

**The Applicability of Systemic Functional Linguistics to English-to-Arabic
Translation of Fiction: Assessment and Training Purposes, with Particular
Reference to Seven Renditions of Hemingway's *The Old Man and the Sea***

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The candidate confirms that the work submitted is his own and that appropriate credit has been given where reference has been made to the work of others.

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Abstract

Systemic Functional Linguistics (SFL) has garnered increasing interest and research attention and become particularly significant in many studies of translation. The present study is located within the framework of descriptive and applied Translation Studies. The thesis reports a study investigating the applicability of SFL to translating English prose fiction into Arabic. What makes this study so important is that it addresses several interrelated issues serving two vital purposes in Translation Studies: assessing translations and training translators. The two purposes are kept in balance in a well-constructed, three-phase research model, establishing the joint effect of testing the viability of SFL in English-to-Arabic translation of fiction.

In the area of assessment, two SFL-based models are applied and developed. Firstly, Kim's metafunction shift analysis is applied to a 48-clause sample from seven Arabic translations of Hemingway's *The Old Man and the Sea*. The results of this rigorous metafunctional match analysis show that Process and Circumstance top the 10-category list of optional shifts. The seven translations are ordered based on this matching analysis. Using the same sample, another in-depth study is carried out on three translations (those having the highest, the lowest and medial number of metafunction shifts) to examine the validity of a newly created multi-level schema of optional explicitation located beyond the scope of metafunction shift analysis model. The results demonstrate that the order of the three translations is maintained. This schema suffices to adequately describe the lexicogrammatical nature of the explicitatives (at the micro-level) and to show how this can facilitate identifying their effect on the texture of the target text (at the macro-level). Secondly, in implementing House's well-established model for translation quality assessment, three interdependent developmental processes are introduced to facilitate its application, develop its tools and gauge its efficiency. A source text Profile Template, a Match Tracer and a statistical comparative table (which can together be potentially exploited in other genres or adapted for other language pairs) are applied to the same three translations using a longer excerpt. The results show that the order of the three translations remains the same. In summary, the results of the three

studies lend further support to the general premise that the SFL framework can be applied reliably in assessing Arabic translations of English fiction.

The applicability of SFL is also tested empirically in the area of training. A three-month training experiment involving a sample of two groups (control and experimental) of final-year Arab university students majoring in English (40 participants each) is designed and carried out to compare the progress of performance between the two groups with and without the presence of an SFL-based translator training course. The data are gathered through initial and final exams involving assessing short Arabic translated extracts of English fiction and translating a longer extract into Arabic. The results indicate that the four sub-competences constituting the scoring rubric of the control group show an increase/decrease of 10%, -0.75%, 0.0% and 9.5% respectively, whereas in the experimental group they show a massive increase of 47.5%, 21.25%, 34.5% and 49.5% respectively. Likewise, the total rate of performance of the control group in the final exam increases slightly by 7.1%, while in the experimental group it increases greatly by 43.1%. Further, the overall percentage change between the total rate of performance of the initial and final exams for the control group is +76.3%, while for the experimental group it is + 218.8%. The pool of data is also used to explore the nature of the relationship between the two skills of assessing short Arabic translated extracts of English fiction and translating English fiction. The results demonstrate that the correlation coefficients of the two elements of relationships regarding the relevant sub-competences of the experimental group increase significantly between the initial and final exams (0.721 and 0.636), while they increase insignificantly in the control group (0.164 and 0.016). These results confirm a strong positive relationship between the two skills if the SFL-based translator training factor is strongly present.

The results of this large-scale study yield the conclusion that SFL is highly effective in assessing professional English-to-Arabic translations of fiction and in training prospective translators in an academic institution.

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Key to Abbreviations

accomp.	Accompaniment
Adj	Adjunct
ATS	Applied Translation Studies
Ava.	Availability
Ave.	Average
Benef.	Beneficiary
BT	Back-translation
C (No.)	A Control Group Participant
CGFE	Control Group Final Exam
CGIE	Control Group Initial Exam
Cir	Circumstance
circ.	Circumstantial
Cl.C.	Clause Complex
cn.	Citation
co.	Command
Compl.	Complement
conj.	Conjunction
cy.	Commentary
Dep.	Dependent Clause
DTS	Descriptive Translation Studies
dub.acc.	Dubious Acceptability
E (No.)	An Experimental Group Participant
EGFE	Experimental Group Final Exam
EGIE	Experimental Group Initial Exam
Emb.	Embedded Clause
ESP	Empirical Science Paradigm
Exp.	Experiential
fe.	Footnote
Fin.	Finite

im.	Imperative
in.	Indicative
Ind.	Independent Clause
Int.	Interrupting Clause
Intens	Intensity
Interp.	Interpersonal
LAP	Liberal Arts Paradigm
loc.	Location
man.	Manner
Moda.	Modality
NA	Not Applicable
NAATI	National Accreditation Authority for Translators and Interpreters
No.	Number
of.	Offer
PACTE	Process of Acquisition of Translation Competence and Evaluation
Par.	Paragraph
pl.	Proposal
pn.	Proposition
poss.	Possession
Pr.	Process
Pred.	Predicator
Prop.	Propositional
qu.	Question
Rel.	Relational
SFG	Systemic Functional Grammar
SFL	Systemic Functional Linguistics
SL	Source Language
SLRs	Source Language Readers
Sp.	Spatial
Sp.f.	Speech-functional
ST	Source Text

st.	Statement
STT	Source Text Transeme
sub-comp.	Sub-competence
substit.	Substitution
Temp.	Temporality
TL	Target Language
TLRs	Target Language Readers
TQA	Translation Quality Assessment
TS	Translation Studies
TT	Target Text
TTs	Target Texts
TTT	Target Text Transeme
ungram.	Ungrammaticality

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Chapter 1

Introduction

1.1 Introduction and Background

Achieving a good translation has always been a controversial issue among translation theorists, practitioners, teachers, students, assessors and readers. Everyone looks at the issue from a different perspective or pursues it from a 'launchpad' that gets her/him to the right station of interest. By way of illustration, translation theorists are at pains to investigate translation from an art-or-science perspective, a source-or-target text orientation, a process-product point of view, or a content-form approach, and many other issues like 'text types', 'translation strategies', 'translation shifts' and 'equivalence'. Practitioners are interested in ways of facilitating their job and get the most readily acceptable equivalent meaning. Teachers focus on equipping their students with the skills of a good translator and features of a good translation. Assessors try new models and develop new tools to tell whether a translation is good or bad. Certainly, a researcher belongs to one of these categories, if not to more than one of them. In other words, the researcher might be interested in investigating the most fruitful linguistic theory that can make the practice of translation culminate in featuring the intended meaning of the original, the one that is most liable to facilitate teaching methods for translation teacher and the one that contributes most valuably to assessing the quality of translation. Broadly speaking, this collection of purposes represents the general framework of this research and the main interest to be pursued.

The present research is a linguistically-oriented study aiming generally at applying linguistic knowledge in translating English fiction into Arabic. More specifically, the research aims at exploring the validity of using the social semiotic approach to language in English-to-Arabic translation of fiction. The study will centre on how valid the evaluation informed by this linguistic approach is in locating the translation mismatches in different professional Arabic translations of English fiction, and how to exploit the possible findings to serve a pedagogical purpose.

1.2 Statement of the Problem and the Need for Research

It is commonly assumed that conducting a comparison-based study of texts translated by various professional translators provides rich, resourceful material for the field of Translation Studies (henceforth TS), for it demonstrates strengths as well as weaknesses that can be fruitfully used to undertake more rigorous and extended studies for the benefit of all stakeholders involved in this field. It is particularly helpful for understanding how translators have treated the original text or how they should have done so. What makes the study more fruitful and beneficial is the intent to exploit its possible findings to training potential translators. The matter can be investigated from either a process-based or a product-based perspective. In this research, discussion will be confined to the second one. In this regard, Tognini-Bonelli points out: "The most common use of translation corpus, (...), remains the access of translation as products where the translated corpora reveal cross-linguistic correspondences and differences that are impossible to discover in a monolingual corpus" (2004, p. 22). The term 'corpus' will be left to emerge in due course. In fact, translation theory depends chiefly on information taken from professional practice (Asensio, 2007).

Citing a vivid example can make the idea easier to grasp in practice. Three different translations of one sentence of Hemingway's *The Old Man and the Sea*, translated by professional Arab translators will offer exciting insights into how a linguistic-based analysis accounts for assessing a translation. The first sentence of the original text is: "*He was an old man who fished alone in a skiff in the Gulf Stream and he had gone eighty-four days now without taking a fish*" (Hemingway, 1952, p. 9). The three translations will be provided with their back-translations¹ (henceforth BT):

Translation 1 "كان قد بلغ من العمر عتياً، إلا أنه مازال وحيداً في قاربه، يحاول أن يصطاد في خليج "قولد ستريم"، وقد مرت عليه أربعة وثمانون يوماً في البحر، حتى هذه الساعة، دون أن يحظى بشيء." (Ali, n.d., p. 5)

¹ Back-translation is a "word-for-word translation of a TT back into the SL, often retaining the structure of the TT. This can be used to explain the translation process for an audience that does not understand the TL" (Hatim and Munday, 2004, p. 335).

- BT** He reached extreme old age, but he was alone in his boat, trying to fish in the 'Gold Stream' gulf, and 84 days have passed in the sea so far without getting anything.
- Translation 2** "كان الرجل قد بلغ من العمر عتياً... ولكنه لا يزال رابضاً في زورقه، وحيداً، يطلب الصيد في خليج "فولد ستريم". وقد عبرت به حتى الساعة، أربعة وثمانون يوماً لم يجد عليه البحر خلالها بشيء من الرزق."
(Zakreya, n.d., p. 11)
- BT** The man reached extreme old age, but he was squatting in his boat alone, trying to fish in the 'Gold Stream' gulf. Eighty-four days have passed so far during which the sea did not bestow on him any livelihood.
- Translation 3** "كان رجلاً عجوزاً يصيد السمك وحده في قارب عريض القعر في "تيار الخليج"، وكان قد سلخ أربعة وثمانون يوماً من غير أن يفوز بسمكة واحدة." (Baalbaki, 2012, p. 7)
- BT** He was an old man who fished alone in a skiff in the Gulf Stream, and he had 'skinned' 84 days without taking a single fish.

Adopting a linguistic approach to assessing the quality of these translations will reveal what the meaning-making choices of the original text are and how they are expressed in the translations. Further, it shows how the structure of the clause in English can be used fruitfully as a basic grounding for translation assessment. To narrow the area of discussion, analysis at this stage will not approach every clause structure functionally nor will it point out all the translation problems. However, the following mismatch problems will be noted:

1. A clear discrepancy can be noticed in the first 'simple' clause: *He was an old man*. Both the first and second translations go beyond the intended meaning, and seem to exaggerate the meaning by this choice of words and structure. Instead of hitting the precise meaning with a similar clause structure available in Arabic, the two translations are characterised by a different clause structure (the use of an established metaphorical phrase in Arabic: بلغ من الكبر عتياً – *he reached extreme old age*). This might create a different 'function' from the original. In fact, this translation carries a rather different meaning related to his age, not

intended in the original. As a consequence, a failure in addressing the choice of the original and trying to find another choice available in the target language (henceforth TL) may result in a change of function and thus of meaning. The third translation, on the other hand, renders the same meaning with a similar choice readily available in Arabic: كان رجلاً عجوزاً – *he was an old man*.

2. Translating the original clauses *He had gone eighty-four days now without taking a fish* in the second translation: وقد عبرت به حتى الساعة، أربعة وثمانون يوماً لم يجد عليه البحر خلالها بشيء من الرزق evinces how the function, and thus meaning of the clause depends mainly on its choice of structure. The real subject or 'actor' of the clause *without taking a fish* is mistranslated. The original structure indicates that the subject is *he* or *the old man* himself, but not *the sea*. Moreover, the choice of the verb (يُجِدُ – *bestow*) is considered a key mismatch because it does not play the same functional role as the original verb *take*. The verb (يُجِدُ – *bestow*) in Arabic means that the sea does in fact give the man the fish without effort on his part, which is totally different from the functional role of the verb *take*, which indicates making significant effort, taking into account his old age, to catch a fish. Furthermore, the use of the word (الرزق – *livelihood*) does not capture the original intended meaning of a fish, nor for that matter does it concur with the original author's simple style and wording. In fact, the word (الرزق – *livelihood*) in Arabic has a religious connotation which is not intended by the original author. The same phrase, by contrast, is successfully translated in the first and third translations with a slight discrepancy: دون أن يحظى بشيء and من غير أن يفوز بسمكة واحدة.
3. The original complex clause: *He was an old man who fished alone in a skiff in the Gulf Stream* involves a kind of 'textual' mismatch problem in the first and second translations. The dependent clause *who fished alone in a skiff in the Gulf Stream* does not play an 'exceptional' or a 'disjunctive' function; it simply acts as a description to the state of the old man at a certain point of time. In the first two translations, the use of a 'textual cohesive device' – the conjunction لكن (*but*) and the phrase إلا أنه (*but*) – is not appropriate in this context and brings out a

function that is not meant in the original. The third translator, however, succeeds in preserving the function, and conveying the same meaning as the original: كان رجلاً عجوزاً يصيد السمك وحده – *He was an old man who fished alone.*

For the record, these are just examples of translation problems drawn only from the first sentence of the novella. Of course, the degree to which it can be assumed that these translators are adequately qualified to appreciate the functional roles that underlie the meaning of different clause structures in English varies according to their language competence and their use of an effective linguistic-based analysis that reveals the intended meaning before conveying it into Arabic. Hence, there is a need to delve into this intricacy by describing the linguistic reasons for such inappropriateness and inadequacy in translating English fiction into Arabic. This kind of plain discrepancy provides the trigger to extend this comparison to explore more translation mismatches through developing some SFL assessment tools. The possible findings will then be integrated into a training purpose. The two domains will be heavily weighted in favour of developing a more effective model for examining the applicability of SFL in English-to-Arabic translation of fiction.

It is widely believed that conducting a linguistic analysis based on the social semiotic approach to language can give fruitful insights into the ways in which the meaning is construed to relay the intended function of the text. The social semiotic approach underpins of course the Systemic Functional Linguistics model (SFL) and the Systemic Functional Grammar description (henceforth SFG). The social semiotic approach to language, in its broadest terms, is a top-down perspective that looks at language formation from the social function that an utterance plays in a communicative situation, and which underlies the choice of words and structures involved. This language approach along with its linguistic model and grammar description will be reviewed thoroughly later in chapter three. Additionally, whether and how this approach is viable in English-to-Arabic translation will be discussed at greater length in the same chapter.

1.3 Research Questions

Examples like those in the previous section throw up serious challenges for translation researchers, assessors and trainers. Drawing heavily on SFL as the theoretical point of departure for this research, the present study addresses the following questions:

1. Is the metafunction analysis of the English fiction text using SFG relevant in determining, identifying and analysing translation shifts in the Arabic translated text?
2. Does the SFL framework prove useful in describing the optional explicitation shifts in English-to-Arabic translation of fiction which are located beyond the scope of metafunction shift analysis?
3. Does the SFL-based translation quality assessment model of House apply in English-to-Arabic translation of fiction?

In the SFL-based translator training study, the following questions are addressed experimentally:

- a. To what extent does the awareness of the metafunction analysis of the source text (English) help the final-year Arab university students (majoring in English) to locate and identify the shifts in short translated extracts (Arabic)?
- b. Does the SFL knowledge raise the awareness of the final-year Arab university students (majoring in English) as translators and make them more capable of producing more accurate and metafunctionally equivalent Arabic translations of English fiction?
- c. What relationship can be explored between the two skills of assessing short Arabic translated extracts of English fiction and translating English fiction into Arabic when attending the SFL-based translator training course?
- d. How effective a model as a whole does SFL provide for training the final-year Arab university students (majoring in English) in English-to-Arabic translation of fiction?

1.4 Thesis Structure

The thesis is designed in a way that has immediate consequences for the study and the research model. The thesis consists of eight chapters. The first chapter presents the statement of the problem and the motivation or need for the research. It also outlines the research questions. Chapter two locates the present research in the field of Translation Studies. The extent of conformity with Holmes' map and Koskinen's matrix will be investigated. In addition, the correspondence of the research topic with three different definitions and concepts of TS will be briefly sketched out. Chapter three is a review of literature. The flow of discussion will move from more general to more specific concepts, i.e. from the social semiotic approach to its SFL model and then its SFG description. Chapter four pictures the research model and its methodological framework. The three phases of the research model will be defined, justified and linked directly to the combination of the other phases. Additionally, the procedural steps for each model will be discussed in detail. Chapter five deals with applying and expanding the scope of Kim's model for metafunction shift analysis. Chapter six will be devoted to applying and developing House's model for translation quality assessment (henceforth TQA). Chapter seven focuses on the translator training experiment and the rigorous analysis of its findings. Finally, chapter eight is dedicated to the final conclusion of the study: its findings, contributions, implications, limitations and recommendations.

Chapter 2

Research in the Field of Translation Studies

2.1. Introduction

This research is conducted within the field of TS. It is carried over from and ascribed to the frameworks, procedures and work practices of TS. To be more specific, TS permeates the stated research questions, the theoretical framework, the structure of the research, the models applied, the analysis of data and the research findings and contributions. It delineates the relationships between these constituents and accounts for the potential endpoints or impediments. Given this stance, it is perhaps appropriate at this stage to shed light upon this field with particular reference to the subject in question. Therefore, there is a need to mention some definitions and set out the nature, scope, concepts and concerns of the topic. Discussion will also involve tracing some models, cited from or adopted by some notable figures in this field, belonging to relatively different periods of time, and relating them coherently to the subject matter of the research.

