent translation to the ST clauses due to the roughly similar expression habit in terms of the transitivity between English and Chinese, although in C7-91, an action process 用它 (*used* it) is inserted, and thus an event process *it to open the door* is produced in TT, in which it is *it* (referring to *the key*) that opens the door, rather than the actor *She*.

As far as the mental processes are concerned, Alice's perception and cognizing abilities are apparently more actively stronger than she in the first stage. This can be seen in the fact that the number of mental processes largely decreases in 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 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* at 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 are 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 transitivity patterning. In C7-61, *Alice rather unwillingly took the place of the March Hare*, in which Alice begins to show her will for doing or not doing something. So, here, *rather unwillingly took the place of March Hare* is a material transactive process. Likewise, C7-81 appears in the form of the 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 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. This means that even the pseudo-transactive transitivity structuring helps to create the impression that Alice is becoming stronger and more courageous and will thus make some kind of preparation for Alice's entering SCD3 and coming to the fore in the dreamland world. However, after a comparative look at the two TT

clauses, both are rendered 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 has just gained or signalled through the use of pseudo-transactives is 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. As stated in section 2.4, there is one use of the "nibble" process at the end of the seventh chapter, right before Alice enters the garden:

> C7-93: (she set to work) nibbling at the mushroom

What is different in this structuring of transitivity from those discussed in section 2.4 is that there were no small "hindrance words" inserted between the action process and the affected entity "the mushroom," which may, at the semiotic level, symbolize less difficulty for the protagonist in eating the mushroom. However, the translator seems to have ignored this point in the circumstantial element of this clause. In the ST, this process formed a contrast with the previous ones in terms of the dynamism contained in it. 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 appearing before it. By inserting the small words between the action *nibble* and the affected *mushroom*, the translator may unconsciously have eliminated the dynamic 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 "found herself at last in the beautiful garden" in in C7-98. However, this is 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) <u>entered</u> the beautiful garden,
>   and <u>walked into</u> the fresh flowers and clear fountains

The conversion of one mental process into two material: action: intention processes can always involve 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 in the character development continuum in the story.

Another means used at this stage is the use of relational processes to represent Alice's increasingly stronger dynamism in the dream fantasy. As 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. It is therefore 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 process 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 magical purpose, in which the use of the conjunction of *till* may indicate Alice's increased dynamism, to a certain degree, though it is not as strong as that in SCD3, particularly in chapter twelve. When this relational process is rendered as two material ones, the causative relations are made explicit in that what makes Alice shrink to more than a foot high is the very action of *nibbling* at the mushroom. However, this explication does not exist in the ST text because the logical and causative relations were all implicit in it.

As a brief summary of this section, a few transactives have appeared in this stage, but most were rendered as the roughly equivalent TT transactives. These transactives are usually used to signal Alice's increasing activity in the context. 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 signalling impotency and inactivity in 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 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, especially that 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 eight to twelve) is the stage where Alice gains her dynamism and fully recovers as a normal human being. As discussed in chapter four, section 4, SCD3 is mainly characterized by Alice's active dynamism and strong engagement with her new environment until the last chapter, where she, as the protagonist, is developed by the author into a perfect and normal human being. The changes in 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 see that the transition is complete in the sense that at this third stage Alice's actions are 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. At this stage, Alice actually speaks a lot, and most of her speech is directed at other beings or characters in the story, or 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 or nothing, or just to herself. There are 320 processes in SCD3, among which 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 that is expected in the narrative genres. However, if we remember that the fantasy fiction of *AW* is actually a novel of dialogues, it will not be surprising that there are a disproportionately high number of verbal processes. So, against the big number of verbal processes which are thus backgrounded, the material and mental processes can be foregrounded. This foregrounding is itself 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 their interpretation.

As discussed above, the translator seemed to have no problems with translating the highly foregrounded material transactives due to the structural similarity of the English transitivity system with that of the Chinese. However, a lack of understanding of the functioning of the transitivity and participant roles may still result in problems concerning 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. She can be completely responsible for her own actions and thus exert a direct effect on other entities, be they inanimate or animate. Here is an instance that has been looked at elsewhere in this book, cited again for emphasis:

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

which is 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* was 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 undoubtedly suppress the dynamism and activity Alice is expected to be endowed with in SCD3, and develop in a contrary direction, highlighting her passiveness at the

climatic point in the last chapter. With the agentive shift, she seems to have come back into the second or even first SCD where Alice is very passive and impotent, and cannot act on other things once more in her surroundings, not to mention the animate beings around her.

