CHAPTER II

LITERATURE REVIEW

This chapter mainly discusses the underlying theories related to the topic of the research. For that purpose, it is divided into five sections. The first section is about the studies on transitivity, the second section is about the studies on translation, the third is about the children literature, the forth is about Roald Dahl's *The Twits*, and the last section is theoretical framework.

2.1 Studies on Transitivity

Transitivity is a system which construes the world of experience into Process types. As stated by Halliday and Matthiessen (2004 : p.181), Transitivity is a system of the clause, affecting not only the verb serving as Process but also participants and circumstances. Different types of process will have specific kinds of participant role that are systematically associated with each other. Through the system of Transitivity, we shall be exploring the clause in its who = does = what = to = whom, who/what = is = what/who, when, where, why, or how function (Gerot and Wignell, 1994 : p.52).

In tansitivity, there are six types of process which are Material process, Mental process, Relational process, Behavioural process, Verbal process, and Existential process. Each of the process has at least three elements which explain in a general way how phenomena of the real world are represented as linguistic structures,

they are participant, process and circumstance. Each of the elements will be analyzed in the further discussion.

2.1.1 Clause as Representation

The representational meaning of the clause is encoded through the transitivity structures, whose element of structure or functions include Agent, Recipent, Process, Attribute and Circumstance. The clause construes a quantum of change as a figure, or configuration of a process, participants involved in it and any attendant circumstances. It construes a relationship of significancation between a word and its meaning (Halliday and Matthiessen, 2004 : p.169). Moreover, the transitivity construes the world of experience into a manageable set of process types. Each process type provides its own model or schema for construing a particular domain of experience. The experience consists of 'going on' – happening, doing, sensing, meaning, being, and becoming. Halliday divides the experiences into two types which are outer and inner experiences. The type form of 'outer experience' is that of 'actions and events' which is things happen, and people or other actors do things, or make them happen. The 'inner' experience is harder to sort out; but it is partly a kind of replay of the outer (Halliday and Matthiessen, 2004 : p.170). The 'outer' experience is the process of the external world or Material process and 'inner' is the process of consciousness or Mental process.

In addition of Material and Mental processes, the outer and inner experiences, the third types of classifying and identifying is called Relational process.

Material, Mental and Relational are the main types of process in the English Transitivity. However, there are another processes in the Transitivity. The forth type is Verbal process which is the borderline of 'mental' and 'relational' processes. The fifth type is Existential which is the borderline between 'relational' and 'material' processes. The last type is Existential process which is the process concerned with existence, which phenomena of all kinds are simply recognized to 'be' – to exist, or to happen. The borderline between 'material' and 'mental' is Behavioural process.

2.1.2   Participant

Participant in a clause is an entity of all kinds, not only humans, but also inanimate, concrete and abstract which is involved in the processes. As stated by Halliday and Matthiessen (2004 : p.175), Participants are inherent in the process: every experiential type of clause has at least one participant and certain types have up to three participants.

2.1.3   Process Types

The process is an important element in a clause. It is the most central element in the transitivity and realized by a verbal group which can be actions, events, states, or types of behaviour. The processes are divided into six types which are Material process, Mental process, Relational process, Behavioural process, Verbal process, and Existential process. The types of the process is shown in the table below:

Material	doing	bodily, physically, materially.
Mental	sensing	emotionally, intellectually, sensorily.
Relational	being	equal to, or some attribute of.
Behavioural	behaving	physiologically and psychologically.
Verbal	saying	lingually, signalling.
Existential	existing	there exists.

Table 2.1 The process types identified by Halliday (Gerot and Wignell, 1994:54)

Material, Mental and Relational are the main types of process in the English transitivity. Those six processes of transitivity are modelled as figures of happening, doing, sensing, saying, being, and having. All figures consist of participant roles and have circumstancial of time, space, cause, manner, etc. The processes of Transitivity will be explained further below.

2.1.3.1 Material Clause

According to Halliday, Material clause contrues a quantum of change in the flow of events as taking place through some input of energy. Material clause itself is a clause of doing and happening. In Material clause, there are one or more than one main participants consisting of Actor and other participants either Goal, Range, Recipient, Client, or Initiator. The active participant is Actor - that is the one that does something or undertakes some action and the participant to whom the process is directed is Goal, for example :

Actor	Process	Goal
The lizard	catches	the mosquitoe.

Table 2.2. Clause with Material process

From the example above, the lizard is the one who does something, while the mosquitoe is the one of which the action is directed to. This is the example of a concrete action.