2.2 Mapping Research on Translation Studies

Orel (1996) highlights Stolze's (1994) argument that TS has moved from fairly static studies of language systems and contrastive analysis to text analysis and has then arrived at the variables of human factors and their relationships in translational communicative situations. It can be argued then that the progression of TS never stops; new fields and areas of investigation will be constantly introduced with the passage of time. The purpose of this section is to provide a grounding for the present research, and question the extent of conformity, in simple terms, with two maps in Translation Studies. The focal point is to exploit such well-known and authoritative maps to the benefit of envisaging the groundwork practice of the research. The research intends to make valuable and significant contributions, specifically to the certain branch or field it

initially originates from and is oriented to, and generally to scholarly debates in linguistics and translation. The aim here is by no means to delve into the intricacies of the disparity between maps or models or to discuss their validity or preference in the field. Rather, it is to find a practical 'launchpad' that can regulate the relations between the research topic and the various branches or fields, and capture the possible findings to a useful extent.

2.2.1 Holmes' Map

James Holmes is the pioneer of modern Translation Studies, and his key paper 'The Name and Nature of Translation Studies' in 1972 constituted the blueprint of the discipline (Snell-Hornby, 2006, pp. 40-1). He traced, chronologically, the emergence of the discipline and the different attempts to find a suitable name; starting from 'translatology'², passing through 'the theory of translating' and 'the science of translating', and arriving at his suggested name 'translation studies' (Holmes, 1972/2000). In this paper, he creatively depicts its nature, crucially decides on the areas it covers, and remarkably maps its divisions and subdivisions. Munday (2008a, p. 10; 2012a, p. 16) takes this map from Toury (1995) and explains it further. He argues: "This map is still often employed as a point of departure" (ibid., p. 12). In simple terms, TS are divided into two main types: pure and applied studies, which are subdivided, in their turn, into different branches and subdivisions. Pure studies, on the one hand, are classified into theoretical studies (which include general and partial studies) and descriptive studies (which include product-, process- and function-oriented studies). Medium-, area-, problem-, rank-, text type- and time-restricted studies are subsumed

² The term 'traductologie' was first suggested in 1968 in French by R. Goffin, P. Hurbin and J.M. Vandermeerschen, a group of international professors, interpreters and terminologists in Brussels (Harris, 1988). Then it was translated in English in 1973 by Harris, who launched the term 'translatology' (ibid.). The term continued to be resisted for two main reasons. First, the -ology Greek suffix neither ensured clarity nor gained acceptance in academic bodies (Holmes, 1972/2000). Second, the term was under debate as to whether this branch of scientific study is directly related to translation or translators, i.e. to the study of the translations produced by the process of translation or the study of the observations of the translator's real translation working practice (Harris, 1988). However, the term continues to be used in French: 'traductologie' and in German: 'translatologie'.

under Partial studies. Applied studies, on the other hand, are subdivided into: translator training, translation aids and translation criticism. Accordingly, this map is tailored below to question the feasibility of this research conforming with Holmes' map. Conformity parameters to be used in this thesis are represented between ellipses.

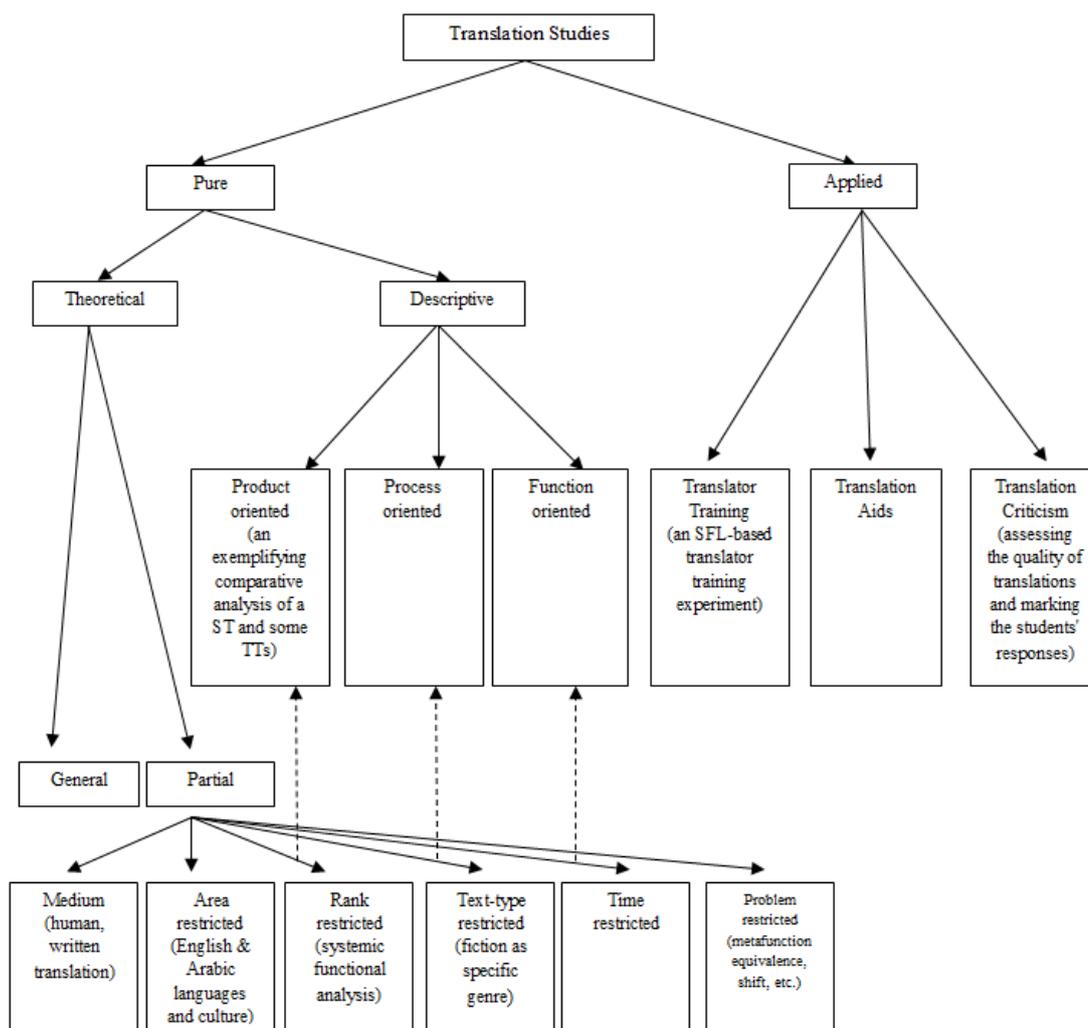


Figure 2.1: Correspondence between Holmes' map and the present research, adapted from Toury (2012, p. 4)

As diagrammatically represented above, the present research is in the main located within product-oriented descriptive pure translation studies as well as translator training

and translation criticism within applied translation studies. Descriptive Translation Studies (henceforth DTS) is "a branch of Translation Studies, developed in most detail by Toury (1995), that involves empirical, non-prescriptive analysis of STs and TTs with the aim of identifying general characteristics and laws of translation" (Hatim and Munday, 2004, p. 338). As far as DTS is concerned, this research is basically product-oriented since the investigation will involve a product database. Stating this does not mean that this research is purely product-oriented. In fact, as Toury argues, the three descriptive subtypes are related. In this respect, he firmly states that they "**form one complex whole whose constitutive parts are hardly separable from one another except for methodical (and, yes, convenience) purposes**" (Toury, 2012, p. 5, emphasis in the original). Toury argues that DTS studies and accounts for the result of "actual translational behaviour", seeks intersubjectively testable and comparable findings and hosts replicable and more empirical studies (ibid., xiii). In fact, this research study, in the broadest sense, is clearly located within the framework of both DTS – covering mainly the assessment purpose – and Applied Translation Studies (henceforth ATS) – covering mainly the training purpose.

This research can also be viewed in terms of Chesterman's (2004) classification. In searching for generalisation about translation, he distinguishes three main routes of TS: the *prescriptive route*, which states prescriptive generalities claiming to be applicable to all translations, the *pejorative route*, which investigates the translations in terms of the negative features they definitely have, and the *descriptive route* (or *translation universals*³) which describes the corpus-based phenomenon, and operationalises the general claims by interpreting and testing them to see how universal they are (ibid.). Chesterman (ibid.) goes on to subdivide translation universals research into: S-universals, which represent research works carried out to investigate the possible universal differences between translation(s) and the ST, and T-universals, which refer to works investigating the possible universal differences between translation(s) and

³ Translation universals can be most effectively defined as "the properties of translated texts triggered by the process of translation" (Zufferey and Cartoni, 2014, p. 361).

comparable non-translated text(s). Following this classification, this research can be looked at as an S-universals piece of research.

2.2.2 Kaisa Koskinen's Matrix

Apart from Holmes' eminent and weighty map, which is generally accepted as a key element in the field, it is contributive to cite another 'recent' map or matrix. In her article 'What Matters to Translation Studies? On the Role of Public Translation Studies', Kaisa Koskinen's (2010) cleverly founds her map of TS on the ideas of Michael Burawoy, a sociologist. As the present research is based on SFL, which is the linguistic model of the social semiotic approach to language, *sociology*⁴ is inevitable. This is simply because language is, as Halliday puts it quoting Saussure, a "social fact" (Halliday, 1978, p. 1), or as Fairclough argues: a "form of social practice" (1992, p. 63). Noticeably, Koskinen's paper does not substantiate claims, nor for that matter proceeds intuitively in the field. It fruitfully represents debates and proposals pertaining to the essential nature of research in TS. Interestingly, she cites, discusses and comments on the contributions of Gile – who receives a great deal of discussion in the paper – and Chesterman to the field. At the end, she maps her conclusions onto Burawoy's matrix, calling it 'Division of Labour in TS' (Koskinen, 2010, p. 21).

	Academic Audience	Extra-Academic Audience
Instrumental Knowledge	Professional (Scientific) TS	Policy (Pragmatic) TS
Knowledge	theoretical/empirical	concrete
Legitimacy	scientific norms	effectiveness
Responsibility	peers	clients/patrons
Politics	professional self-interest	interventions
<i>Pathology</i>	<i>self-referentiality</i>	<i>servility</i>
Reflexive Knowledge	Critical TS	Public TS
Knowledge	foundational	communicative

⁴ Sociology is "the study of what individuals and groups do, in relation to each other" (Gray, 2008, p. 1).

	Academic Audience	Extra-Academic Audience
Legitimacy	ethical values	relevance
Responsibility	critical intellectuals	designated publics
Politics	internal debate	public dialogue
<i>Pathology</i>	<i>dogmatism</i>	<i>faddishness</i>

Table 2.1: Division of Labour Research in TS (italics in the original)

She discusses the two main paradigms of research in TS, categorised and suggested by Gile: the Liberal Arts Paradigm (henceforth LAP) and the Empirical Science Paradigm (henceforth ESP), revealing that though the LAP tends to be more theoretical than empirical, both paradigms require working with data and facts. She includes ESP within professional Translation Studies (ibid.). Moreover, she equates ESP with DTS. In fact, they are both concerned with empirical data, objectivity and rigorous analysis, and noticeably develop the coherence, rigour and cumulativeness of TS research (ibid.). She questions the potential to conduct critical TS research entirely to provide reflexive knowledge as the emphasis will be on prescription rather than description. Furthermore, she associates policy and public TS with politics, rights and value commitments and questions if "these issues matter to translation studies" (ibid. p. 25).

Along the lines of Koskinen's division of labour in TS, the present research can be discerned as: professional descriptive TS research, based on a theoretical framework, conducted in compliance with an ESP, guided by scientific norms, and aiming at providing instrumental knowledge for an academic audience. The following simplified figure can illuminate this further.

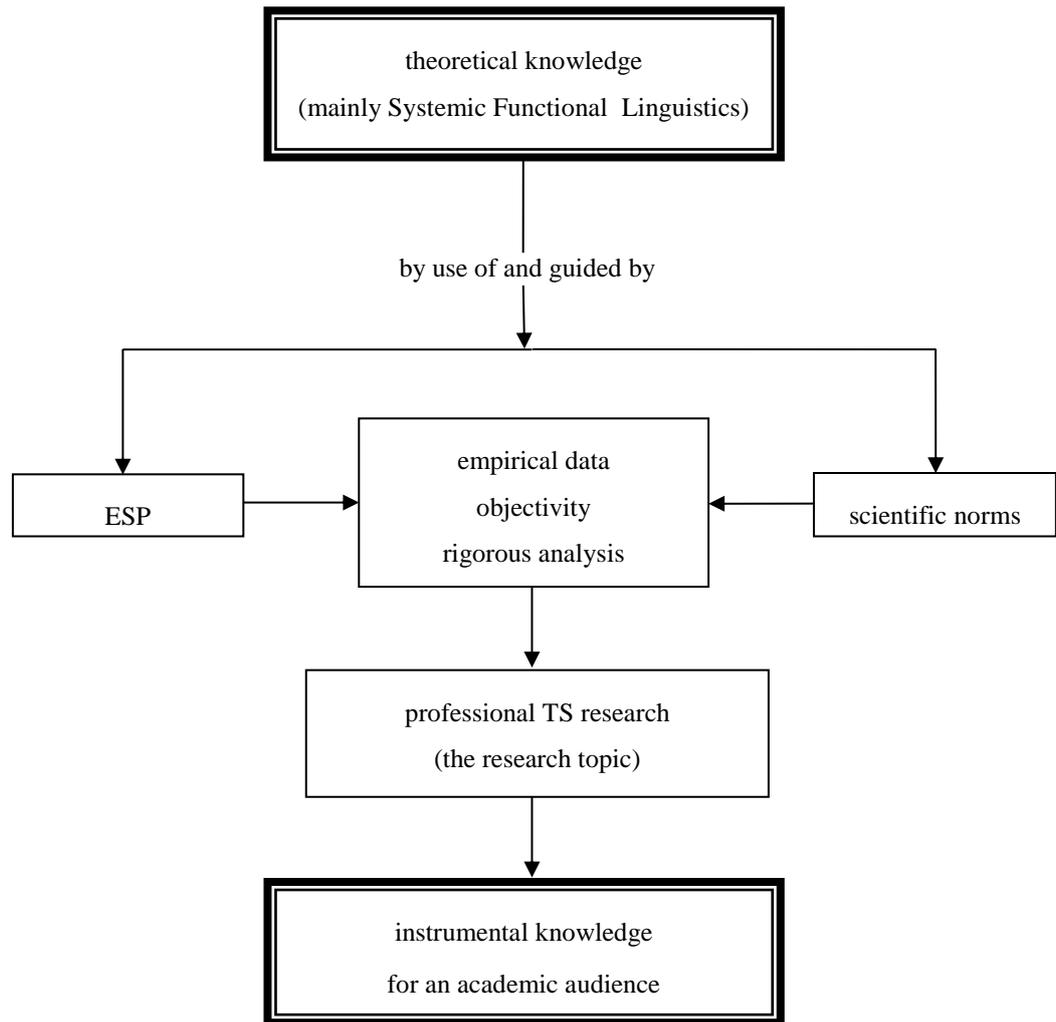


Figure 2.2: Correspondence between Koskinen's Matrix and the research topic

2.3 Definitions, Concepts and Concerns

In the first lines of his book, Munday accessibly provides the definition and nature of TS. Purposefully, the first paragraph is cited in full:

Translation Studies is the academic discipline related to the study of the theory and phenomena of translation. By its nature it is multilingual and also interdisciplinary, encompassing any language combinations, various branches of linguistics, comparative literature, communication studies, philosophy and a range of types of

cultural studies including postcolonialism and postmodernism as well as sociology and historiography. (2008a, p. 1)

Taking into account the main topic of this research, one can easily perceive the conformity with the above definition. Table 2.2 draws a conceptual matching between the main topic of the research and Munday's definition and nature of TS. The interpretation and reoccurrence of an element in other column(s) is quite possible.

Research Topic	The Applicability of SFL	to English-to Arabic	Translation of Fiction:	Assessment and Training Purposes.
Munday's Definition, Concepts & Concerns	<ul style="list-style-type: none"> ● theory of translation ● branches of linguistics 	<ul style="list-style-type: none"> ● communication studies ● language combination ● cultural studies 	<ul style="list-style-type: none"> ● phenomena of translation ● comparative literature 	<ul style="list-style-type: none"> ● academic and training-oriented research

Table 2.2: Correspondence between the research topic and Munday's definition

Bassnett (2002, p.12) adopts André Lefevere's proposal that TS is the discipline that concerns itself with "the problems raised by the production and description of translations". She stresses the practical application of the discipline, the goal of exploring new areas, bridging the gap between the various branches of stylistics, literary history, linguistics, semiotics and aesthetics, and that for Lefevere, the purpose of TS is to "produce a comprehensive theory which can also be used as a guideline for the production of translations" (ibid. p. 17). The same table is reproduced to examine the areas of resemblance between the research topic and Bassnet's definitions, concepts and concerns. Again, the reoccurrence of an element in more than one column is open to interpretation.

Research Topic	The Applicability of SFL	to English-to Arabic	Translation of Fiction:	Assessment and Training Purposes.
Bassnet's Definition, Concepts & Concerns	<ul style="list-style-type: none"> ● theory of translation ● branches of linguistics 	<ul style="list-style-type: none"> ● the act of translating from one language to another 	<ul style="list-style-type: none"> ● description of translation ● production of translation 	<ul style="list-style-type: none"> ● the practical application ● exploring new areas ● bridging the gap

Table 2.3: Correspondence between the research topic and Bassnet's definition

Looking at the field from a slightly different angle, Andrew Chesterman (2009) in his article 'The Name and Nature of Translator Studies', holds the view that Holmes' name, nature and map of TS should be perceived as an element of an agent, the translator, rather than the field of translation. Regardless of the name and his claim of expanding the range of the field, the conception remains the same. He defines the field as:

Translator Studies covers research which focuses primarily and explicitly on the agents involved in translation, for instance on their activities or attitudes, their interaction with their social and technical environment, or their history and influence. (2009, p. 20)

Once more, the following table illustrates the possible correspondence between this definition and the main topic of the research.