As discussed in this chapter, section 2.2, along with the increase of her dynamism through the progressive stages of the fantasy novel, Alice shows some signals of interactivity with her surroundings. This can be represented in the fact that she begins to act as recipient to be addressed in the verbal communication, like in C12-23, *the king said to Alice*; and she also acts as a *phenomenon* in mental processes, like in C12-08, *reminding her of goldfish*. This means that she not only addresses other animate beings but is also addressed, 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 were discussed in this chapter, section 3.2. This means that the transitivity structuring even in processes like C12-05: *The accident of the goldfish kept running in her head* may indicate a signal of an increase in the dynamism of Alice from the perspective of her *increasingly* active interaction with the environment, because the mental processes in the previous stages (especially in SCD1) are usually represented through the mental transactives. In some of these processes, the *sensers* are even replaced by Alice's body parts, such as *her eye,* in C1-162 – *Soon her eye fell on a little glass box that* … Such processes are actually very typical in SCD1 and the early stages of SCD2.

However, different from the type of processes in replacing the *senser*'s role with Alice's *body parts*, the mental processes in the climactic chapter of SCD3 look more like material processes filled with vigour and dynamic activity. This indicates to a great extent that the protagonist has 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 in dealing with the translation of the verbal processes. However, the latter type of mental processes 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 the position taking *sensing* roles, Alice is represented again as passive, which is similar in some way to the second and first stages. Consequently, this dynamism and interactivity created by the transitivity patterning in the ST are damaged in the TT. SCD1 and SCD3 in the ST can actually form a parallel in that cause and effect are usually implicit and unknown in the world constructed in SCD1, while the cause and effect in SCD3 can always be traceable. In SCD3, Alice as the agent is apparently highly foregrounded in the material processes, especially 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 an event one.

5. Summary

The transitivity patterning of the three respective SCDs has provided a perspective for investigating Alice's characterization in the language through translation along the cline of its development. As Halliday (1971, 118) asserts, the linguistic analysis establishes 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 the three main types of shift and their contextual effects on the characterization in the TT:

(1) the shifts of process vs non-process and their semiotic implications
(2) the shifts of process vs process and their semiotic implications
(3) other types of shifts (including shifts from event to action, changes in the senser's roles, shifts from receptive to operative and shifts in transactive plus prepositional extensions, etc.) and their semiotic implications

It is very significant that shifts do not usually function on an individual basis in the translation, but they may work in an accumulative manner to constitute transitivity patterning 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 the relative values of each of its components, and when these components are put together they will exert their ideological influences in the text.

5.1. The 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 effects which further produce contextual influences on the characterization in the translation. So, when the processes used to characterize the protagonist are

transformed into other types of process in the TT, distortions may be brought about alongside the renderings. So, a comparative investigation and thorough critical discourse analysis will provide a lot of insights towards the characterization 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 semiotic effects in directing the audience's interpretation of the TT in a certain direction. The following conclusions can therefore be reached from the discussions of the semiotic implications of the shift patterns throughout this chapter.

(a) The 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 dream fantasy as a certain type of discourse, and may have demystified and distorted the literary nature of the dream fantasy as a particular genre.

(b) These contextual and semiotic effects may not be intentional on the part of the translator, because occasionally the shifts may be due to their 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 conveying the ST process.

(c) When the effects of shifts are investigated in the TT at both clause and textual levels in combination with the context, it must always be noted that the three SCDs should be examined in parallel, and 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 the stages of characterization development of Alice as the protagonist be evaluated in the research.

(d) Of course, not all the ideological effects along with each type of transitivity have been investigated. Negligence of a particular shift or a type of shift 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 an influence on the characterization development at the global level in the text. For example, considering the nominalization from 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 some dynamism to the surface on the part of Alice, even though it was intended to be this way by the original author. Furthermore, this will contribute to the distortion of the continuum that characterizes Alice through all three SCDs. However, since they do not constitute any particular patterns in the TT and thus will not bring potential contextual changes at the textual level, they will not be discussed in detail in this chapter.