Futhermore, there are two types of Material clause which are Transitive Material clause and Intransitive Material clause. Transitive Material clause is a clause which represents a doing and has two or more pariticipants either Goal, Range, Recipient, Client, or Initiator, while Intransitive Material clause is a clause which represents a happening and has only one participant called Actor and do not have an Object. The examples of Transitive Material clause and Intransitive Material clause are shown in the tables below:

Actor	Process	Goal	Circ.
She	washed	the dishes.	

Table 2.3. Transitive Material clause

Actor	Process	Goal	Circ.
She	moved		to Jordan.

Table 2.4. Intransitive Material clause

From the two tables above, Transitive Material clause has more than one participants which are Actor and Goal. The actor in Transitive Material clause does something to the Goal. On the other hand, Intransitive Material clause has only one participant which is Actor – the one which represents a happening and it does not have a Goal.

2.1.3.2 Mental Clause

Mental clause is concerned with our consciousness which means it is a process of sensing, cognition, perception, and emotion. Mental clause has two participants which are Senser (the subject) and Phenomenon. The Senser in Mental clause is always a human – the one that senses; feels, thinks, wants or perceives. Hence, the Phenomenon in which is felt, thought, wanted or perceived by the Senser. Phenomenon in Mental clause is actually wider than the participants in a Material clause because it may be not only a thing but also an act or a fact.

Unlike Material clause, Mental clause has four types of sensing : Perceptive (process of seeing), Cognitive (process of thinking), Desiderative (process of wanting), and Emotive (process of feeling). These four tables below are the examples of each type of sensing in Mental process.

Senser	Process	Phenomenon
I	hear	their voices.

Table 2.5. Perception Mental clauses

Senser	Process	Phenomenon
I	forget	your phone number.

Table 2.6. Cognition Mental clause

Senser	Process	Phenomenon
She	refuses	his love.

Table 2.7. Desideration mental clause

Senser	Process	Phenomenon
They	hate	Mathematics.

Table 2.8. Emotion mental clause

The table below shows the verbs serving as Process in Mental clause.

	'like' type	'please' type
Perceptive	Perceive, sense, see, notice, glimpse, hear, overhear, feel, taste, smell.	(assail)
Cognitive	Think, believe, suppose, except, consider, know, understand, realize, appreciate, image, dream, pretend, guess, reckon, conjecture, hypothesize, wonder, doubt, remember, recall, forget, fear (hink fearfully)	Strike, occur to, convince, remind, escape, puzzle, intrigue, surprise
Desiderative	Want, wish, would like, desire, hope (for), long for, rearn for, intend, plan, decide, resolve, determine, agree, comply, refuse	(tempt)
Emotive	Like, fancy, love, adore, dislike, hate, detest, despise, loathe, abhor, rejoice, exult, grieve, mourn, bemoan, bewail, regret, deplore, fear, dread, enjoy, relish, marvel.	Allure, attract, please, displease, disgust, offend, repel,revolt, gladden, delight, gratify, sadden, depress, pain, alarm, stratle, frighten, scare, horrify, shock, comfort, reassure, encourage, amuse, entertain, divert, interest, fascinate, bore, weary, worry

Table 2.9. Verbs serving as Process in mental clause (Halliday and Matthiessen, 2004 : p. 210)

2.1.3.3 Relational Clause

While Material clause is concerned with the experience in the material world and Mental clause is concerned with the consciousness, Relational clause may construe both of them. However, Relational clause's model of this experience as for 'being' rather than as for 'doing' or 'sensing'. The table below is an Inner and Outer

experience which is construed by different process types.

	Inner experience	Outer experience
Material (doing)	-	She's walking (into the dining room); she's getting a mahogany table; she's emptying the bottle
Mental (sensing)	She rejoices, she fears stupidity; his behaviour amuses her, stupidity frigtens her	-
Relational (being)	She/s happy, she's afraid (of stupidity); his behaviour is amusing (to her), stupidity is frightening (to her)	She's in the dining room; she has a mahogany table' the bottle's empty

Table 2.10. Inner and outer experience construed by different process types

From the table above, Relational clause can be both Material and Mental experiences but it restricts to present in present clause. Halliday divides Relational clause into three types which are Intensive, Possesive and Circumstantial; and each of them comes in two distinct modes of being – Attributive and Identiying. (Halliday and Matthiessen, 2004 : p.215)