Research Topic	The Applicability of SFL	to English-to Arabic	Translation of Fiction:	Assessment and Training Purposes.
Chesterman's Definition, Concepts & Concerns	<ul style="list-style-type: none"> ● the translators' interaction with social environment (SFL is basically developed from social semiotics) 	<ul style="list-style-type: none"> ● the act of translating from one language to another by translators 	<ul style="list-style-type: none"> ● translators involved in translation 	<ul style="list-style-type: none"> ● research focusing on translators involved in translation

Table 2.4: Correspondence between the research topic and Chesterman's definition

2.4 Summary

This chapter has aimed at investigating the features which contribute to the thread running through the present research. The research has been related to the field of TS from two perspectives. Firstly, the fundamental standpoint of the research has been set out by mapping the conformity of its topic with Holmes' map and Koskinen's Matrix. It has been concluded that noticeable features of the present research fall clearly within the scope of the map and the matrix. Secondly, the correspondence of the research topic has been fairly briefly sketched out with three different definitions of TS. It has been inferred that the research topic shares many concepts and concerns drawn from the definitions and aspects of TS as stated by three prominent figures in the field: Munday (2008a), Bassnett (2002) and Chesterman (2009).

Chapter 3

Review of Literature

3.1 Introduction

Drawing on theory as the point of departure for the research, as seen in Figure 2.2, it is appropriate to designate a considerable sizeable chapter to a literature review of the theoretical knowledge pervading the entire work. Theory, in the most general terms, gives any practical or professional research its identity, boundary, justification, and terminology. It is a "**designed** system, and as such it is oriented selectively towards specific and potentially explicit goals" (Halliday, 2009b, p. 60, emphasis in the original). Maxwell argues that a useful high-level theory illuminates what a researcher sees, and provides a framework for making sense of what s/he sees (2013, p. 49). With regard to translation, theory (linguistic theory in particular) enables us to gain confidence in practicing new approaches to the process of translating and product assessment. As theory is basically a partial description of a segment of perceived reality, extreme caution has to be practiced when applying it to a new situation (Boase-Beier, 2010b). However, the only exception to applying a theory in the humanities, unquestionably including TS, is "to test the theory itself" (ibid. p. 26). In view of the fact that the research is based on Halliday's theory of language (text analysis and synthesis in particular) and testing its feasibility in translation practice, the danger of providing a simplistic application is automatically reduced (ibid.).

In a sense then, the theoretical framework of this research has two main domains: the domain of language (linguistics) and the domain of translation as an applied area. This research touches on the process of translating adopted by translators, whether they are professionals or students, and more intensively on the product of translation obtained through applying the social semiotic approach, particularly the model of Systemic Functional Linguistics (SFL) and its 'lexicogrammatical' description: Systemic Functional Grammar (SFG). In simple terms, it is the translator's advantage which the entire research centres around. This research provides theoretical argumentation,

translation evaluation and training experimentation in using the SFL framework in translation. With particular reference to translator training, Chesterman and Arrojo aptly point out that:

Instead of trying to make predictions, a theory of translation should attempt to empower translators-to-be and raise their conscience as writers concerning the responsibility they will face in the seminal role they will play in the establishment of all sorts of relationships between cultures. (2000, p. 159; also cited in Koskinen, 2010, p. 20)

This is, to put it differently, how Translation Studies should be in general. It should concern itself, argues Limon (2010, p. 29), with the process and product of translation as a linguistic phenomenon as well as a form of intercultural mediation taking place in a specific social and cultural context.

Language, as the other theoretical domain of this research, can be approached in two main ways: as a self-contained system, in which the focal point is the structural aspects of language and its mechanics, and as a tool used by people to communicate and interpret their surrounding reality, in short as a tool for communication and social interaction (Elorza and Iglesias, 2002). The first approach, for instance, is represented by Chomsky and other generative grammarians, whereas the other approach is adopted by linguists like Saussure and Halliday. Put in more prosaic terms, Halliday's social semiotic approach to language, which encompasses SFL and SFG, will constitute the backbone of this research.

This chapter is divided into two main broad sections, which are subdivided, in turn, into detailed subsections. This literature review will pursue the interest of this research both diachronically and synchronically in matching the theoretical linguistic framework and its implication for translation, in order ultimately to give rise to suitable serviceable tools required for the three major tasks at hand: analysis, assessment and training. Examples and citations from English as a source language (henceforth SL) and Arabic as a target language (TL) are introduced once they are intrinsic to the flow of

discussion. The first section reviews the key features of the social semiotic approach and its links to other disciplines. The second section deals with the more tangible issue of research: the SFL model and the SFG description. In both sections, theory is not separable from practice. In other words, the flow of discussion will not proceed along merely theoretical lines. Instead of dwelling entirely on the theoretical framework, a practical approach will be taken when the occasion arises to question the feasibility of using the social semiotic approach to language, SFL and SFG in translation.

3.2 A Social Semiotic Approach to Language

On the face of it, and to begin with simple notions and wordings, language is a means of communication, and communication is undoubtedly social. Halliday aptly points out that "To mean is to act semiotically" (2013, p. 16). Randviir (2004, p. 12) remarks that even the study of culture, which is always about communication, is semiotic, and that "Communication (...) is always social." In general, speakers are driven by their societies into many ways of doing culture, and accordingly, language is open to the eco-social environment and, therefore, to the dynamics of social changes (Lukin, et al., 2011). 'Social' here means that language is a part of the social system which is responsible for meaning-making practices (Halliday, 1978, p. 2). This, at the most concrete level, means that language does not consist of isolated sentences, but rather of text or *discourse* in which contexts are inseparable from social value (ibid.). Martine and Rose argue that meaning in the clause can be perceived from the perspective of meaning in texts for the purpose of exploring culture and, in general, the constitutive role of meanings in social life (2003, p. 1). This is an appropriate place to define social semiotics, serving as a point of reference for the subsequent discussion.

Halliday, who is credited with being the originator of the social semiotic view of language in 1960s onwards, clearly defines social semiotics as: "interpreting language within a sociocultural context, in which the culture itself is interpreted in semiotic terms – as an information system" (Halliday, 1978, p. 2). He adds that language according to this approach is viewed as a product of a social process (ibid., p. 1). He argues that

culture (a social reality of a complex network of meaning potential) is a semiotic construct that controls and interprets discourse and the linguistic system (ibid., pp. 2-5). More prosaically, Halliday approaches culture and the social system equally on the basis of their creating a system of meanings (Halliday and Hasan, 1989, p. 4).

Robert Hodge and Gunther Kress, figuring prominently in this field, define this approach as:

Social semiotics is primarily concerned with human semiosis⁵ as an inherently social phenomenon in its sources, functions, contexts and effects. It is also concerned with the social meanings constructed through the full range of semiotic forms, through semiotic practices, in all kinds of human society at all periods of human history. (1988, p. 261)

Culture for them, as defined by Saussure, the originator of modern semiotics, is regarded as "a form of communication, organised in ways akin to verbal language, to be understood in terms of a common set of fundamental rules or principles" (ibid. p. 1).

In order to bring the matter into wider currency, there is a need to discuss, with extended treatment, five interconnected issues. Firstly, the relationship between social semiotics and other fields or disciplines will be appropriately defined and visually represented. Secondly, a comparison of semiotics and social semiotics will be analogically made. Thirdly, some firm substantial premises and concepts of the social semiotic approach will be demonstrated. Fourthly, the elements of a sociosemiotic theory of language will be spelled out in greater detail. Finally, and perhaps most importantly, the feasibility of adopting the social semiotic approach in translation will be discussed within the framework of the SFL model and SFG.

⁵ Semiosis is a process or action of signs (Hodge and Kress, 1988, p. 266).

3.2.1 Social Semiotics and Other Disciplines

Halliday is widely considered to be the founder of the sociosemiotic theory of language and social semiotic approach to language. His view of the relationship between social semiotics and other fields or disciplines is adopted. It goes without saying that social semiotics is intrinsically positioned in a pertinent relation to 'semiotics' – the term will be defined throughout this chapter. In this regard, Thibault (1991, p. 4) firmly states that social semiotics is an intervention of semiotics in theory and practice. Unlike Chomsky, who studies natural language as a formal system that excludes those variations and distinctions related to sociological study of language, Halliday views language as interaction from the perspective of social system (Halliday, 1978, pp. 36-8). The main substantive disagreement between Chomskyan and Hallidayan linguistics lies in the fact that the former is far more concerned with the mental structures underlying human language while the latter is more concerned with the actual use of language (Kenny, 2001, p. 3). Taking things from another angle, Chomsky and Saussure consider linguistics a part of psychology, but Halliday regards this subordination as an arbitrary choice and views linguistics as a branch of sociology; it therefore, needs to be studied for two purposes: understanding the linguistic system by means of an autonomous linguistics and understanding the social system by means of an instrumental linguistics (ibid.). In this respect, Teich firmly states: "The crucial characteristic of SFL is its orientation *outside* linguistics towards sociology" (2003, p. 34, italics in the original). Along the same line, Van Leeuwen argues that social semiotics only actualises and is established once it is applied within the scope of social theory (2005, p. 1). These relations can be diagrammed, in a modest way, by Figure 3.1.

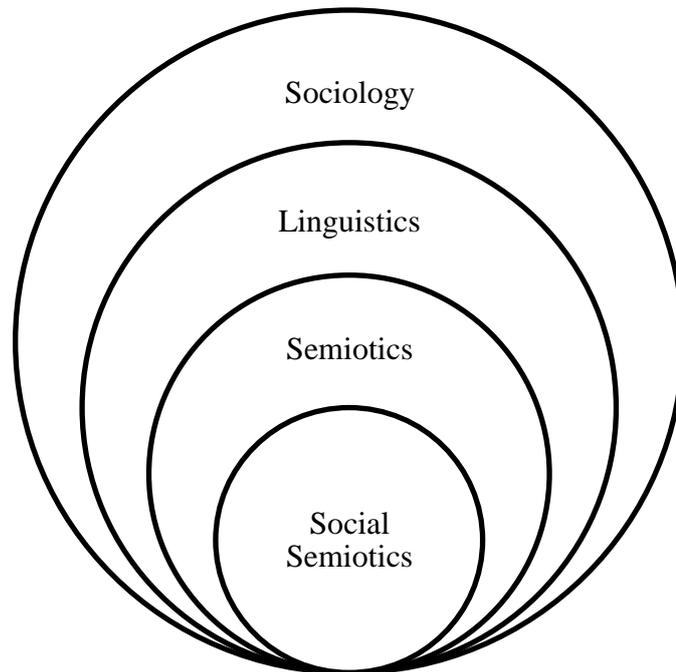


Figure 3.1: The relationship between social semiotics and other disciplines

3.2.2 A Comparison of Semiotics and Social Semiotics

In spite of deriving its principles, concepts and resources from semiotics, social semiotics alters the emphasis to address the view of language mainly as social action. Having defined the social semiotic approach earlier, it is helpful now to define 'semiotics'. This is "A dimension of context which regulates the relationship of texts to each other as signs" (Hatim and Munday, 2004, p. 348). Even though social semiotics is basically rooted in semiotics as an 'initiating' discipline to some extent, it can be viewed as a 'reinvigorating' one. The comparison of semiotics and social semiotics is mainly compiled, deduced and drawn up on the basis of the information given in Halliday (1978), Hodge and Kress (1988), Thibault (1991), Van Leeuwen (2005) and Fairclough (1992). These main differences are usefully parameterised and summarised in Table 3.1.

Parameter	Semiotics	Social Semiotics
Main Interest	It studies the forms of signs, be they words, sounds, images, gestures and objects, in isolation.	It studies how meanings are made and how reality is represented within a semiotic sign system.
Nature of Theory	A sign-production theory.	A social meaning-making theory.
Main Notion	Language is shaped individually.	Language is shaped socially.
View of Language	A semiotic system of signs.	A systemic resource for meanings.
Focus	<p>The focus is on the 'sign'.*</p> <p>*Sign is something that carries meaning, consisting of a form (a signifier), and its meaning (a signified), having the ability to transfer information from a producer that encodes to a receiver that decodes.</p>	<p>The focus is on 'resource'* – the way people use semiotic resources to produce communicative artefacts and events and interpret them. The term 'resource' is used to avoid the pre-given impression of a sign and the irrelevance of its use.</p> <p>*Resource is the tool or material needed to enact a social practice. It is the action and artefact used for communication. In verbal communication, resources are linguistic signifiers – words and sentences – having a signifying potential rather than specific meaning, and need to be studied in the social context. In fact, language can be represented as a resource, in terms of the choices that are available, the interconnection of these choices, and the conditions affecting their access. The term will be discussed at length in relation to the elements of the sociosemiotic theory (see 3.2.4.3).</p>
Nature of Message	Decoding-encoding of signs.	Production-reception of meanings.
Semiotic Modes	<ul style="list-style-type: none"> • It constructs separate accounts of the various semiotic modes, such as the "semiotics of the image" and "the semiotics of music." • It describes semiotic modes as fixed and inherent systematicities. 	<ul style="list-style-type: none"> • It compares and contrasts semiotic modes, investigating how they can be integrated in multimodal artefact and events. • It concentrates on how people regulate the use of semiotic resources in the context of specific social practices and institutions, and in different ways and to different degrees.
Linguistic Structures	They are pairings of form and meaning.	They can be understood in functional terms.
Grammar	Simply speaking, grammar is a code system for producing correct sentences, based on convention.	Lexicogrammar here is the resource for making meanings.

Parameter	Semiotics	Social Semiotics
The View of Text	It refers to a structure of meanings produced by interdependent signs, codes and conventions.	It refers to a structure of messages or message traces which has a social ascribed unity.
View of Discourse	The site where social forms of organisation engage with systems of signs in the production of texts.	It is a practice of representing, signifying, constituting and constructing the world in meanings.

Table 3.1: The main differences between semiotics and social semiotics

3.2.3 Key Premises and Principles of the Social Semiotic Approach

The stimulus for conducting this research is by no means to discuss the validity of the theoretical framework in general as it is a practice-oriented research, though the scene can be deliberately set by incorporating the implication of the discussion of social semiotics for the practical task of translation. In particular, the applicability of the social semiotic approach as a broad theoretical framework for text analysis, assessment and translator training in the practice of English to Arabic translation of fiction will be explored. Consequently, as verbal language is invariably regarded as the most robust and complex communication system by far, the time is now ripe for highlighting some important general key premises and principles of the social semiotic approach. The first two premises are entirely quoted from Van Leeuwen (2005, p. 1) whilst the other two are quoted from Thibault (1991, p. 6, p. 8).

1. Social semiotics is not an autonomous theory, nor for that matter a self-contained or self-generated field. It is actualised once applied to specific instances and problems.
2. Social semiotics is a form of enquiry. It does not offer ready-made answers; rather it offers ideas for formulating questions and, most importantly, ways of searching for answers.
3. Social semiotics is (...) committed to the development and renewal of its links with social theory in ways that are able to articulate the links between semiotic forms and their social uses and functions.

4. The social semiotic conceptual framework is concerned with the systems of meaning-making resources, their patterns of use in texts and social occasions of discourse, and the social practices of the social formations in and through which these textual meanings are made, remade, imposed, contested, and changed from one textual production or social occasion of discourse to another.

3.2.4. Elements of a Sociosemiotic Theory of Language

In this subsection, six elements of a sociosemiotic theory of language, namely text, situation, register, code, the linguistic system and social structure, will be outlined. Discourse as an important sub-element is discussed in detail within the element of register. These constitute Halliday's sociosemiotic model of language use that reveals the contextual features of the text analysed (Elorza and Iglesias, 2002). The discussion will particularly include the implication of each element for translation.

3.2.4.1 Text

A text can best be effectively defined as "a unit of language in use" (Halliday and Hasan, 1976, p. 1). It is "a process of making meaning in context" (Halliday and Matthiessen, 2014, p. 3). In relation to meaning, in particular, it can be comprehensively defined as:

(...) the linguistic form of social interaction. It is a continuous progression of meanings, combining both simultaneously and succession. The meanings are the selections made by the speaker from the options that constitute the *meaning potential*; text is the actualisation of this meaning potential, the process of semantic choice. (Halliday, 1978, p. 122, italics in the original)

Text is a **linguistic unit** (the instances of linguistic interaction in which people actually engage) encoded in sentences which are produced by infinitely many simultaneous and successive choices in meaning, realised as *lexicogrammatical* structure (ibid., p. 109).

Halliday and Matthiessen make the pertinent remark that texts are produced through "ongoing selection in a very large network of systems (...). A language is a resource for making meaning and meaning resides in systemic patterns of choice" (2004, p. 23). Halliday puts this notion in simple words: "Text is meaning and meaning is choice" (1978, p. 137). A text is a **semantic unit** which encompasses an actualised meaning potential (the paradigmatic range of semantic choice which is present in the system, and to which the members of a culture have access in their language), and which concerns itself with the configuration of diverse textual elements, rather than simply words (Halliday, 1978, p. 109; Elorza and Iglesias, 2002). Halliday puts this concept in an analogous realisation format: "A text is to the semantic system what a clause is to the lexicogrammatical system and a syllable to the phonological system" (1978, p. 135). Taking into account Halliday's approach to text, Baker (2011, p. 5) clearly states that "text is a meaning unit, not a form unit, but meaning is realised through form and without understanding the meanings of individual forms [wordings] one cannot interpret the meaning of the text as a whole". Martin and Rose view the text as an object which unfolds as the discourse is produced, and thus has to be analysed as an unfolding process, not a rigid structure linking parts to wholes (2003, p. 186). Hernández-Sacristán (1994, p. 112) points out that "any type of text is a product of a specific sociocultural context". To recapitulate, texts, as seen in a social semiotic approach and the SFL model, are functionally interpreted in relation to context of use, both culturally, in a broader sense, and situationally, in a more specific sense. This idea will furthermore be discussed in the following subsection.