5.2. The contextual effect on characterization

On the basis of the discussion of the potential contextual effects of the transitivity patterns in the TT, their effects on the construction of the

characterization of Alice have also been discussed in this chapter, in section 4. It has been found that Alice's characterization undergoes different degrees of deformation and distortion in the TT in comparison with 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 SCD1, the passivity and impotency of Alice intended by the author through the representation of event-like material non-transactives, or supervention processes like C1-30, *She fell very slowly*, are typical cases of suppressing her dynamism in the context, on the one hand. On the other, 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 terms of agency, or changes of the senser's roles.

In SCD2, the signals of increasing dynamism represented through some highly foregrounded material intentional transactive 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, elsewhere in the text, Alice's dynamism and engagement are overstressed by transforming some foregrounded passively indicated mental processes into material intentional action processes. As demonstrated in section 4 of this chapter, this distortion can be reinforced by other types of shift. Apparently, this indicates that the translator's translation strategies might be inconsistent in constructing Alice's characterization in some places.

For SCD3, it should be said that this is a stage where Alice's characterization is developed to a degree of perfection, which means she gradually develops towards and functions as a normal human being in

this stage. This development and sublimation are also signalled by the highly foregrounded transitivity patterning, especially the material transactive processes in which Alice acts as agent, and can act upon an affected participant in the form of an animate being. However, the patterned transitivity shifts in agency reduce 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 affect the characterization constructed in the ST. Along with the deformations and distortions of the characterization, the magical and mysterious atmosphere the transitivity patterns intended are also damaged in the fantasy dream story in the translation.

CHAPTER SEVEN

CONCLUDING REMARKS

In the original text, the three stages of Alice's characterization development are identified according to the degree of her engagement with her surroundings in the underground dreamland world. For the sake of convenience in the discussion, the three stages are labelled SCD1, SCD2, and SCD3 in our previous discussion, according to the sequential order in which they occur in the story. These differences in the discourse semantics concerning the transitivity patterning of the text have been identified in the three stages. In chapter six, these differences along with their repercussions were discussed according to the construction of the 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 at the same stage. The foregrounded transitivity profiling 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 SCD3 can become a norm. In this sense, this constitutes what Halliday terms "a double shift of stand point in the move from global to local norm" (Halliday 1971, 119).

1. Basic Findings on Three Progressive SCDs

Throughout the three SCDs on the progressive continuum, especially in SCD1 which is filled with the processes of non-transactives, events, and superventions, Alice is described in the narrative as paralyzed with the

feeling of alienation from the surroundings. This is typically represented through her inability to act 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 finds it difficult to communicate with the creatures around her. Here is a scene describing Alice's depression due to her failure to communicate with the Frog Footman from a scene in the sixth chapter, the last chapter of SCD1:

> "oh, there is no use in talking to him," said Alice desperately,
> "he's perfectly idiotic." (*AW* chap. six: 70)

Actually, this lack of communication can be found everywhere throughout SCD1. In this situation, Alice is so passive as to appear completely ineffectual and impotent, and even she makes some actions that are often confined to *herself* or *her body parts*. At the same time, her universe seems to be suspended in a state of inaction and her life is paralyzed with a sense of inconsequentiality. However, this feeling of alienation is not made verbally explicit but rather seen through the functioning of transitivity patterning of the language in the fantasy novel.