2.1.3.4   Verbal Clause

Verbal clause is a process of saying and the main participant is a 'Sayer'. The other participants of verbal clause are Receiver, Target, and Verbiage. Receiver is the one whom the saying is directed; for example, *I told **you** the news.* The Receiver is realized by a nominal group typically denoting a conscious being, (a potential speaker), a collective or an institution (Halliday and Matthiessen, 2004 : p.255). The Target is the entity which is targeted by the process of saying; for

example, *I told you **her condition.*** The Verbiage is the entity that may construe the topic of what is said. If the verbal process is one that projects goods and services rather than information, like *order* or *promise,* the Verbiage refers to these; for example, *a banana roll* in *I ordered **a banana roll.*** Futhermore, the Verbiage may be ***the name of saying;*** for example, *a question* in *I asked you **a question**.* The name of saying includes speech functional categories such as *question, statement, order, command* and generic categories such as *story, fable, joke, report, summary.* The name of a language can be construed as Verbiage; for example, *They were speaking Arabic* (Halliday and Matthiessen, 2004 : p.256).

Verbal clause has two types of process which are Direct and Indirect speeches. Direct speech or quoted speech is a clause which use a quotation mark. It refers to reproducing the words exactly as they are originally spoken. Meanwhile, Indirect speech or reported speech is a clause which has no quotation mark. It refers to using a noun clause to report what a speaker has said before. The examples of Direct and Indirect speeches are shown in the tables below:

Sayer	Process	Receiver	Quoted
Nabeel	told	me	"I will call you tonight."

Table 2.16. Direct speech in Verbal clause

Sayer	Process	Target	Quoted
Nabeel	said	to me	that he would call me tonight.

Table 2.17. Indirect speech in Verbal clause

2.1.3.5 Behavioural Clause

Behavioural clause is a process of physiological and psychological behaviour, like breathing, coughing, smiling, dreaming, and staring. It is partly like Material process and partly like Mental process. Behavioural clause has a 'Behaver' as the participant who is a conscious one, the Process of behaving, 'Behaviour' as the second participant which is related to the process, and Phenomenon which is not related to the process. However, Behavioural clause in everyday spoken language commonly only has Behaver and Process only, like *Don't breathe!, No one's listening, He's always grumbling.* (Halliday and Matthiessen, 2004 : p.251). The examples of Behavioural clause are shown in the tables below:

Behaver	Process
He	laughed.

Table 2.18. Behavioural clause

Behaver	Process	Behaviour
He	hissed	a nice hiss.

Table 2.19. Behavioural clause with Behaviour

Behaver	Process	Phenomenon
He	worried about	the weather.

Table 2.20. Behavioural clause with Phenomenon

The behaviour in Table 2.19 shows that *a nice hiss* belongs to the process, *hissed*. On the other hand, Phenomenon in Table 2.20 does not related to the process.

2.1.3.6 Existential Clause

Existential clause is a process of which something exists or happens. Existential clause can be easily recognized because it always has *there* in the

beginning of the clause and typically it has the verb *be.* "The word *there* in existential clause is neither a participant nor a circumstance – it has no representational function in the Transitivity structure of the clause; but it serves to indicate the feature of existence, and it is needed interpersonally as a Subject (Halliday and Matthiessen, 2004 : p.257)

The entity which is being existed is called Existent. There can 'exist' any kind of phenomenon that can be construed as a 'thing' : person, object, institution, abstraction; but also any action or event (Halliday and Matthiessen, 2004 : p.258). The example of Existential clause is shown in the table below:

	Process	Existent	Circ.
There	were	some cakes	on the table. (place)

Table 2.21. Existential clause

2.1.4   Circumstance

Circumstantial element is almost always optional augmentations of the clause rather than obligatory components. As stated by Halliday and Matthiessen (2004 : p.259), circumstancial elements lie at the end of the continuum: typically they occur freely in all types of process, and with essentially the same significance wherever they occur. Circumstance answer the questions of when, where, why, how, how many and what. According to Gerot and Wignell (1994 : p.52), circumstance is divided into eleven types, which are time (it is probed by when, how often, and how long), place (it is probed by where and how far), manner (it is probed by what with), quality (it is probed by how), comparison (it is probed by what like), reason (it is

probed by why or how), purpose (it is probed by what for), behalf (it is probed by for whom), accompaniment (it is probed by who or what else), matter (it is probed what about), role (it is probed by as what). Types of circumstantial element identified by Halliday can be seen in the table below :