Text type can be discussed in close relation to text. Beaugrande and Dressler put forward one of the earliest effective definitions of text type: "A text type is a set of heuristics for producing, predicting and processing textual occurrences and hence acts as a prominent determiner of efficiency, effectiveness and appropriateness" (1981, p. 186). On a functional basis, a text, argue Beaugrande and Dressler (ibid., p. 184), can be *descriptive* (enriching knowledge spaces focusing on objects or situations), *narrative* (arranging actions and events in a particular sequential order) or *argumentative* (promoting the acceptance or evaluation of beliefs or ideas as true). According to

Beaugrande and Dressler, a text can involve more than one type, such as literary texts which may contain "various constellations of description, narration, and argumentation" (ibid., p. 185). Adopting Werlich's (1976) perspective on text typology, Hatim and Mason (1990; 1997) view text type in terms of the text's *rhetorical purpose*⁶. Hatim and Mason (1990, pp. 153-6) argue that text types are categorised into: *argumentative* (which contextually focuses on the evaluation of relations between concepts), *expository* (which contextually focuses on the (de)composition into/from constituent elements of given concepts) and *instructional* (which regulates the way people act or think). As far as translation is concerned, Hatim and Mason argue that text type indicates how translators make their choices in actual practice of text processing, be it on the macro- or micro-level (1990, p. 150).

In translation, text is the pivotal factor around which most issues revolve. Text is analysed, text is induced, text is synthesised and reproduced as a translated product. Text for a grammarian and, it is believed, for a translator too can be viewed from two related perspectives: an object in its own right – why it means what it does and why it is valued as it is – and as instrument – what the text reveals about the system of the given language (Halliday and Matthiessen, 2014, p. 3). Text, then, is the "central defining issue in translation" (Neubert and Shreve, 1992, p. 5). Text is so substantial for any related issues in translation that it is hard to ignore as a matter of focus. For one thing, text analysis, in SFL terms, demonstrates the functional organisation of its structure and how these structures are made up by the large network of systemic choices, which themselves characterise the identity of the text as a product (Halliday and Matthiessen, 2014, pp. 23-4). For another, texts are key resources of two fundamental issues in translation, whether in theory or in practice. These are the domains of generalising about translation and defining the translation process (ibid.). In fact, Halliday, whose theoretical framework is entirely adopted in this research, has placed great value on text in translation. Although he does not contribute directly to the field of translation, his

⁶ A rhetorical purpose can be effectively defined as "the set of mutually relevant communicative intentions that readers distinguish on the basis of their previous experience of similar texts" (Izquierdo, 2000, p. 285). It is mainly a function-oriented feature of the text (ibid.).

approach, model and realisation are adopted and applied by many figures in the field. In summary, it can be pointed out that he approaches translating and improves translations through engaging with language as text (Halliday, 2001).

3.2.4.2 Situation

It is axiomatic that a given situation is necessarily inferred from its text. Halliday states: "The situation is the environment in which the text comes to life" (1978, p. 109). Closely related, *context of situation*, points out Halliday, is the "immediate environment in which a text is actually functioning" (Halliday and Hasan, 1989, p. 46). It reflects the occasional occurrence or use of a certain utterance in a given situation, and that which makes receivers able to predict what text is yet to come (ibid.). Halliday agrees with Firth's concept of context of situation as "an abstract representation of the environment in terms of certain general categories having relevance to the text" (Halliday, 1978, p. 109). Nonetheless, he goes further to develop a more comprehensive and abstract notion than Malinowski's notion of context of situation. Malinowski uses this term to refer to "the events and actions that are going on around when people speak" (Halliday, 2007, pp. 271-2). Halliday's concept involves certain alterations, in that he introduces *situation type* and *social context*, which are basically interpreted as a semiotic structure (ibid.). A situation type is "a constellation of meanings deriving from the semiotic system that constitutes the culture" (ibid.). Similarly, a social context encompasses "those general properties of the situation [Field, Tenor and Mode] which collectively function as the determinants of text, in that they specify the semantic configurations that the speaker will typically fashion in contexts of the given type" (ibid. p. 110). Sosnoski (2011) accentuates this concept further, thus making it extremely relevant to the purpose of translation. He points out: "The problem is that texts bring more meanings than those expressed in the words they contain. Consequently, texts can only be understood in the context of the situations in which they were written or spoken" (Sosnoski, 2011).

To bring this matter into reality, and to lend weight to the previous terminology, there is a need for a vivid example. The expression *you're being stupid* in English, interestingly

cited by Sosnoski (2011), can mean different things according to different social contexts of social situations: "[1] a parent teaching a game to a child who continues to make mistakes playing it; [2] a teacher responding to an erroneous remark a student makes in class; [3] one child to another while playing a game of Monopoly; and [4] a [wife] chiding her [husband] for his inability to grasp an innuendo while watching a misogynistic film on TV". Of course, this is a decontextualised example relevant mostly to spoken language, yet it is useful to explain the idea of how the difference in the context of situation influences the intended meaning or message. Certainly, such variations of situation are directly relevant to translation, and as a corollary need to be tackled carefully as the translator is deeply committed to reproducing the same message as that of the ST.

Another point worthy of enlightenment in this regard is the constructional elements of the situation. Halliday (1978, pp. 142-3) mentions three elements of the situation: the social action (in which the meaning is perceived within the social system), the role structure (which entails the cluster of socially meaningful permanent or specific-related situational relationships), and the symbolic organisation (which includes the particular function of the social action and the medium involved). These are respectively called: Field, Tenor and Mode. As will be explicated below, the semiotic structure of a context of situation or a situation type, argues Halliday (*ibid.*, p. 110), can be rendered through these register dimensions: Field (the ongoing social activity), Tenor (the role relationships involved) and Mode (the functions assigned to language and the symbolic channel). Halliday argues that they collectively function (respectively as *play*, *players*, and *parts*) to constitute the configuration that brings the text into being (Halliday and Hasan, 1989, pp. 45-6). They are used intuitively by the language speakers to reflect the variations of language use. In connection with this, Eggins (2004, p. 9) points out that "we will not use language in the same way to write as to speak (mode variation), to talk to our boss as to talk to our lover (tenor variation) and to talk about linguistics as to talk about jogging (field variation)". These variations interact in the clause which is a multifunctional unit of language (Fontaine, 2013, p. 10). In keeping with the same

vantage point, Nida argues that different interpersonal contexts decide the different forms of language used: ritual, formal, informal, casual and intimate (2001, p. 17).

After discussing situation and context of situation in some detail, it is time to go up to a larger stratum. Beyond the context of situation lies the *context of culture*. It is larger because it corresponds to a wider stratum: the social processes that make it possible for the language to mediate and function for use. Eggins points out that Malinowski stresses "the need for the researcher to understand the cultural context in which the language was being used" (2004, p. 88). Malinowski proposes the two contexts and notes that a language only has meaning when these contexts are explicitly or implicitly clear to the audience (Katan, 2004, p. 99). Although in developing a functional account of language, Malinowski stresses the essential semantic role of the context of situation and the context of culture based on the artificial distinction between 'primitive' and 'civilised' languages, he does not formulate more precisely the nature of these contexts (Eggins, 2004, p. 89). Halliday, by contrast, does not develop a separate linguistic model for the context of culture, but rather, builds a descriptive model of the context of situation in some indication of the cultural background (Halliday and Hasan, 1989, p. 47).

Halliday contributes significantly to the concept of context in general. His major contribution to context is that he correlates systematically between the organisation of language itself (the three types of meaning or *metafunctions*) and specific contextual features (Eggins, 2004, p. 90). The context of culture, points out Halliday, consists of a set of factors that "determine, collectively, the way the text is interpreted in its context of situation" (Halliday and Hasan, 1989, p. 47). These may include, for example, social and institutional concepts (ibid., p. 46). The study of language in context means a study of the situation as the context for language as text and the culture as the context for language as system (Halliday, 2007). Certainly, context of situation is sourced from context of culture. The former exclusively determines a constellation of choices, such as the choice of style, grammatical structures or patterns and lexical items of the text. The latter, on the other hand, exclusively determines the structure of the text according

to the social purpose (or *Genre*⁷) of the text. Despite that, the influence relation can be approached conversely. Specifically, a certain context of situation seeks a certain text to convey the intended message, and conversely, a certain text creates a certain situational context (Hu, 2010). This concept will be elaborated further later in this chapter. Nevertheless, Figure 3.2 can visualise the inward stratal relations at the text synthesis level. Conversely, it can be argued that text analysis is supposed to be approached outwardly. To put it differently, context of situation can be perceived, embedded in register, through an SFL analysis of the discourse semantics of a given text. Likewise, analysing context of situation through systemic analysis of the register dimensions or parameters (Field, Tenor and Mode) enhances by all means the understanding of the associated context of culture or the social purpose of the text.

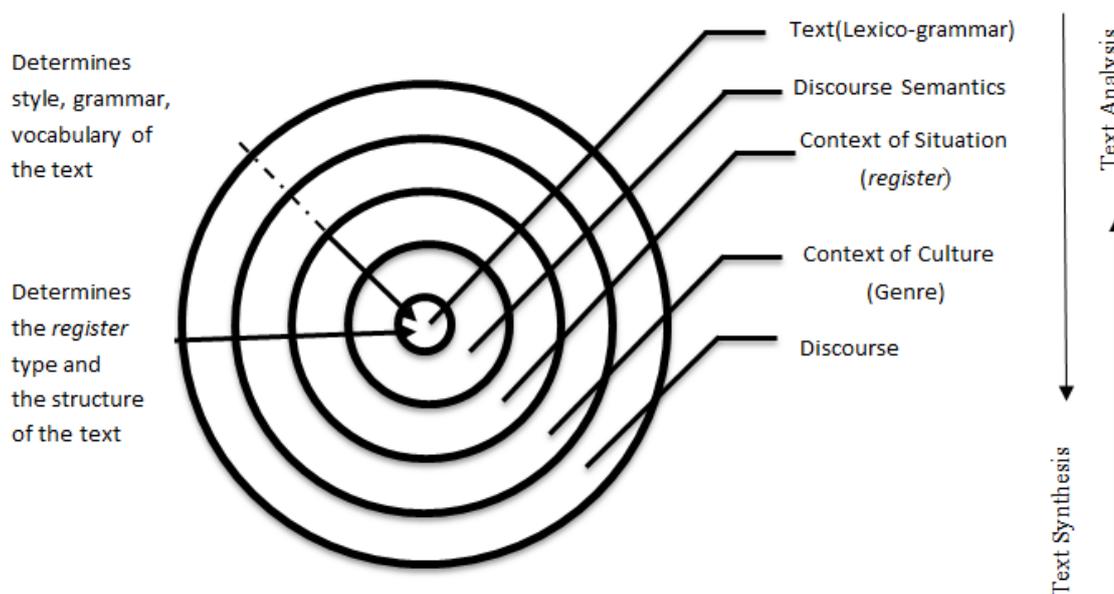


Figure 3.2: Stratal relations and text synthesis and analysis: adapted and developed from Martin and Rose (2003, p. 4) and Munday (2012a, p. 138)

⁷ Genre has those features perceived by language users as being appropriate to a certain social occasion (Hatim and Mason, 1990, p. 140). Genre, argues House, "connects texts with the 'macrocontext' of the linguistic and cultural community in which texts are embedded" (2001b, p. 248; 2015, p. 64).

Stratification, in simple terms, means that one layer or stratum operates in the environment of the broader layer and provides the environment for the narrower layer or stratum. Halliday and Matthiessen, for example, state that "lexicogrammar appears in the environment of semantics and provides the environment for phonology" (1999, p. 4). Or in Kim's words: "a higher level provides a context for its lower level or that a higher level cannot exist without its lower level" (2007b, p. 225). The main reason for initiating the stratification relation system in SFL is to show that "grammar is not the only resource that is linguistically relevant (...) there must be a way of relating context to the actual linguistic resources, such as grammar" (Teich, 1999, p. 13).

Discourse has to be viewed in relation to grammar and social context or activity. From the perspective of SFL, this is the language model in social context in which discourse nestles within social activity and grammar nestles within discourse (Martin and Rose, 2003, p. 4). In this case, discourse analysis of Field, Tenor and Mode identifies the role of social activity affecting the lexicogrammatical choices of the text. Coffin, Lillis and O'Halloran (2010, p. 4) point out that text is the linguistic trace of discourse and that discourse is the whole communicative event associated with a text. In relation to this, Hodge and Kress accessibly differentiate between discourse and text, pointing out that discourse represents the process which construes the product (text), and that discourse is realised through text and, in consequence, an analysis of text must yield to an analysis of discourse (1988, p. 264).

In translation, the combination of situation, context of situation and context of culture undeniably exerts a decisive influence on ST analysis and TT synthesis. In relation to this, Firth points out: "Translation problems can be solved in the mutual assimilation of the languages in similar contexts of situation and in common human experience" (1968, p. 87). Halliday argues that "Linguistics cannot offer any theory of translation equivalence. There can be no such general theory. What it can offer, on the other hand, is a theory of context" (1992, p. 16). Yet, he points out in the same article that a theory of language, if it is to be relevant to translation, has to be a theory of meaning as choice, i.e. metafunctions. In fact, approaching situation in translation of fiction linguistically is particularly significant. On this matter, Puurtinen argues that "In literary discourse,

change of linguistic form is often the only indication of a change in situation" (1998, p. 160). In summary, Oittinen points out: "The situation has an effect on what we mean by our messages and how we understand them, and inevitably, how we read and translate these messages" (1992, p. 76).

Many scholars, such as Leuven-Zwart (1989), House (1997), Munday (1997), Matthiessen (2001) and Souza (2013) ground their translation assessment models on a linguistic framework (basically SFL), like strata and metafunctions. Hatim and Mason (1990, p. 36) and House (1997, p. 37) interestingly remark that Malinowski's theory of context is basically based on translation purposes and culture attitudes as he investigates ways of interpreting a language belonging to a remote culture for English-speaking readers. In his book 'Contexts in Translating', Nida apparently ascribes the failure to comprehend the ST and reproduce the meaning of its discourse in the TT to a failure to consider the contexts of the ST (2001, IX). In agreement with this, House argues that context "includes the situation in which a text unfolds and which must be taken into account for the text's interpretation" (1997, p. 36). Put another way, text is rooted in a specific situation, and inevitably this situation has to be carefully considered by the translator in order for the translation to cohere with the original and reestablish, in as effective a manner as possible, the same message as intended by the ST producer with an analogous effect on the receptors. Reproducing the same situational context can sometimes result in translation shifts. These are the small linguistic changes that occur between ST and TT at all levels including text, Genre and discourse (Hatim and Munday, 2004, p. 26, p. 349). What matters most is the social purpose or content of the message, a common feature of all languages, rather than the form of that message, a language-specific feature. To put this reciprocal illumination to work, the different social relations in Sosnoski's four different situations of the phrase *you're being stupid*, cited above, will be reflected in different 'meanings' in Arabic:

Situation	Meaning
a parent teaching a game to a child who continues to make mistakes playing it	لا تُكُنْ غَبِيًّا. BT: Don't be so stupid.
a teacher responding to an erroneous remark a student makes in class	هَذَا غَبَاءٌ مِنْكَ. BT: This is stupid of you.
one child to another while playing a game of Monopoly	أَنْتَ غَبِيٌّ بِالْفِعْلِ. BT: You are absolutely stupid.
a [wife] chiding her [husband] for his inability to grasp an innuendo while watching a misogynistic film on TV	كَمْ أَنْتَ غَبِيٌّ! BT: How stupid you are!

Table 3.2: Examples of English situations and their Arabic meanings

It stands to reason that maintaining a context of situation in translation is more complex than just treating the simple concept of situation. This is due to the register dimensions (Field, Tenor and Mode) involved in the context of situation, which should be carefully maintained by the translator and analytically considered by the assessor. In doing this, the translator, in particular, can identify the register through the analysis of the lexicogrammatical features of the ST, and then try to produce a TT that appropriately corresponds to the original context of situation at the level of the three lines of meanings: *ideational* meaning by Field, *interpersonal* meaning by Tenor and *textual* meaning by Mode (Hu, 2010). These three meanings, which represent the functional components of the semantic system, will be discussed at greater length later in this chapter (see section 3.2.4.4). On the assessor's part, House clearly states: "Whenever the 'context of situation' is explicitly taken into consideration, features of the texts and how they are perceived by language users are also necessarily accounted for" (2001a, pp. 133-4).

3.2.4.3 Register

Indisputably, the different kinds of context of situation, discussed above, need to be adequately represented by means of suitable functional-oriented kinds in language use. This is simply the concept of register. Variation in language use is subject to two main

dimensions: reference points, such as region, class, education, ethnicity, gender, age etc., and/or situation, which are approached through register or 'stylistic variation' (Montgomery, 1986, p. 105). Hatim and Mason (1997, p. 22) emphasise the richness of the social semiotic and functional-oriented perspective of analysis. Overall, register investigates how language is appropriate to context. Halliday (1978, p. 110) mentions that the term 'register' in this sense was first used by Reid (1956). Halliday defines a register as "the configuration of semantic resources that the member of a culture typically associates with a situation type; it is the meaning potential that is accessible in a given social context" (1978, p. 111). This configuration of meanings, points out Halliday, is basically associated with a specific situational configuration of Field, Tenor and Mode (Halliday and Hasan, 1989, p. 39). In written language, since register is featured and recognised by the choice of lexical items and grammatical structures, termed lexicogrammatical choices, it is defined in terms of the selection of meanings that reveals the variety to which a text belongs (Halliday, 1978, p. 111). The concepts of register and register analysis are of vital importance in the assessment part of the current research. The discussion will pursue this at length.