So from the previous discussions on the language through the translation, the following conclusions can be reached:

(1) the patterned transitivity shifts can 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 descriptive-explanatory stylistic approach which combines the surface textures with its contextual implications through an

exploration of the pragma-semiotic effects

(3) the relevance theory can be applied here to the interpretation of the links between textural systems and their semiotic 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. In turn, the ostensive-semiotic compound reveals the author's intentions and poetic writing strategies with regard to their intentions

When translators change this transitivity patterning in one way or another, they direct the audience towards some kind of different semiotic interpretation which will consequently damage the characterization entirely, which 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 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 of many critics of *AW*, the translator Chao also agrees that this is a work of fantasy and nonsense story. As for the techniques to translate this work, Chao expresses 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 the meaning lies in the fact that they have *no meaning*. Here this
> *non-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 *non-meaning* is the so-called *nonsense* in English. It is called
> *absurd*[7] in Chinese. (Chao 1922, 8; my translation and emphasis)

Apparently, translating such nonsense of a dream fantasy involves a lot
of difficulty for the translator. This kind of genre should avoid the
addition of footnotes in an attempt to explain a particular complicated
term involving wonderful humour. Chao therefore mentioned that he was
undertaking a kind of experiment on the Chinese language (Chao 1922,
10) because he believed in the literary value of this kind of genre of *AW*.
He tried to use relatively modern language to translate it. This principle
endowed him with the right to domesticate the original transitivity
patterns and restructure them in the TT. Of course, it must be noted that
Chao is one of the translators among his contemporary colleagues, and
even the translators in modern times, who followed the ST very closely
on the surface of the language.[8] Actually, in the circle of the translation
of *AW*, he had many followers who imitated and "used" part of his
translations even today.

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[7] Here it was called by Chao Yuen-Ren *butong* (不通), which literally means the
obstruction of meaning. Today, the word "nonsense" has many other equivalent
names, like *huzhouyu* (胡謅語) or *huangdan*（荒誕）in Chinese, though the latter
may easily be used to refer to another kind of literary genre of modern fiction.

[8] This may partly be explained by the fact that there is no 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 did not prevail until the New
Chinese Culture Movement in 1919. In this sense, Chao's translation is more
"faithful" than those of his contemporaries.

This study also confirms the fact that the female status in the narrative stories is usually lower and passive in comparison with males (Birch 1989; Mills 1995; Simpson 2004) from a different perspective, but this study has focused on a female child's status in a very different environment, and thus demonstrated that such a status can change over three different stages in the same story with the change of the power of the protagonist (which will be given in detail in the next section). The data analysis also confirms the *explication hypothesis* put forward by Blum-Kulka (1988, 299) that translation is a process of explication – that is, the translator often uses explication strategies, consciously or unconsciously, in order to guarantee the efficiency and fluency of their text. Thus, explication 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 concerned, the greatest damage caused is the distortion of the characterization and demystification of the magical and mysterious atmosphere in the TT in terms of the power of Alice as the protagonist, who is expected to have this on the continuum of the three SCDs she undergoes at each stage.

2. Findings on Changes of Alice's Powerfulness

If we remember the scale ranking proposed by Hasan (1985, 25–46), which was discussed in chapter four, section 4, the powerfulness on the part of Alice reflected in the transitivity system can be distinguished as 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 power endowed to Alice as the agent, has been disrupted by the shifts in the transitivity patterning in increasing or decreasing Alice's dynamism in different places of through the translation. It has been shown that Alice played an active and dynamic role in the processes in

the very first stage, in which she was mostly intended to act passively, and can be even termed as *medium-t*, which is the least powerful in Toolan's (1998, 88) terms,[9] for her lack of power because the subject doesn't actually initiate any action in such a process like C1-29, *(she found herself) falling down*, which is more like an event or a happening than an actual "doing."

The binary opposition of powerfulness vs powerlessness can also be applied to the analysis of transitivity patterning through the mental processes, with her *body parts* acting as sensers, such as *the eye* in C1-162, *Soon her eye fell on a little glass box that ...*, and in C4-31, *her eye fell upon a little bottle that stood near the looking-glass*, which are the least powerful, and in comparison, those mental non-transactives are relatively more powerful. This distinction is very useful for investigating Alice's dynamic changes in the story. For example, in a material process, it is very evident that an agent that can act 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 changes dramatically and significantly in the patterning of transitivity across the three stages. The disruption of such a continuum produces the following consequences for 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 characterization development, and this dynamism is continually increased in the SCD2 though it seems, to have been reduced at some particular place in the text. However, in the

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[9] 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 the least powerful. Along with this medium-t, there are two mediums that are not powerful, the beneficiary and medium, the three of them being the "kinds of done-to individual" (Toolan 1996, 89).