	Type		Wh-item	Examples of realization
enhancing	1. Extent	Distance	How far?	For; throughout 'measured'; nominal group
		Duration	How long?	For; throughout 'measured'; nominal group
		Frequency	How many times?	'measured' nominal group
	2. Location	Place	Where? [there, here]	at
		Time	When? [then, now]	At, in, on; to, until, till, towards, into, from, since, during, before, after Adverb of time: today, yesterday, tomorrow; now, then
	3. Manner	Means	How? [thus]	By, through, with, by means of, out of + material, from
		Quality	How? [thus]	In + a + quality (e.g. dignified) + manner/way, with + abstraction (e.g. dignity); according to adverbs in –ly, -wise; fast, well; together, jointly, separately, respectively
		Comparison	How? What like?	Like, unlike; in + the manner of... Adverbs of comparison differently
		Degree	How much?	To + a high/low/...degree/exte

				nt; Adverbs of degree much, greatly, considerably, deeply [often collocationally linked to lexical verb, e.g. love + deeply, understand + completely]
	4. Cause	Reason	Why?	Because of, as a result of, thanks to, due to, for want of, for, of, out of; through
		Purpose	Why? What for?	For, for the purpose of, for the sake of, in the hope of
		Behalf	Who for?	For, for the sake of, in favour of, against ['not in favour of'], on behalf of
	5. Contingency	Condition	Why?	In case of, in the evnt of
		Default		In default of, in the abence of, short of, without ['if it had not been for']
		Concession		Despite, in spite of
Extending	6. Accompaniment	Comitative	Who/what with?	With; without
		Additive	And who/what else?	As well as, besides; instead of
Elaborating	7. Role	Guise	What as?	As, by the way, in the role/shape/guise/form of
		Product	What into?	Into
Projection	8. Matter		What about?	About, concerning, on, of, with reference to, in ['with respect to']
	9. Angle	Source		According to, in the words of
		Viewpoint		To, in the view/opinion of, from the standpoint of

Table 2.22. Types of circumstantial element (Halliday and Matthiessen,2004 : p262)

2.1.5   Elliptical Clause

In general, every free clause in English has a Subject. However, ellipsis may occur in the clause because the Subject has mentioned before in the previous clause. In linguistics, ellipsis or elliptical construction refers to the omission from a clause of one or more words that would otherwise be required by the remaining elements (http://en.wikipedia.org/wiki/Ellipsis_(linguistics). According to Halliday (1994: p.110), elliptical clause have bits ellipsed rather than left out. The structure of elliptical does not express all the features of the clause because it is recoverable from the accompanying text.

2.2   Studies on Translation

In general, Translation is transferring language, from one language to another. According to Munday (2001 : p.4), the term translation has several meanings: it can refer to the general subject field, the product (the text that has been translated) or the process (the act of producing the translation, otherwise known as translating).

Translation is a process based on the theory that it is possible to abstract the meaning of a text from its forms and reproduce that meaning with the very different forms of a second language.

According to Larson (1998 : p.3), Translation consists of studying the lexicon, grammatical structure, communication situation, and cultural context of the source language text, analyzing it in order to determine its meaning, and then

reconstructing this same meaning using the lexicon and grammatical structure which are appropriate in the receptor language and its cultural context.

2.2.1   The Shift of Translation

According to Catford in Introducing Translation Studies by Munday (2001 – p.60), he considers two kinds of shift, the first one is shift of level and the second one is shift of category. The shift of level would be something which is expressed by grammar in one language and lexis in another. Moreover, the shift of category is divided into four kinds. First is structural shift which is the most common form of shift and involve mostly a shift in grammatical structure. Second is class shift which comprises shift from one part of speech to another. Third is unit shift or rank shift which the translation equivalent in the target language is at a different rank to the second language. The last one is intra-system shift which takes place when the second language and target language possess approximately corresponding systems but where 'the translation involves selection of a non-corresponding term in the target language system.

Leuven-Zwart (2001 : p.63) states that there are also two kinds of shifts which are microstructural shift (comparative model) and macrostructural shift (descriptive model). The comparative model involves a detailed comparison of second language and target language and a classification of all the microstructural shifts (within sentences, clause, and phrase). Once all the shift are identified and categorized on this low 'microstructural' level, the number of occurrences in each

category is totalled and their cumulative effect is then calculated by using a descriptive model. The descriptive model is a macrostructural model, designed for the amalysis of translated literature. Hence, macrostructural shifts are paraphrased as the three metafunctions which are ideational metafunction, interpersonal metafunction, and textual metafucntion. Whereas, microstructural level refers to forms of language (Munday, 2001 : p.63-65).