According to Halliday, registers can be classified into *closed registers* and *open registers* (Halliday and Hasan, 1989, pp. 39-40). Closed registers (referred by Firth as *restricted languages*) are featured by fixed and limited possible messages, and lack the scope for individuality or creativity. Halliday (ibid.) exemplifies such registers by the language of the armed services and games. Open registers, on the other hand, are more open to varieties. Interestingly, he cites examples of registers moving from lower to higher openness: language of tickets, greeting cards, recipes, technical instructions, legal documents, auctions, doctors and patients, classrooms, and finally the language of everyday social interaction with people, be it to entertain, teach, direct or persuade (ibid.). Unquestionably, literary language, including fictional prose as the genre in this research, is firmly positioned in this final or highest category. Another perspective of classification adopted by Halliday (Halliday and Hasan, 1989, pp. 41-2) looks at register apropos of varieties and dialects. It is a use-and-user-oriented approach. Register can be categorised into: *dialectal variety* (dialect or user variety), which is determined or

differentiated by temporal, regional and social variables, and *diatypic variety* (register or use variety), which is determined or differentiated by Field (function), Tenor (addressee relationship) and Mode (medium), that aggregate to serve the purpose of featuring the semantic configurations that are typically associated with particular social contexts (Halliday and Hasan 1989, p. 41; Bell 1991, p. 181).

Field, Tenor and Mode should be taken in consideration when making sensible predictions about the semantic features of a text and analysing its register. There is a need to specify the social semiotic properties of the context in terms of Field, Tenor and Mode (Halliday, 1978, p. 110). These constitute "a conceptual framework for representing the social context as the semiotic environment in which people exchange meanings" (ibid.). They are called Field of discourse, Tenor of discourse and Mode of discourse, as suggested by Halliday (Halliday and Hasan, 1989, pp. 30-4). These terms, to hedge the assertion, are also adopted by other prominent figures in the field of translation, like Bell (1991, p. 184), who affiliates them under the domain of *discourse parameters*, though Hatim (1997, p. 29) refers to them as *levels of basic communicativeness*, whilst Matthiessen, Teruya and Lam refer to them as *parameters of context* (2010, p. 95, p. 2017). Discourse is an emphatically social category that entails text and message, which, in turn, signify the specific social relationships at the moment of their production or reproduction (Hodge and Kress, 1988, p. 6). In this respect, Fairclough usefully points out that "discourse is use of language seen as a form of social practice, and discourse analysis is analysis of how texts work within sociocultural practice" (1995, p. 7).

As long as language use is kept in focus, and in the light of this discussion, it is helpful at this point to define the well-established term 'discourse', departing from different standpoints. Generally, discourse is "the social process in which texts are embedded" (Hodge and Gunther, 1988, p. 6). In semiotic terms, it is "the site where social forms of organization engage with systems of signs in the production of texts" (ibid.). In social semiotic terms, it is a practice of representing, signifying, constituting and constructing the world in meanings (Fairclough, 1992, p. 64). This is to assert that this research adopts the last concept of register, both in theory and practice. In theory register, points

out Halliday, uses three notions as bases of authority and reference: the notion of context of situation (interpreted by means of three variables: Field, Tenor and Mode of discourse), the notion of functions of language (identified as the functional components of the semantic system of language: ideational, interpersonal and textual) and the systematic relationship between the two (Halliday and Hasan 1989, p. 29). Register analysis, as will be discussed thoroughly in this chapter, is a key factor in the translation assessment models adopted in this research. Hatim (2009a) questions the ongoing debate about the utility of matching SL and TL registers in a translation activity, and which variable or dimension is adequately recognised as more important to maintain *equivalence*. Fawcett assumes that register analysis is very useful for translators for understanding the ST, selecting the appropriate register in the TL and building up their own 'repertoire' of analyses when tackling new subject matters (1997, p. 83). In what follows, these three register dimensions or parameters or Halliday's "situational determinants of text" (1978, p. 11) will be discussed at some length, as well as the three functional components of the semantic system of language (as will be widely discussed later in section 3.2.4.5), investigating, at this stage, the relationship between the two notions.

3.2.4.3.1 Field of Discourse

The Field of discourse of a text is related to, but does not totally correspond to, the subject matter or the main topic of the text. This lack of correspondence is due to two reasons: firstly, a Field can be marked by a variety of subject matters at the same time, and secondly, in certain fields the use of language is ancillary in the first place, as in swimming lessons (Hatim and Mason, 1990, p. 48). Bell (1991, pp. 191-2) classifies the field, or as he terms it a 'domain', into three senses, starting from the narrow sense and arriving at the much broader sense: (1) function – using language for a specific function, e.g. to inform, express, instruct, persuade, or any *speech act*⁸ –, (2) a more

⁸ A speech act can be defined as "an action performed by the use of an utterance to communicate in speech or writing, involving reference, force and effect" (Hatim and Munday, 2004, p. 349). The

general function (e.g. an emotive function) and (3) macro-institutional activity (e.g. family, friendship, education, etc.). In terms of the narrowest sense, Bell (ibid.) goes on to argue that language can play three major roles: cognitive (expressing concepts, ideas and/or thoughts), evaluative (expressing attitudes and values) and affective (expressing emotions and feelings). Developing a specific description, on the other hand, the Field of discourse, particularly in relation to social semiotics, is "the kind of language which reflects (...) the purposive role or the social function of the text" (Hatim and Mason, 1990, p. 48). Thus, the focus here is on particular social processes which serve the interest of various social institutions (Hatim and Munday, 2004, p. 83).

Maintaining the Field of discourse in translation can be particularly important because a translator does not deal with one culture, but rather with normally two different and relatively discrete cultures. The translator should consider the Field of discourse seriously especially when the SL and TL vary considerably in the power, experience and establishment of scientific and technical culture (Hatim and Mason, 1990, p. 48; Hatim and Munday, 2004, p. 189). To elaborate, the translator has to draw heavily on the terminology used in the target language text and the extent to which it is familiar to target language readers (henceforth TLRs).

reference is the sense of a specific event (or *locutionary act*), person or object, the force (or *illocutionary act*) is the speech act, and the effect (or *perlocutionary act*) is the consequence which may or may not be related to the functional force involved (Hatim, 2009b). The illocutionary force is taken to refer to "the performative intention which the utterance serves" (Hervey, 1998, p. 11). In SFL terms, Halliday and Matthiessen (2014) refer to speech acts as *speech functions*. For example, *I wouldn't ... if I was you* is a command, congruently analysed as *don't*, functioning as warning (2014, p. 707). The application of *speech act theory* in translation involves mainly two directions: (i) finding a 'local' equivalent in the TL that (re-)performs the locutionary and illocutionary acts in order to produce the same perlocutionary force, or (ii) admitting the fact that text is a complex communicative edifice which stipulates a more 'global view of the text organisation reflecting the indeterminacy that a particular speech act exhibits within the frame of text type-oriented TS (Hatim, 2009b). Warner (2014), however, points out two limitations of speech act theory in literature: (i) the speaker-oriented departure of the theory makes it more difficult to apply, as the author's intention is not easy to figure out nor is it used as a standard for judging the success of a literary work, and (ii) the structure-governed nature of speech act theory makes it improper to deal with discourse on the level of the text.

3.2.4.3.2 Tenor of Discourse

The Tenor of discourse of a text concerns, in general terms, the relationship between a producer and a receiver of a text. As far as social semiotics is concerned, Tenor maintains, argue Hatim and Munday (2004, p. 81), the social distance between the two parties of a language activity. In this respect, Martin and Rose remark that Tenor emanates from the nature of the participants, and the kind of social role relationships obtained in a language activity (2003, p. 243). Many scholars (like Hatim and Mason, 1990, pp. 50-1; Hatim and Munday 2004, p. 81) have adopted the categorisation of Tenor into *personal Tenor* and *functional Tenor* to avoid the possible formality/Field and formality/Mode overlaps. While personal Tenor is basically related to the various degrees of formality maintained in a language activity, functional Tenor operates beyond that level and functions to describe the intention of using language in a given situation relating to a particular activity (Hatim and Mason, 1990, pp. 50-1). The latter is operationally similar to Bell's language functions (cf. section 3.2.4.3.1). The Tenor of discourse can also be looked at from a scale or level perspective. Characterised by overlap and interaction, Bell (1991, pp. 186-8) suggests that Tenor can be divided into four scales for a text: *formality* (which attributes the attention and importance the producer of a text gives to the structuring of the message, mainly through the choice of lexical items and grammatical structures), *politeness* (which demonstrates the distance in the addressee relationship, maintained, for example, by means of different address systems, soft expressions and certain grammatical structures), *impersonality* (which is reflected in the avoidance of direct reference to the producer) and *accessibility* (which reveals the assumptions the producer makes regarding the knowledge shared between her/him and the receiver).

Another strongly linked point regarding Tenor is the relationships of *power* and *solidarity*. They basically emanate from the level of the social distance maintained in a language activity between producer and receiver on the one hand and between both participants and the subject matter on the other (Hatim and Mason, 1997, p. 22). As its name indicates, while a power relationship is enacted when the text producer is able to impose her/his own plans without considering the receiver's plans, solidarity, by

contrast, is actualised once the text producer waives her/his right of power and works with the receiver as a team (Hatim and Munday, 2004, p. 346). Interestingly, these can be referred to respectively as the *exclusiveness* and *inclusiveness* of the receiver in any language activity, and this is truly applicable to the translator of a more or less academic orientation (ibid. pp. 204-5). Martin and Rose (2003, pp. 248-9) qualify these relationships or variables respectively as being vertical or horizontal dimensions of interpersonal relations or meanings. They base the distinction on a variety of changeable elements related to the interpersonal relations, like the degree of generalisation, awareness, literacy and institutionalised activity (ibid.). Martin (2010, p. 24) refers to these relationships by the broader terms of *status* (for power) and *contact* (for solidarity). He explains the variety of Tenor in relation to different degrees of relations, like regularity, feelings and emotional bonds (ibid.).

In translation, Tenor ranks as an essential element in the process of translating as well as in translation quality assessment, as will be discussed extensively in due course. The translator has to pay special attention Tenor, especially if the SL and TL belong to distinct cultures (Hatim and Mason, 1990, p. 90). A related point to the variable of Tenor, which is firmly associated with the interpersonal function, is the *appraisal*⁹ or choice of evaluative language which has to be carefully considered in translation (Munday, 2012a, p. 152). This notion will be discussed in some more detail in relation to Munday's contribution to the theory and practice of SFL in translation (see section 3.3.2).

It is useful to point out that the scales of formality, politeness, impersonality and accessibility have to be seriously taken into account to serve the purpose of creating an *equivalent effect* on the TLRs, which is one of the most sought after achievements in translation, as proposed by Jakobson, Nida, Newmark and Koller (Munday, 2012a, pp. 58-75). The notions of equivalence and equivalent effect are further discussed by some scholars in the field, such as Baker (2011) and Bassnett (2002). Whilst Baker dedicates

⁹ Appraisal is "an approach to exploring, describing and explaining the way language is used to evaluate, to adopt stances, to construct textual personas and to manage interpersonal positionings and relationships. [It] is an extension of the linguistic theories of M.A.K Halliday and his colleagues (Systemic Functional Linguistics)" (White, 2012).

her entire work to equivalence at the different levels of the word, phrase, grammar, text and so on, Bassnett devotes a section to equivalence problems (pp. 32-8). This evocation of an equivalent effect can be termed *fidelity* or *faithfulness* (Shuttleworth and Cowie, 1997, p. 57), although *fidelity* or *faithfulness* is more generally taken to refer to how loyal the TT is to the ST (Nord, 2005, p. 33).

In SFL, the notion of equivalence in translation does not receive similar attention, though SFL centres on the function as the focal point of concern. Four contributions can be fairly briefly reviewed in this light. Reiss and Vermeer introduce *skopos* theory that applies to a functional text type model in translation, according to which a TT must match the function or purpose of the ST (Munday, 2012a, p. 122). They differentiate between equivalence and *adequacy* in translation: equivalence is achieved when the TT achieves the same communicative function as the ST, and adequacy is maintained when the relationship between the texts does not reflect this functional match (House, 2001a). In this regard, Halliday calls for the total process and relationship of equivalence between two languages (Manfredi, 2008, p. 26). In distinguishing between two types of translation: *overt* and *covert* translation, House (2001a) states the goal of a covert translation to be the achievement of functional equivalence. In his investigation of the purpose of translation, Bell supports finding functional equivalence that preserves the context-sensitive communicative value of the text rather than finding formal equivalence that only preserves the context-free semantic sense (1991, p. 7).

3.2.4.3.3 Mode of Discourse

Coming to the final parameter, the Mode of discourse of a text is basically featured by the medium or channel used in a language activity (Hatim and Mason, 1990, p. 48). This choice of the medium, whether written or spoken, unquestionably affects the formation of a text as a resource of meaning (Halliday, 1978 p. 144). Halliday goes further to assume that Mode is firmly located in a certain environment in which a text serves different social functions, such as expository, persuasive and descriptive and the like (ibid. pp.144-5). Consequently, Mode appropriately reflects not only the choice of

medium and the implication of this choice on text formation, but also the social function(s) of the given text (Hatim and Mason, 1997, p. 22).

Mode, argue Martin and Rose, can be interestingly approached from the perspective of "the amount of work language is doing in relation to what is going on" (2003, p. 244). Their contribution on this matter can be outlined in their classification of three kinds of text in relation to the Mode involved: (1) *context dependent*, in which the situation plays an important role in processing the participant identification (e.g. a speech activity which involves a heavy use of exophoric references to people, places and things), (2) *context independent*, where a reader can understand the references easily without being given a co-text (e.g. a written bibliography), and (3) *context free situation*, which is characterised by generalising across it (e.g. a written piece of a general topic). In translation, if the validity of these variations in the ST is assumed, then it is indispensable that they are adopted in the TT to ensure a reproduction of the meaning carried by the mode.

Another interesting point to be added in the discussion of Mode which incontestably needs to be stressed in translation is Bell's (1991, pp. 188-90) four scales or categories of Mode of discourse: *channel limitation*, *spontaneity*, *participation* and *privateness*,

1. Channel limitation indicates the reflection of the choice of channel, be it unitary or multiple, in the level of explicitness or implicitness in the signalling of meanings.
2. Spontaneity refers to the amount of attention paid to the deliberation, planning and/or editing of a text. For instance, in translating a spoken activity, which is sometimes non-fluent and loaded with a great number of pauses and incomplete utterances, into a written TLT, the translator has to pay exceptional effort to grasp the complete line of meaning and render it successfully.
3. The Participation scale emphasises the possible degree of feedback between sender and receiver in a language activity. Whereas in spoken language, the feedback is mostly continuous and non-verbal, in written language instant

feedback is absent, and thus, the writer can sometimes stimulate the reader by making an occasional use of the techniques of temptation and illustration.

4. Privateness is concerned with the number of receivers a text is forwarded to. The more receivers are intended, the less private a text is in terms of shared assumptions and knowledge, and vice versa.

In translation, dealing with Mode is quite challenging, especially in a speech activity or a written dialogue. This is due to the occasional fluctuations of spoken sub-modes of the ST and how they are appropriately or inappropriately reproduced in the TT, e.g. the problem of reproducing phonological features in subtitling (Hatim and Mason, 1990, p. 50). Likewise, if the text is written to be spoken, as in radio or TV scripts, it is likely that the end is deleterious effects and poor translated materials (Hatim and Munday, 2004, p. 190).

An important point raised, which relates to the Mode variable, is the concepts of *coherence* and *cohesion*. Coherence and cohesion of a text cannot be easily dissociated from each other. They constitute networks of relations organising and creating a text (Baker, 2011, p. 230). Therefore, they are parts of the textual metafunction of language (Munday, 2009, p. 172). Halliday summarises the entire issue:

Cohesion is a necessary but not a sufficient condition of coherence. The different types of cohesive relation are the fundamental resources out of which coherence is built. But the mere presence of cohesive ties is not by itself a guarantee of a coherence texture¹⁰. These resources have to be organised and deployed in patterned ways. (2009a, p. 367)

On this point, Fairclough effectively glosses the relationship between coherence and cohesion by pointing out that "a text only makes sense to someone who makes sense of it, someone who is able to infer those meaningful relations in the absence of explicit markers [cohesive devices]" (1992, p. 84)

¹⁰Texture is the "successful organization of a text in its context" (Hatim and Munday, 2004, p. 351)

Despite their reciprocal involvement in creating the textual meaning in the subfield of *pragmatics*¹¹, coherence and cohesion have considerable differences. These differences, parameterised in Table 3.3, are drawn up on the basis of the information given in Halliday and Hasan (1976, p. 4), Halliday and Hasan (1989, p. 48), Blum-Kulka (1986, p. 17, p. 21), Fairclough (1992, p. 83), Eriksson (2003, pp. 19-20), Al-Amri (2005, pp. 24-5), Munday (2009, pp. 171-2), Baker (2011, pp. 230-5), Munday (2012a, pp. 146-8) and Halliday and Matthiessen (2014, p. 114).