SCD3 where this dynamism is supposed to be developed to a higher degree, there is evidence to show that this dynamism accumulating through the first two stages (SCD1 and SCD2) is weakened in many places by the translator's choices in the TT. So, in the ST, a literary characterization designed to be developed as stronger with increasing powerfulness along the continuum through the three progressive stages is crippled with distortions and demystifications in the language of translation. It is particularly significant that it is the shifts the translator has made to transitivity patterning that has 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 chapter six of this book.

Secondly, from the perspective of dream fantasy as a particular genre targeted at young readers, it 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 as sequentially disordered on the part of the translator. So, at each of the three stages, the mode of particular transitivity patterning that is formally foregrounded against others is often disorderly arranged and even goes unnoticed, sometimes omitting them altogether in the TT.

Some particular transitivity patterning in the TT even works in a contrary direction against the semiotic influences the original author intended. In this sense, the ST authorial motivations inscribed in the transitivity

patterning 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 is 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 gradually develops until she can control something around her on her own – that is, she finally begins to behave like a normal human being in chapter twelve, the climactic point of SCD3. This process signifies Alice's *growing up into a mature woman* at the end of the story. In contrast, in the language through the translation, when the transitivity patterning is disrupted, the characterization constructed from the signifying transitivity patterning also loses part of its symbolic meaning in the context of the translation.

As discussed, dream fantasy works as a genre. It is a form of thinking which is magical in nature, and 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 its features 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. Therefore, the language that represents the dream visions can be very interesting to probe into. For instance, physical material non-transactives are largely used in the first two SCDs, especially in SCD1, in order to represent a passive and impotent Alice for the audience.

Of course, it is 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 non-transactives, a series of magical, mysterious, and inexplicable happenings can be narrated in the dreamland world, which cannot be created by means of transactives. At the beginning of this book, when it is said that the language of children's literature is often assumed to be *simple*, the vague notion of *simplicity* is actually an assumption made by adults on the basis of their imaginations. It is obvious that the transactive models are scientifically more adequate and essential for the expression of complex processes and the developed notions of responsibility (Hodge and Kress 1993, 55), whereas non-transactives blur the attribution of responsibility, rendering the happenings or events as a series of self-contained actions without external causes. It is in this sense that this patterning of transitivity is called "primitive" or "childlike," in keeping with common myths about noble savages and the innocence of childhood (Hodge and Kress 1993, 57). This is similar to the discussion of Halliday (1971) who refers to the language of Lok and his people in the novel *The Inheritors* as primitive, which has to evolve towards an advanced level just as human beings developed from the primitive tribes into a civilized and advanced society, and as a human being develops from a primitive and innocent infant into a normal and powerful adult. Carroll, with *AW*, seems to have imitated this development through his manipulation of the transitivity patterning of language through his literary work. However, when the transitivity patterns are disrupted in the language through the translation, the audience's identification with the protagonist is also damaged and will consequently twist and distort the semiotic workings represented by the language of *AW* and the dream fantasy as a particular genre type.

At a deeper level, the semiotic meaning expressed by the transitivity system 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 one 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 experiences are made more specific. It seems to suggest that, to overcome the fear and loneliness accompanying a child's growing up, she has to stand by herself and becomes stronger. So, the focus is again on the gradual progressive development from human impotency and inability to the status of dynamism and active engagement. It is the very development that gives meaning to the 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 is portrayed in the dream fantasy, which alienates Alice on many different occasions. Therefore, the semiotic meanings signified by the language and story point to some criticism and concerns about human conditions, especially in childhood. When the language is transplanted into the Chinese translation, however, the transitivity patterning is 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

The findings are particularly significant in terms of the different aspects of the contrastive analysis conducted between the original English work of *AW* and the Chinese translation by Chao Yuen-Ren. The significance can be demonstrated in, but not limited to, the research on characterization and evaluation of translation quality, etc.

3.1. Significance for characterization studies

The parallel and comparable data analysis carried out at both clause and contextual levels in chapters five and six has revealed different types of shifts along with their contextual influences in the translation in comparison with the source text. The shifts thus form textual patterns and function in a cumulative manner, which may distort the pragma-semiotic effects and ideological influence intended by the original author in the interpretation of the characterization on the whole from the perspective of the audience. The comparisons provide 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 shift 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 characterization in the dream fantasy story of *AW*.