2.2.2   Halliday's Register in Translation

In linguistics, a register is a variety of a language used for a particular purpose or in a particular social setting. Halliday's model of discourse analysis, based on what he terms as a systemic functional grammar, is geared to the study of language as communication, seeing meaning in the writer's linguistic choices and systematically relating these choices to a wider sociocultural framework (Munday, 2001 : p.90). In Halliday's model, there is a strong interrelation between the surface-level realizations of the linguistic functions and the sociocultural framework. Thus, the genre is conditioned by the sociocultural environment and itself determines other elements in the systemic framework. Halliday and Hasan interpret 'register' as 'the linguistic features which are typically associated with a configuration of situational features - with particular values of the field, mode and tenor. The field of a text is associated with ideational meaning realized through transitivity. The tenor of a text is associated with interpersonal meaning relaized through modality. The mode of a text is associated with textual meaning realized through the thematic and information

structures (Munday, 2001 : p.91)

Each of these register is associated with a strand of meaning and pertinent to three metafunctions : ideational, interpersonal and textual. The metafunctions are constructed or realized by the lexicogrammar, that is the choices of wording and syntactic structure.

2.3 Studies on Children Literature

According to Tomlinson and Brown (2002 : p.2), children's literature is good quality trade books for children from birth to adolescence, covering topics of relevance and interest to children of those ages, through prose and poetry, fiction, and non-fiction. Children books are about the experiences of the childhood, both good or bad, which set in the past, present, or future. The content of children's books includes the amazingly diverse topics which are interest to the children, such as withches, dinosaurs, talking animals, giant fruits, Egyptian mummies, etc. The stories in children books are written in a forthlight, humorous, and suspenseful manner that are appropriate for young readers and often contain truths that help the reader to understand today's world.   `

2.4 Roald Dahl's *The Twits*

The Twits is one of the narative children literature. It is a humorous children's book written by the prolific children's author, Roald Dahl in 1979 and first published in 1980 in Britain. Roald Dahl was born in Wales on September 13, 1916.

He is now considered one of the most beloved stroytellers of all the time. Many of his books become the classical stories of all the time, such as *James and The Giant Peach, Matilda, The BGF, and Charly* and *The Chocolate Factory.* In 1960, Roald Dahl began writing children stories while he was living in England. His first story, *James and The Giant Peach*, was written for his own children as entertainment. (Dahl, 2007)

The Twits as a children book has remained so successful since its publication in 1980 — that it was adapted for the stage in 1999 (http://en.wikipedia.org/wiki/The_Twits). It is rather a short book, with short, simple chapters and is suitable for fairly young children in this respect. There is much to amuse and disgust children and adults alike in *The Twits* with excellent illustrations to add the pleasure of this fantastic story (http://www.squidoo.com/thetwits).

The Twits tells the readers about a revolting tale of two disgusting people, Mr. and Mrs. Twit. Mr. and Mrs. Twit are two ugly, smelly, nasty, stupid people who spend their lives playing nasty tricks on each other. They also enjoy being cruel to animals, which they do by luring birds to glue-smothered trees so they can be baked into bird pie, and tormenting their pet monkeys, Muggle-Wump and his family, by getting them to stand upside down, one on top of the other. Mr. And Mrs. Twit hate children, and Mrs. Twit often carries a walking stick in her right hand that she uses to hit children and animals (http://en.wikipedia.org/wiki/The_Twits).

Mr. Twit is illustrated as an old, hairy faced man who has the most disgusting beard in history with all sorts of putrid food items stuck within it and for

some reason, he thinks that his horrible hairy beard makes him look dignified. His wife, Mrs. Twit is the perfect wife for him. She is hideously ugly, miserable, unhygienic and cruel (http://www.squidoo.com/thetwits).

The Twits was awarded by The BBC Big Read for Top 100 best-loved books and Ten of the Best Beards in Literature by *The Guardian*. It was also nominated by The Somerset Fiction Award 2011 for Early Years Book Awards.

2.5 Theoretical Framework

From the theories above, this study uses Halliday's Transitivity and Shift of Translation. This study aims to find out the similarities and differences of Transitivity in Roald Dahl's *The Twits'* English and Indonesian versions. Transitivity is a system which shows the experiential fuction of language. In the transitivity, there are three elements that construct the clause which are participant, process and circumstance. Transitivity will help the writer to find out the distribution of the processes in Roald Dahl's *The Twits'* English and Indonesian versions. Translation,in general, is a process of transferring meaning from one language to another and basicly it changes the form from the source language into target language. It means that translation remains unchanged the meaning so that automatically changes the forms which cause the shift in translation. Thus, the shift may occur in Roald Dahl's *The Twits'* Indonesian version. Both transitivity and Translation studies will help the writer to find out the similarities and differences of Roald Dahl's *The Twits'* English and Indonesian versions.