Parameter	Coherence	Cohesion
Definition	It is the network of conceptual relations which underlie the surface text. It refers to the accessibility, relevance and logic of the concepts and relations underlying the surface texture of a text.	It is the network of surface relations which link words and expressions to other words and expressions in a text. It provides resources for managing the flow of discourse and creating semantic links within or across sentences. Further, it refers to relations of meaning that exist within the text, and that define it as a text.
Viewed as	A covert potential meaning relationship among parts of a text.	An overt relationship holding between parts of a text.
Referential Concept	psychological concept	semantic concept
Dependency	It depends on the receiver's knowledge and experience of the world. Therefore, it actualises through the textual cohesion of the text.	It depends on the systematic lexicogrammatical resources.
Nature	Property of all languages.	Language-specific property.
Function	It creates logical relations and links beyond the surface text so that it yields sense.	It creates the semantic unity of the text, linking its given information together at the surface text. More narrowly, cohesion expresses the semantic continuity from one part of the text to another part of the same text.
Scope of Action	The internal textual world.	The external textual world.
Continuity ¹²	Continuity is maintained at the level of the overall meaning and context of the text. Continuity of senses can be Established either through <i>supplemental coherence</i> ¹³ ,	Cohesive devices maintain continuity at the level of lexicogrammatical structures, and therefore have a bearing on the texture, style and meaning of the text.

¹¹ Pragmatics is "the study of language in use. It is the study of meaning not as generated by the linguistic system but as conveyed and manipulated by participants in a communicative situation" (Baker, 2011, p. 230).

¹² Continuity refers to the ways by which a communicator produces a text that is coherent and relevant to the subject matter, and that is built by means of certain kinds of bridges and paths so that her/his receivers can easily follow it (Brown, 1983).

¹³ Supplemental coherence is the minimal type of coherence by which a particular continuity of sense between parts of an utterance is achieved (Charolles, 1983, cited in Baker, 2011, pp. 234-5).

Parameter	Coherence	Cohesion
	at a low level or <i>explanatory coherence</i> ¹⁴ , at a high level.	
Stretches of language	Connected to each other by virtue of conceptual or meaning dependences as perceived by language users.	Connected to each other by virtue of lexical and grammatical dependences.
Feature of	Judgements or interpretations made by a reader on a text.	A text.
Actualised through	<ul style="list-style-type: none"> Textual devices which enable a text to hold together linguistically and contribute to the maintenance of coherence. The notion of <i>implicature</i>, which refers to what the speaker means or implies rather than what s/he literally says. 	<ul style="list-style-type: none"> Textual devices which include: (1) reference (pronouns such as <i>she, our</i>, demonstratives such as <i>this</i>, comparatives such as <i>the same</i>); (2) substitution and ellipsis; (3) conjunction (<i>and, but</i>, etc.); (4) collocation; and (5) lexical cohesion (repetition, synonymy and the use of words related in a lexical field).

Table 3.3: The differences between coherence and cohesion

3.2.4.3.4 A Final Word about Field, Tenor and Mode

Admittedly, these three discourse parameters or variables, the contextual factors of register or situational determinants of text, or whatever term is used, work in a complementary and overlapping nature. This should come as no surprise; register, in the first place, is defined, as mentioned earlier (see section 3.2.4.3), in relation to semantic resources which are inevitably characterised by integration in revealing the entire context of situation or situation type. This nature is pointed out by Halliday himself:

There is not a great deal one can predict about the language that will be used if one knows *only* the field of discourse or *only* the mode or the tenor. But if we know all three, we can predict quite a lot. (1978, p. 223; also cited in Hatim and Munday as a task statement, 2004, p. 191, italics in the original)

In a sense then, what is at stake here is reproducing register equivalence in the TT, which is a key factor in translation (Hatim and Munday, 2004, p. 191). The overlapping nature of the register parameters can also be seen at the levels of operation and

¹⁴ Explanatory coherence surpasses supplemental coherence in justifying the continuity of senses. It secures a successful interpretation of a certain speaker's implied meaning in a given context (ibid., p. 235).

terminology. Hatim and Mason (1990, p. 51) remark that "a given level of formality (tenor) influences and is influenced by a particular level of technicality (field) in an appropriate channel of communication (mode)." Definitely, such an overlap has to be taken seriously in translation. Further, the overlap between these register variables can be mirrored in the terminology. For example, the privateness scale in Mode overlaps with the scale of accessibility in Tenor, and this is due to the nature of any linguistic element that can perform multiple functions (Bell, 1991, p. 190).

3.2.4.4 Code

The *code* of language is the "principle of semiotic organisation governing the choice of meanings by a speaker and their interpretation by a hearer" (Halliday, 1978, p. 111). Being a realisation of choice, the code is intimately related to register and is actualised in language through it (ibid., p. 68). Halliday points out in this respect that the code is realised through the register, which determines the semantic systems (the semantic orientation of speakers in particular social contexts) which are, in turn, activated by the situational determinants of text – the Field, Tenor and Mode (ibid.). In this way, it reflects the particular semantic styles of any given culture or subculture (ibid.). In translation, the analysis of code is particularly conceived in the analysis of register. They are applied reciprocally to approach meanings, which inevitably originate from the two main contexts in language discussed earlier (see section 3.2.4.2).

3.2.4.5 The Linguistic System

By 'linguistic system', the social semiotic approach means to answer the important question regarding language in general: how do speakers of a language 'realise' a given situation onto text? Halliday provides a conclusive answer to this question depending on his main concept of language as a resource or a meaning potential. Meaning in the linguistic system can be realised at two joint levels: explicitly through wordings and implicitly through sizing up the Field, Tenor and Mode of situation (Halliday, 1978, p.

189). In this sense, grammar is the "purely internal level of organization, the core of the linguistic system" (ibid., p. 43). The dependency relationship between the main linguistic notions (text, system, grammar, structure and meaning) is comprehensively described in Halliday and Matthiessen's statement:

A text is the product of ongoing selection in a very large network of systems – a **system network**. Systemic theory gets its name from the fact that the grammar of a language is represented in the form of system networks, not as an inventory of structures. Of course, structure is an essential part of the description; but it is interpreted as the outward form taken by systemic choices, not as the defining characteristic of language. A language is a resource for making meaning, and meaning resides in systemic patterns of choice. (2014, p. 23, emphasis in the original)

Based on his contributions in his *Language as Social Semiotics* (1978), Halliday's view of the linguistic system can be modestly presented by the following visual representations (Figures 3.3, 3.4 and 3.5).

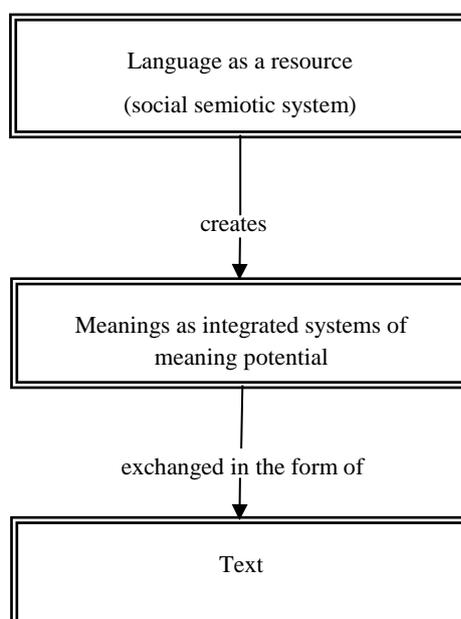


Figure 3.3: Moving from social system to text, developed from Halliday (1978, p. 141)

The above figure represents the basic movement from the abstract notion of social or semiotic system to the concrete realisation of text through the creation of different meanings determined by different situations (ibid.). To narrow the discussion further, Figure 6 represents the linguistic system that creates the text according to the social semiotic three-level coding system, argued for by Halliday (ibid., p. 187). In terms of stratification relations, semantics embraces lexicogrammar, which in turn nestles phonology. This constitutes the basic *tristratal system of language* (ibid. p. 39). Halliday and Matthiessen add 'phonetics' as a fourth system at the base of the stratification model, which represents the eco-social-to-soundwaves stratal links of language (2014, pp. 25-6, Fig. 1.10 and Table 1.6).

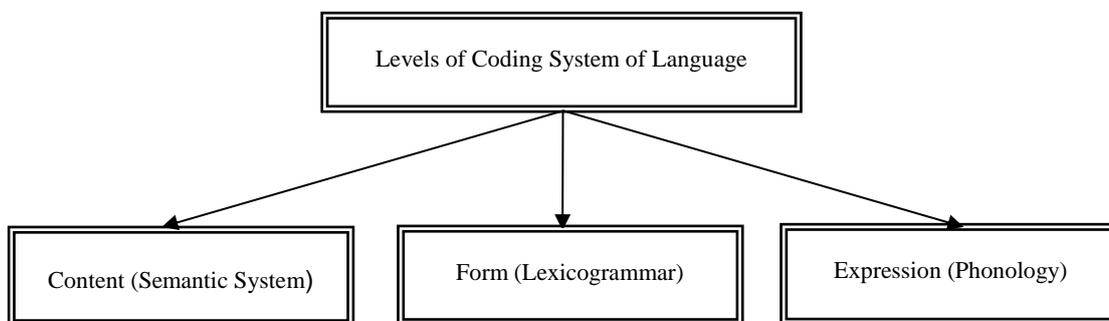


Figure 3.4: The three-level coding system, developed from Halliday (1978, p. 141)

In talking about the linguistic system, purposefully, discussion will be limited to the first level, the semantic system. It is a primary concern within the linguistic system (Halliday, 1978, p. 111). The visual representation of this system (Figure 3.5) introduces the three *macro-functions* (Halliday, 1973, p. 36), *metafunctions* or *modes of meaning* (Halliday, 1978, p. 112), *resources of language* (Hatim and Munday, 2004, p. 83) or *constructive sets of relationship* (Halliday, 2009a, p. 266) when talking about the social semiotic interaction of meaning. Matthiessen, Teruya and Lam (2010) refer to them as *resources*, too. These are *ideational* (subdivided into *experiential* and *logical*), *interpersonal* and *textual* functional components of the semantic system of language. Martin (2004) points out that Halliday develops an intrinsic model of language function in which resources for scaffolding action and affiliation are organised as ideational and

interpersonal metafunctions which, in turn, are enabled by a third meaning – textual metafunction that packages the other two as waves of information.

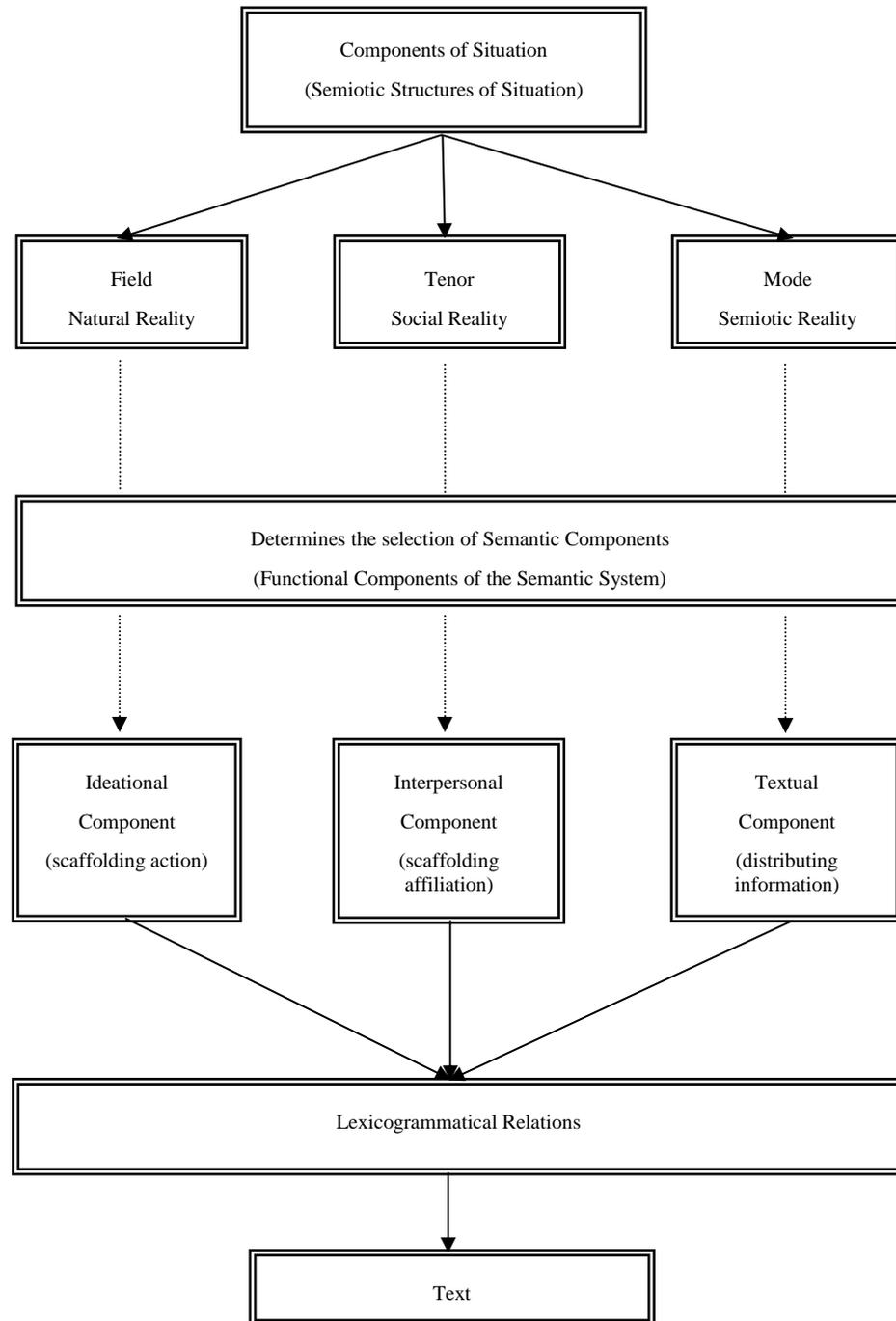


Figure 3.5: Semantic system (moving from situation to text), developed from Halliday (1978, p. 143), Martin (2004, p. 323) and Martin (2009, p. 159)

It would be impossible to review all the scholars discussing, adopting or making use of these metafunctions or the Hallidayan approach solely or partially as a viable framework in constructing their analysis, assessment or even pedagogy models. Hence, discussion will be confined to reviewing some prominent figures in the fields of translation and linguistics. To begin with, Halliday approaches text as a metafunctional construct (Halliday and Hasan, 1989, p. 44). These metafunctions are discussed particularly in relation to the negotiation of meanings between the producer and receiver at the level of semiotic or social semiotic interaction (Hatim, 1997, p. 27; Hatim and Mason, 1997, p. 23; Hatim and Munday, 2004, p. 83). Bell grounds his analysis on these macro-functions and relates the entire model to logic, grammar and rhetoric (see Bell, 1991, chapter 4). With some permutations in terminology, Fairclough (1992, pp. 64-5) discusses these functions or dimensions of meaning within a social theory of discourse. He approaches the analysis of discourse as text, interaction and context. Critical Discourse Analysis (henceforth CDA) involves three stages: "*description* of text, *interpretation* of the relationship between text and interaction, and *explanation* of the relationship between interaction and social context" (Fairclough, 2001, p. 91, italics in the original). CDA is firmly situated in the interplay between discourse and society and therefore deals with features of social structure as context in discourse analysis (Blommaert, 2005, p. 39). Lahlali neatly summarises the overall concept: "CDA deals with socio-cultural variables and their impact on language use, as well as with structural issues" (2003, p. 46).

In the pursuit of analytical and pedagogical purposes, Baker devotes a complete section to the Hallidayan approach to information flow (2011, section 5.1). In constructing her model of translation quality assessment, House discusses these functions of language in relation to the functions of texts (1997, p. 35). Dedicating a whole chapter to ideation as a function of language, Martin and Rose investigate how ideation can be used to construe the content of a discourse (see Martin and Rose, 2003, chapter 3). Haratyan (2011, p. 260) points out that "speakers generate utterances and texts to convey their intended meanings through the generalized metafunctions that relate language to the outside world where interactants and their social roles matter."

It is now appropriate to focus at some length on the concept and nature of these three metafunctions of language: ideational, interpersonal and textual. Halliday clearly states: "They are the modes of meaning that are present in every use of language in every social context" (1978, p. 112). They provide substance to the key principle that language is a meaning potential encapsulating the central idea of a *system network* (Halliday, 2003, pp. 248-9). A system network, argues Halliday, is "the theoretical representation of a potential, the potential that is inherent in some particular set of circumstances" (2013, p. 21). This network is actualised by three metafunctions: "the ideational, whereby language construes human experience; the interpersonal, whereby language enacts human relationships; and the textual, whereby language creates the discursive order of reality that enables the other two" (2003, p. 249). They work at the level of clause as different parts of an orchestra to produce the whole symphony of meaning (Malmkjær, 2005, p. 168). More specifically, the clause, argue Halliday and Matthiessen (2014, pp. 30-1), represents the speakers' use of the three basic functions of language: construing experience, enacting personal and social relationships and organising the flow of discourse and creating cohesion and continuity.