Secondly, there is a bigger proportion of shifts of 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 usage. Apparently, the translator's behaviours 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 in the transitivity patterning, 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 it to cater for children's taste in the Chinese context. With such an idea in mind, the transitivity patterning is inevitably changed in order to conform to TL usage habits, despite translators like Chao himself intending to stick to the original very closely.

The above analysis has demonstrated that the texture and the contextual parameters are interdependent in order to direct the audience's interpretation in a certain direction, but this interdependence is not the 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 semiotic influences do not necessarily show up automatically. On the other hand, some of the transitivity shifts can be said to have ideological implications without any intention on the part of the translator(s). Therefore, even if the translators do not want to create the semiotic 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 the descriptive-explanatory approach that was put forward in the first chapter views translation as a form of communication that consists of the texture, semantic, and contextual parameters that are interdependent. 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 the descriptive-explanatory stylistic approach is to elucidate the process of reading rather than 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 what kinds of linguistic choices among the system of language they are based on. This is the analytical tool of the transitivity analysis provided in this research that can be seen as textual cues for the construction of such a characterization. When the character is inscribed into the transitivity system, they will direct the audience towards the interpretation of the literary work at the global level of its semiotic influences.

3.2. Significance for 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, especially the comparative research of 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 some insights. In her later version of the "revisited model" (1997), she revised her model by explicitly incorporating a Hallidayan register analysis of contextual components, namely *field*, *tenor*, and *mode*. The revisited model involves a systematic 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, 44–5) 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*) and adversatives (such as *but*, *however*)

    (3) the iconic linkage signifying the parallelism of structures

Obviously, House's "revisited model" constructs a delicate model between and the ST and TT in conducting comparisons in the component of the field consisting of subject matter and social action. Closer examination allows us to find out that this model is not so delicate as to be applied to the comparisons at transitivity levels between the ST and TT texts in search of 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 realizing the "whole person" translator education in the translation teaching on university degree programs advocated by Tan (2008, 589).[10] This approach only 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 the language system in order to reproduce them in the target-language context, and 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 shape the context, which may turn out to be different from that in the ST. In this sense, the analytical tool is very useful for looking at how the meaning is negotiated within a particular discourse and context. 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) makes a very clear statement:

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[10] 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).

(1) a translation must be treated as discourse that fulfils 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

As far as the literary translation for children is concerned, it can be said that this principle is 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 cannot do without the study of the so-called "purposes" – that is, the prama-semiotic aspects, along with the semiotic influences in connection with the genre in a larger context. These so-called "purposes" are particularly important for the creation of patterned effects in the case of the dream fantasy of *AW*. Here, language not only plays the role of creating a magical and mysterious environment, but it 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 the original author's manipulation of the transitivity patterning. However, as the research has shown, both the magic and mysteriousness have been demystified to a certain extent at different places in the language through translation.

4. Implications for Further Research

Generally speaking, the descriptive-explanatory approach to the 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; Pérez 2007). These shifts, compared and analysed, have reflected the translator's distortion of the original transitivity patterning at both clause and textual levels, and thus confirm 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 analytical tool applied in this study can also be used for analysing other types of discourse, such as the discourse of education, or classroom discourse, or, as discussed, it can be applied in the evaluation of translation quality.

In the case of the present book 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 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 very closely interrelated, the relationship of which will further affect the text in question as a case of a particular text type. So, it is clear that any meaning cannot 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) emphasizes, 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 process can be used to test the roles a particular person or character plays in certain environments in terms of the degree of their engagement with 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, so that their cognitive status can be further revealed.

APPENDIX

CHINESE TRANSLATIONS
OF *ALICE IN WONDERLAND*

The following is a list of the titles of the Chinese translations of *Alice's Adventures in Wonderland*, which were collected from the National Library of China in Beijing. Eighty-three versions had been published by the end of 2010, exclusive of the different editions of a translated version by the same translator(s). The titles of the adapted translations are in the shaded colour, and all are listed in chronological order as follows.

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