These metafunctions need longer exegetical notes. Using the ideational function, the speaker of language encodes her/his cultural experience and the environment around her/him (*ibid.*). In other words, ideation is the content function of language which deals with "how our experience of reality, material and symbolic is construed in discourse" (Martin and Rose, 2003, p. 66). Ideation is subdivided into experiential and logical metafunctions. The experiential metafunction, on the one hand, represents "the reality that we construe for ourselves by means of language" (Halliday and Matthiessen, 1999, p. 3). Put differently, it "provides the resource for construing our experience of the world around us and inside us as meaning" (Matthiessen, Teruya and Lam, 2010, p. 92). It is the function through which a speaker expresses her/his recognitions, cognitions, perceptions and her/his linguistic acts of speaking and understanding (Halliday, 2002a). The logical function, on the other hand, is the function in which Logical Relations are encoded in language in the form of co-ordination, apposition and modification (*ibid.*). Hatim regards the ideational function as being accountable for reflecting the social

processes and institutions in the semiotic domain of context (1997, p. 29). The second component is the participatory function of language, the interpersonal function which "represents the speaker's meaning potential as an intruder" (Halliday, 1978, p. 112). By 'intruder' he means that "the speaker intrudes himself into the context of situation, both expressing his own attitudes and judgements and seeking to influence the attitudes and behaviour of others" (ibid.). The last component is the textual function of language, which "represents the speaker's text-formation potential" (ibid.). This is the function that provides the texture and defines operational language in a context of situation (ibid., pp. 112-3). The textual function enables language to make "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 recognise one" (Halliday, 2002a, p. 92). In the most simplified terms, the textual function serves not only to establish relations between sentences, but more importantly to contribute to the internal organisation of the sentences and represent meaning as a message both in the organisation itself and in relation to the context (ibid.).

The intersection and interaction between these three strands of meaning at the level of the clause, i.e. representation (as elucidated by the ideational metafunction), exchange (by the interpersonal metafunction) and message (by the textual metafunction) is what causes a text to be brought to life. In other words, the three metafunctions are projected onto the text via a variety of concepts, serviceable tools, systems or models. For example, "In the clause, (...) the ideational function is represented by transitivity, the interpersonal by mood and modality, and the textual by (...) theme" (Halliday, 1978, p. 113). In SFL perspective, Transitivity is "a resource for construing our experience in terms of configurations of a process, participants and circumstances" (Martin, Matthiessen and Painter, 1997, p. 102). Mood is "the grammatical resource for realising an interactive move in dialogue" (ibid., p. 57). It is the major interpersonal system of the clause that provides the language users with required lexicogrammatical resources for enacting speech functions, such as giving or demanding information and giving or demanding goods-&-services (Halliday and Matthiessen, 2014, p. 97). Modality refers to a speaker's attitude, maintained in the language by the use of lexicogrammatical

resources such as modal auxiliaries, modal adverbs, evaluative adjectives and adverbs and so on, towards the truth of a proposition expressed by a sentence (Simpson, 1993, p. 47). In simple terms, Modality is the system that represents the region of uncertainty between the two poles of 'yes' and 'no', which constitute the system of Polarity (Halliday and Matthiessen, 2014, p. 176). THEME is the system where the *thematic structure* actualises. Thematic structure, point out Halliday and Matthiessen, is that which "gives the clause its character as a message" (2014, p. 88). This structure consists of two elements: Theme and Rheme. Theme is the "element which serves as the point of departure of the message; it is that which locates and orients the clause within its context" (ibid., p. 89). Rheme constitutes "The remainder of the message, the part in which the Theme is developed" (ibid.).

3.2.4.6 Social Structure

The last element of the sociosemiotic theory of language is the social structure. This is functionally actualised in the "forms of semiotic interaction" and it "generates the semiotic tensions and the rhetorical styles and genres that express them" (Barthes, 1970, cited in Halliday, 1978, p. 113). Halliday (ibid.) points out that the social structure functions properly in three ways: firstly, it defines the different social contextual factors discussed earlier at length (Field, Tenor and Mode), in which meanings are exchanged; secondly, it determines the various familial patterns of communication by regulating the meanings and meaning styles that are associated with a given social context; and finally, it operates on the scope of castes or social classes that are reflected in different dialectical modes.

3.2.5 The Viability of the Social Semiotic Approach in Translation

An important point, which relates to the main topic of this research, is how viable the social semiotic approach in general is to translation. Another subsection, in due course in this chapter, will discuss in specific terms the applicability of the SFL model in

translation. A couple of citations from some prominent scholars supporting the utility of the social semiotic approach to language in translation will be briefly outlined. To begin with, Halliday himself argues that a translator should consider a register, which receives a great deal of attention in this approach to language, as a text type (Halliday, 2001). In fact, the importance of register in translation is thoroughly discussed earlier in this chapter in the works of Hatim and Mason (1990; 1997) and Hatim and Munday (2004). The most powerful statement about the viability of the social semiotic approach in translation comes from Nida who puts forward the idea that:

Perhaps the most pervasive and crucial contribution to understanding the translation process is to be found in sociosemiotics, the discipline that treats all systems of signs used by human societies. The great advantage of semiotics over other approaches to interlingual communication is that it deals with all types of signs and codes, especially with language as the most comprehensive and complex of all systems of signs employed by humans. No holistic approach to translating can exclude semiotics as a fundamental discipline in encoding and decoding signs. (1993, cited in Hu, 2000)

In his investigation of the different categories of social semiotic meanings, Ping defines the identity of translation as "a kind of interlingual communication in different sociocultural contexts" (1996, p. 75). He attaches great importance to the social semiotic approach in transferring the maximum number of meanings of the ST into the TT: referential (the topic or the message), intralingual (the code or system of symbols with which the message is processed and sent out) and pragmatic (user-related choices having certain social interaction effects on the receivers). In the light of the importance of meaning to the translator, he prominently quotes Steiner's (1975) statement: "To study the status of meaning is to study the substance and limits of translation." Hermans concurs with Halliday in regarding communication as a social system where "the elements which build the translation system must be actual translations and statements about translation" (Hermans, 1999, p. 142).

Another point worth mentioning in this respect is the effect of *markedness* in translation. Hatim and Munday define this term more precisely and illustrate it by a clear example:

An aspect of language use where some linguistic features may be considered less 'basic' or less 'preferred' than others. These marked features are used in a contextually motivated manner, i.e. to yield a range of effects. (e.g. *It was Mary who stole the purse* as a 'marked' variant of the 'unmarked' *Mary stole the purse*). (2004, p. 344, italics in the original)

By this definition, Hatim and Munday (2004) relate this effect in translation to *dynamic equivalence* but not to *pragmatic* or *textual equivalence*. The former refers to "a translation that preserves the effect the ST had on its readers and which tries to elicit a similar response from the target reader" (ibid., p. 339). The latter refers to a translation that "seeks to preserve the subtle aspects of ST meaning" (ibid., p. 70). Nida, who is known for introducing dynamic equivalence, regards the TLRs response, when compared to readers of the source message, as the crux of the matter in translating (2003, p. 166). He likens this type of equivalence to a bilingual person saying *that is just the way we would say it* (ibid.). *Dynamic equivalence* is usually discussed in comparison to what Nida (ibid., chapter 8) terms *formal equivalence*, whereby the linguistic effect of the ST is preserved (Hatim and Munday, 2004, p. 42). This linguistic effect is achievable by reproducing in the TT the ST grammatical units, consistency in word usage and meanings in terms of the source context (Nida, 2003, p. 165). Hatim and Munday confine the use of the dynamic equivalent to cases of failure of the formal equivalent to convey the intended ST effect (ibid.).

Baker discusses marked and unmarked structures in relation to arrangement or sequence from two main positions: Functional Sentence Perspective which belongs to the Prague School and Halliday's SFL. While the first position analyses this effect as a Rheme-Theme sequence, Halliday's linguistics analyses it as a fronted Theme + Rheme sequence (Baker, 2011, pp. 174-5). However, she concludes by saying: "For the

purpose of translation, what matters is that both types of analysis recognise the sequence as marked" (ibid., p. 175). Hatim and Mason adopt the Prague School explanation of marked effect as being related to the concept of *communicative dynamism*, which is "The phenomenon whereby sentences are made up of Themes followed by Rhemes and that, in the unmarked case, Rhemes are the more communicatively important" (1990, p. 239). In conclusion, they view this phenomenon in relation to context and text-type focus and not just as a matter of sequence or word order (ibid., p. 213). This brief review of markedness provides one stark example of how the social semiotic approach and the SFL model contribute valuably to the theory and practice of translation.

Matthiessen (2001) looks at translation as sociosemiotic transformations taking place within the strata of discourse semantics and context of situation and context of cultures rather than the lexicogrammatical stratum. He strengthens this argument by likening *interlingual translation*¹⁵ to the *intralingual translation*¹⁶ of young children's *protolanguage*¹⁷, which is characterised by primary semiotic systems. Such protolinguistic content is translated into language, or more specifically, into linguistic content at the level of semantics but not at the lexicogrammatical level, even though in the end the translation will be expressed lexicogrammatically (ibid.). To come to the point, Matthiessen looks at translation from a social semiotic perspective not as a passive reflection of the ST, but rather as a creative act of reconstruing the meanings of the ST as meanings in the TT (ibid.).

¹⁵ Interlingual translation at its simplest is "translation between two different languages" (Hatim and Munday, 2004, p. 343). The term is first used by Jakobson, who defines it as follows: "Interlingual translation or *translation proper* is an interpretation of verbal signs by means of some other language (1959/2000, p. 114, italics in the original).

¹⁶ Intralingual translation simply means "translation within the same languages" (Hatim and Munday, 2004, p. 343). It is a Jakobson's term: "Intralingual translation or *rewording* is an interpretation of verbal signs by means of other signs of the same language" (1959/2000, p. 114, italics in the original).

¹⁷ Protolanguage represents the stage of language when young children begin semantically to develop their systems around certain recognisable functions (Halliday, 1993). It is "a child tongue rather than a mother tongue" (Halliday and Matthiessen, 2014, p. 26). Halliday argues that the child between the age of 9 and 12 months develops a bi-stratal system of semantics and phonology (or content and expression) whereby s/he uses vocalization and gestures to mean, e.g. *grasping object firmly* means *I want that* (1975, pp. 61-2).

Looking from another social semiotic vantage point, the translator is engaged in a three-stage consecutive analysis and synthesis processes: encoding the functional resources of the original writer, decoding the meaning resources of the fictional prose, and finally re-encoding the same meaning resources in the translated prose (Hu, 2000). This conforms to the view in the literature that translation is a tripartite process involving: decoding the ST, transferring and then encoding the TT (Wilss, 1996, p. 155). This can be also seen in light of the translation process as communication: translation is a form of communication, which basically looks at language as code (a system of units and their combinatory rules), and in which the translator decodes the message of the ST (which is realised as a social fact) and then encodes it in the form of a TT message decoded by TLRs (Levý, 2011, p. 23, p. 27). Nida holds a similar view on the process of translation, cited in Hatim and Munday (2004, p. 45), which states that a translator analyses the SL message into its *kernels*¹⁸, transfers the message at this kernel level and then constructs the message in the TL to the level which is more appropriate to TLRs. Moving inwardly by analysing the given ST (as shown in Figure 3.2) from the context of culture which determines the social purpose or Genre will enable, in varying degrees, the translator to analyse the context of situation or register which is embedded in the Field, Tenor and Mode. Doing this, s/he can decide on which meaning(s), whether ideational, interpersonal or textual, is/are involved in the text. To put it differently, given that language is a choice-based living entity aiming at achieving a specific function, in a specific social activity, the translator is supposed to examine the lexicogrammatical choices in order to approximate the ST author's social intention, and the interpretation of source language readers (henceforth SLRs). S/He then produces outwardly a TT that represents the same intention and evokes a similar interpretation or response by TLRs.

As this research deals with translation of fiction, the social semiotic approach to language is particularly applicable. A message includes, in the most general terms, three overlapping components: meaning, function and style. What matters for a

¹⁸ Kernels are used in Nida's analysis to refer to the most basic syntactic elements to which a sentence may be reduced (Hatim and Munday, 2004, p. 343).

translator of fiction is not only the reproduction of the meaning or function of the ST, but also the style, the way in which the message is conveyed (Hu, 2000). In investigating the viability of a linguistic approach in translating fiction, style cannot be avoided. But how far this interest will be pursued depends mainly on the constraints that are likely to be placed on the relation between the stylistic elements and the linguistic background to the present research. In general, style is "the way in which language is used in a given context, by a given person, for a given purpose, and so on" (Leech and Short, 2007, p. 9). Accordingly, style of prose fiction can be viewed from several perspectives such as: authorial style, a certain period style (e.g. eighteenth-century novels, Victorian novels and so on) or a style associated with the choices from a total linguistic repertoire (ibid., pp. 9-10). Nord (2005a, p. 92) looks at style from a descriptive perspective. She says that style "refers to the formal characteristics of a text, whether provided by norms and conventions or determined by the sender's intention" (ibid.). From another point of view, Boase-Beier views style as "a reflection of a writer's textual choices and as the resource of effects on readers" (2014, p. 393).

As indicated earlier, the DTS part of the present research is governed by exploring the feasibility of SFL in translation assessment, which is mainly characterised by analysis of register as recognised by the lexicogrammatical choices which are firmly associated with meanings drawn from language use and/or language user. Hence, the investigation of style will be particularly related to the last perspective. In this respect, Leech and Short (ibid., p. 27) point out that all linguistic lexicogrammatical choices are meaningful, and thus they are stylistic. They stress that Halliday's lexicogrammatical analysis "locates stylistic significance in the ideational function of language; that is, in the cognitive meaning or sense which for the dualist is the invariant factor of content rather than the variable factor of style" (ibid., pp. 26-7). Therefore, as it stands, style is a meaning-based phenomenon which is viewed from the perspective of the social semiotic approach functionally, i.e. every lexicogrammatical choice carries a function of meaning. Viewed in such a way, style represents the impetus behind the selection and combination of these resources that produces their meaning potential (Canning, 2014). In translation, the fact is: "a translated text is a mix of source and target, an amalgam of

author and translator" (Munday, 2008b, p. 13). The overall argument here, however, is that translation has a derivative rather than a creative nature, and thus, a translator's task is to produce a TT which is stylistically as close as possible to the ST (Baker, 2000). Along these lines, Gutt (approaching style from the relevance standpoint) calls for the preservation of the ST style which is basically governed by the choices of words and sentence constructions (2000, p. 130). In the case of literary translation, Boase-Beier (2014) holds a similar view on the importance of style. She regards style in literature as the set of choices made by the author which is heavily weighted by clues revealing a great deal about attitudes, ideologies, and character's or narrator's *point of view*¹⁹ (ibid.). This set of choices, continues Boase-Beier, is what characterises the style of literature and makes it open to different interpretations, and through adopting the same style, the translator can keep the same feature in the TT (ibid.).

3.3. The Systemic Functional Linguistic Model

After discussing at length the general approach of social semiotics to language, discussion will turn now to the model of linguistics which was born 'in its womb' – the central linguistic model of this research, Systemic Functional Linguistics (SFL). The order of discussion of this section will be different to that of the previous one. This is mainly because most general notions and principles of SFL have been thoroughly covered in this chapter when discussing the social semiotic approach; and partially because the flow of discussion gradually approaches the operational practice of the

¹⁹ Following Uspensky (1973) and Fowler (1986), Simpson (1993, p. 5-11) speaks of four categories of point of view in fiction: *spatial* (indicating the viewing position assumed by the narrator of a story), *temporal* (specifying the impression a reader gains of the movement of events in a continuous chain or isolated segments), *ideological* (designating the taken-for-granted assumptions, beliefs, and value-systems shared by social group) and *psychological* (stipulating the ways the narrative events are mediated through the consciousness of the story teller). Narrative point of view specifies whether the events of a story are viewed from the position of the first person participating character-narrator who forces the readers to share his account of the actions (an omniscient, subjective or internal narrator), from the position of the third person invisible observer-narrator who is detached from the actions of the story (external or objective), or from the third person who is external but is characterised by restricted omniscience when s/he delves at times into the thoughts and feelings of characters (Simpson, 2004, pp. 26-7). Simpson argues that the type of narrative point of view constitutes an important stylistic dimension of a story, giving it its feel, colour and texture (ibid., p. 26).

research, which inevitably ramifies into many branches pertaining to the feasibility of using this approach in text analysis and quality assessment in translating English fiction into Arabic. Hence, this section is pursued in the following order. Firstly, attention will be given to outlining the ideas of Halliday and his followers on SFL: the definition and the fundamental notions of the theory (or model). Secondly, a great deal of attention will be paid to the viability of SFL for the translating process as well as the translation quality assessment as advocated, followed or developed by some prominent figures in the field. Finally, the discussion will turn to the most indispensable and complex aspect of the model, which is its form of lexicogrammatical description: the Systemic Functional Grammar (SFG). SFG is very important for its model of language because "Theory becomes pertinent only insofar as it lays the foundation for grammatical description which embraces the complexity of language" (Webster, 2009, p. 1).

3.3.1 SFL: Definition, Fundamental Notions and Contributors

As indicated earlier in this chapter, the SFL model posits language as "a systemic resource for making and exchanging meaning" (ibid., P. 5). In the broadest terms, SFL approaches language as a meaning-making resource through which people communicate in given situational and cultural contexts (Kim, 2007b). Meaning, which is the core of any communication activity, is the system that construes the participants' experiences and social relationships (ibid.). On this matter, Teich points out: "Meaning in the systemic functional sense is considered to be construed by the linguistic behavior potential, i.e., by language itself, on the one hand, and derives from function in context, on the other hand" (2003, p. 34). Meaning is, therefore, based on grammar (SFG) and characterised by a stratal organisation (systems of semantics, lexicogrammar and phonological and morphological realisation) and functional diversity of both the wordings and grammatical structures (ibid.). To recapitulate, the main objective of this model is to "describe the grammatical resources available in language for making meaning. Meaning serves as a function of the description" (ibid.).

It is a 'system' in the sense that it considers "the set of choices in a particular linguistic context" (O'Donnell, 2011, p. 4). In other words, it describes language in terms of paradigmatic relations – which language elements can be substituted for each other in a particular context – but not in terms of syntagmatic relations – ordering of linguistic elements within a larger unit (ibid., p. 2). On this point, Patten points out that system means that "the context of the choice is paradigmatic (related to other choices)" (1988, p. 21). In other words, SFG "gives priority to paradigmatic relations: it interprets language not as a set of structures but as a network of systems, or interrelated sets of options for making meaning" (Halliday, 1994, p. 15). In summary, a system here is taken to mean "a range of alternatives which may be behavioural, semantic, grammatical etc., together with a specification of the environment in which selection must be made among these alternatives" (Halliday, 1975, p. 7).

It is functional because: (1) it asks functional questions, like how do people use language? (2) it interprets the linguistic system functionally, like how language is structured for use, (3) it deals with the meanings of language in use in the text as a whole to serve its distinct social functions, (4) it labels grammatical realisations (phrases, clauses and sentences) not only in terms of their classes of units, but also in terms of their functions (subject, actor, process, etc.) and (5) it assigns each utterance to a certain speech function (statement, question, offer, order, promise, etc.), though this notion is akin to the speech act in other approaches (Eggins, 2004, pp. 2-3; O'Donnell, 2011, p. 5). In this respect, Moore summarises the concept of functionality of Halliday's SFL in the argument that language "exists and, has evolved, to fulfil certain human needs, and the linguistic forms of which it is comprised necessarily reflect those basic needs" (2010, p. 54). In a more comprehensive sense, the SFL model approaches language in terms of what the speaker can do with it, and more narrowly, it is linked to the social purposes for which it is used (Patten, 1988, p. 3).

It is quite difficult to trace the entire historical background of the SFL model in this practice-oriented research. However, it is desirable to proceed by shedding light upon some valuable areas of contribution and key contributors. As noted earlier in this chapter, the origins of this linguistic model lie in the works and contributions of three

main scholars: Malinowski (1884-1942), Firth (1890-1960) and Hjelmslev (1899-1965). Malinowski's main contribution comes from two aspects influencing the formation of the model: (1) the introduction of the well-known notions of context of situation and context of culture as references with which language can be viewed and explained, and (2) the idea that language is functional in the sense that it is used to perform certain functions in society (Patten, 1988, pp. 19-20). Firth adopts Malinowski's notions in a way that can be made fit into a linguistic theory (Ibid., p. 20). Another major contribution of Firth to the model is the introduction of the concept of system, referring to a set of linguistic choices operating within a specific context (ibid.). Halliday points out that Malinowski and Firth stress "the **situation** as the context for language as **text**" (2007, p. 273, emphasis in the original). The profound influence of Hjelmslev on the formation and development of the model is seen in his introduction of the *realisational* view of language. In this respect, Halliday points out that language is viewed in two ways: *realisational* – language is viewed as one system coded in another and then recoded in another, a position adopted by Hjelmslev, and *combinatorial* – language is viewed as larger units made up of smaller units (1978, p. 42).

The current SFL model dates back to the 1960s. Halliday and his followers, influenced by Malinowski, Saussure, Hjelmslev and Firth, used the concept of language functions for pedagogic purposes and curriculum design in the field of learning, English in particular: learning through language and learning about language; i.e. teaching language in use and for use (Christie, 2004). Meanwhile, a model of register as a use-dependent notion was developed for the same purpose of education (ibid.). Since then, the fields of SFL and SFG have witnessed considerable developments and valuable contributions at the levels of theory and practice. Halliday's followers, working basically on English, like Ruqaiya Hasan, Christian Matthiessen, Jim Martin, Michael Gregory, Robin Fawcett, Suzanne Eggins, Geof Thompson, Bloor and Bloor, Margaret Berry, Mick O'Donnell, Clare Painter and others have contributed copiously to these fields, both in theory and in practice, in the last 30 years. Examples of areas permeated by SFL and SFG include child language development, language education, text and discourse analysis, cohesion, register analysis, and computational linguistics. In the

field of translation, the list includes some scholars who accessibly use SFL across some aspects of translation and TS, most particularly, Juliane House, Ian Mason, Basil Hatim, Jeremy Munday, Roger Bell, Mona Baker and Mira Kim.

3.3.2 Linguists and Translation Theorists and the Use of SFL in Translation

From the 1970s onwards, the importance of SFL insights in translation has interestingly come to be widely recognised. Inevitably, **Halliday's** SFL-based view about translation is reviewed first, though his contribution to the field of translation is rather sparse. Halliday's earliest words about translation might go back to 1956 when he supports the argument, which has continued to prove accountable with the passage of time, that the "ideal translation may thought of as the contextual one" (Halliday, 2005, p. 9). Secondly, theorising about translation should refer to language as a systemic and text oriented entity (Halliday, 2001). Thirdly, Halliday considers translation theory as a theory of meaning as choice and, in consequence, it must entail a functional semantics, i.e. a metafunction (Manfredi, 2008). Fourthly, he advocates the use of linguistics in constructing analytical models of the translation process (Manfredi, 2008, p. 79). Fifthly, he approves the use of some aspects of SFL as models of translation, such as stratification, metafunction and rank – the organisation of phonology and lexicogrammar (Halliday, 2001). Finally, he views a good translation as one which maintains equivalence at all levels of the semantic components of the text – the ideational, interpersonal and textual metafunctions (ibid.).

Peter Newmark devotes a whole chapter to the use of SFL in translation (Newmark, 1991, chapter 5). In light of his chapter, some important issues of agreement and disagreement can be outlined. As a model of functional text analysis rather than a theory of translation, Newmark chooses Halliday's SFL in preference to Chomsky's transformational grammar or Bloomfield's behavioristic approach (ibid. p. 65). In agreement with Halliday, he stresses the centrality of the text in the practice of translation, though he extends Halliday's descriptive hierarchy to include the paragraph as a unit (ibid. p. 66). In disagreement with Halliday, on the other hand, he identifies

the sentence as a unit of translation, but not the clause, which Halliday regards as a representation of meaning in a communicative context (ibid. p. 67). Further, he considers Halliday's concept of cohesion as "the most useful constituent of discourse analysis or text linguistics applicable to translation" (ibid. p. 69). Such an approach to cohesion will decide how the translator can intervene in translating the text (ibid.). To summarise, it is instructive to quote the first lines of Newmark's comment on Halliday's SFL:

Since the translator is concerned exclusively and continuously with meaning, it is not surprising that Hallidayan linguistics, which sees language primarily as a meaning potential, should offer itself as a serviceable tool for determining the constituent parts of a source language text and its network of relations with its translation. (1991, p. 65)

Juliane House's *A Model for Translation Quality Assessment* (1977) is the first work in translation assessment that draws heavily on Halliday's linguistic approach in saying whether the translation is good or bad. Her model is widely acclaimed as one of the most prominent TQA models in translation. Notably, in her book *Translation Quality Assessment: A Model Revisited* (1997, pp. 1-17), she reviews diachronically the different traditions and schools of thoughts for evaluating translations: (i) anecdotal, biographical and neo-hermeneutic (looking at a translation from the angle of a translator's interpretative skills and her/his artistic-literary competence), (ii) response-oriented behavioral (assessing the translation in accordance with TLRs response and their conception of the original message), (iii) text-based literature-oriented: DTS (assessing the translation from the perspective of TT cultural system), (iv) post-modernist and deconstructionist (analysing the translation from the perspective of socio-philosophical and ideological as well as linguistic and discoursal differences between ST and TT which result in revealing the ratio of loss and gain between them), (v) text-based purpose-oriented, 'skopos' (accessing the translation quality in terms of the relationship between the ST and the presuppositions and conditions governing its reception in the target linguistic and cultural system), and (vi) linguistic-textual

(analysing the linguistic, textual structure and meaning potential features of the ST at various levels, including the context of situation in a systemic framework).

Relying heavily on SFL, House produces a new and remarkable approach to TQA. As a potentially comprehensive account, she points out that SFL provides one of the most fruitful bases for analysing the ST and assessing the TT (2001a). Hatim points out that House, drawing on functional pragmatic theory, views equivalence as being established on the basis of three stages: "the linguistic and situational particularities of source and target texts; a comparison of the two texts; an assessment of their relative match" (2001, p. 92). In constructing her revised model for TQA, House makes use of the Hallidayan concepts of Field, Tenor and Mode as analytical register categories capturing the relationship between text and context (House, 2001a). She also introduces Genre (or a generic purpose) as a fourth category of the analytic scheme of the model to link the three register dimensions and the individual textual function (House 1997, p. 107). Genres, in the widest sense, can be characterised as those cultural discourse types (such as academic papers and market reports) characterising different registers which are realised through different lexicogrammatical choices (ibid., pp. 105-6). The ultimate goal of her assessment model is to decide, taking into consideration the TLRs response, whether the translation is *overt* – when the target text is a source-text oriented translation, but not a second original – or *covert* – when the target text enjoys the status of the original text but in the target culture (ibid.). A plausible distinction between these two types of translation will be widely discussed later in section 6.2 (Table 6.1).

Basil Hatim and Ian Mason are particularly influenced in theorising about translation by Halliday's linguistic model and his followers in three main interrelated areas. These are (i) language variation analysis, including use-related variation or registers and user-related variation or dialects (Hatim and Mason 1990, pp. 45-54), (ii) register as a social semiotic concept that maintains the three different metafunctions (Hatim and Mason, 1997, pp. 22-24) and (iii) the study of translation as "a form of negotiation which moves in a text-to-context direction" (ibid., p. 16), and therefore, a translator as a mediator or communicator. Their contributions are thoroughly discussed earlier in this chapter (see section 3.2.4.3). In even more general terms, this quotation reveals their

acknowledgement of Halliday's model in TS: "a new approach developed by Michael Halliday and his colleagues in Britain in the 1960s and 1970s provided translation studies with an alternative view which approached language as text" (Hatim and Mason, 1990, p. 36).

Basing her work on the textual metafunction, **Mona Baker** devotes two chapters of her famous book *In other Words* (1992/2011) to two key SFL concepts concerning textual equivalence: the thematic system and cohesion of the text. In chapter 5, she analyses the two segments of the clause: Theme, the topic of the message, and Rheme, the goal or message of discourse (Baker, 2011, p. 133). Providing illustrative examples, she discusses some central issues regarding thematic structure analysis and how relevant they are to translation. These issues include grammaticality vs accessibility, text organisation and development and marked vs unmarked sequences. In chapter 6, she investigates Halliday and Hasan's cohesive devices in English: reference, substitution, ellipses, conjunction and lexical cohesion (ibid., p. 190). She also provides examples of the impact of these textual systems in translation.

As mentioned earlier (see section 3.2.4.5), **Roger T. Bell** (1991) dedicates a whole chapter (chapter 4) to constructing a metafunctional or macro-functional linguistic model for text analysis which is vitally important for translation process. Clearly, he relies heavily on the SFL principles to set up his model's assumptions. These are: (i) the grammar of a language is a choice-based system available to its users to exchange meanings, (ii) any stretch of language must embody all three of the types of meaning – cognitive, speech functional and discoursal meanings – and (iii) each of these meanings is organised by its relevant macro-function – cognitive meaning is expressed by the ideational, speech functional by the interpersonal and discoursal by the textual macro-function (Bell, 1991, pp. 120-1). In this respect, he discusses in detail the systems of Transitivity, Mood and THEME that are related respectively to the meanings just listed (ibid., chapter 4).

Jeremy Munday, whose works are prominently cited in this research, dedicates a large number of his studies, including his PhD thesis (1997), to interweaving SFL principles

with the assessment and practice of translation. Specifically, two of his most illuminating papers in this regard will be reviewed. The first paper is written within the domain of translation quality assessment, while the other can be located mainly in the practice of translation. In his paper 'Systems in Translation: A Systemic Model for Descriptive Translation Studies', he proposes and outlines a model for analysing original texts and their translations for the purpose of exploring the patterns of interlingual shifts (Munday, 2002). Basing himself on Toury's model for systematic descriptive studies (1995), Munday introduces a three-phase replicable modified model. These phases are: (1) locating the texts within the wider strata of context of situation and context of culture, (2) using a computer-generated corpus analysis of the ST and TT(s) to investigate some linguistic items, like the total text length 'token', the types of words, type-token ratios and word frequency, and (3) using SFG to analyse the ST and TT in terms of their Transitivity, Modality, thematic structure and cohesion patterns in order to study how the metafunctions of both texts are working (ibid.).

The second paper is entitled 'Evaluation and Intervention in Translation'. The paper deals with two central issues in the process of translation: evaluation (or appraisal) and intervention (or mediation), and how they are particularly relevant, in terms of the variable of Tenor and the overall perspective of the interpersonal metafunction, to the translator's degree of appreciation of the ST and her/his anticipation of the same response by TLRs (Munday, 2010). Munday surveys the importance of these notions in some works by prominent figures, such as Hatim, Mason, Martin, White, Hunston and Thompson, and attests the use of these notions through the analysis of tourist, fictional and political text examples (ibid.). In discussing the evaluation or appraisal system, he (ibid.) convincingly differentiates three forms of lexicalisation that constitute the domains of appraisal: *attitude* (featured by affect, judgment and appreciation), *graduation* (featured by force and focus) and *engagement* (featured by monogloss and heterogloss). He asserts the need to consider these notions sensitively, especially when the ST bears an invoked attitude, inherent fuzziness or lack of obvious target language equivalent, and thus secures a similar communicative purpose of the ST as long as it is suitably located in the target culture (ibid.).

3.3.3 Why SFL in Translation?

The discussion in this study is organised around the central question: what justifications are there for the use of SFL in translation? Fawcett argues that SFL not only claims a considerable theoretical status in its own right, but more importantly it is becoming increasingly significant in terms of its feasibility and usefulness in a wide range of fields of application (2000, xvii). The SFL model, which underpins the lexicogrammatical description (SFG), has gained currency in the theory as well as in the practice of translation. This seems to be particularly insightful since SFL is a social and functional-oriented model which is clearly relatable to any communicative activity in any language. One major task to carry out in this research is the analysis of text and discourse. Halliday points out that "the systemic functional model has been widely used in the analysis of discourse" (Halliday and Matthiessen, 2004, ix). Martin and Rose also remark: "In SFL, discourse analysis interfaces with the analysis of grammar and the analysis of social activity"(2003, p. 3). In relation to its importance as an account, Halliday and Matthiessen stress the 'comprehensiveness' of the SFL in saying "whatever said about one aspect is to be understood always with reference to the total picture" (2014, p. 20). It is on this point that Fang, Song and Wu particularly comment:

The possibility of applying systemic functional theory to translation research lies in the fact that translation itself is a meaning-realisation process which involves choices of different language resources, while systemic functional grammar provides us with a way of describing lexical and grammatical choices from the systems of wording that enables us to see how language is being used to realise meaning. (2008, p. 286)

Nørgaard points out that SFL is a "useful model for bridging the gap between linguistics and literary criticism because it combines text with context, linguistic description with linguistic interpretation, and language with situation" (2003, pp. 11-2). Manfredi (2008, pp. 47-65) satisfactorily answers the central question *why SFL in translation?* She develops her argument using two assumptions: exploring the theoretical problems of translation through an SFL perspective and adopting SFG as a text analysis instrument.

Each reason will be succinctly enumerated and its relevant area of concern will be identified:

1. Vocabulary and Grammar

Vocabulary is crucially important when translating, but translating is not restricted only to finding equivalence at the level of words and expressions. SFG also plays a crucial role in this regard because it approaches the two systems of vocabulary and grammar jointly and terms them lexicogrammar. Taylor Torsello puts forward the idea that:

(...) grammar should be a part of the education of a translator, and in particular functional grammar since it is concerned with language in texts and with the role grammar plays, in combination with lexicon, in carrying out specific functions and realizing specific types of meaning. (1996, p. 88, cited in Manfredi, 2008, p. 48)

The key concepts of SFG are that it is a system of choices rather than of rules, and that the linguistic structures are understood in functional terms (Halliday, 1978, p. 4). This leads onto the main focus of SFG. The best person to quote in this regard is Halliday himself:

It is functional in the sense that it is designed to account for how the language is **used**. Every text (...) unfolds in some context of use (...). A functional grammar is essentially a 'natural' grammar in the sense that everything in it can be explained, ultimately, by reference to how language is used. (1994, xiii, emphasis in the original)

2. Descriptive Orientation

SFG does not have a static perspective of study, but rather describes language in actual use (whereas transformational grammar describes language in natural use) and centres on texts and contexts. In consequence, it fits properly with the actual goal of translation, translating texts.

3. Communicative and Cultural Relation

SFL is not a static or normative model of approaching language. It views language as a dynamic communication and social-based entity. The primary function of language then is "communicating meanings in particular context" (Thompson, 2004, p. 7). In the broadest terms, it is a socio-linguistically and contextually-oriented framework which enables language to negotiate every social communication activity in the form of a text. In different way, the text is derived from its context of situation, as an embedment of culture as a whole (or from the context of culture related to this situated activity). In view of all these layers of constituents of the communication activity, the translator becomes more capable of achieving (or at least approximating) the ultimate goal of conveying the intended meaning of the ST and striving at the same time to elicit a similar response from TLRs.

3.3.4 The Use of SFG Analysis in Translation

Before discussion comes to the ubiquitous operational level of the research (the text analysis), it is appropriate to discuss briefly the importance of SFG analysis for the translator. Grammar, in general terms, is used to show how words are grouped or structured to make meaningful relations (Fontaine, 2013, p. 4). Grammar is the source of meaning expressed in all metafunctions existing in every clause. By way of illustration, Halliday and Matthiessen firmly state that "in our own work the experiential environment of the grammar is being interpreted not as knowledge but as meaning" (1999, p. 2). SFG provides a way of describing lexical and grammatical choices within the systems of wording so as to understand how language is being used to realise meaning (Butt et al, 2000, pp. 6-7). Geoff Thompson presents the main domain of investigation of SFG:

Functional grammar sets out to investigate what the range of relevant choices are, both in the kinds of meanings that we might want to express (or functions that we might want to perform) and in the kinds of wordings that we can use to express these meanings; and to match these two sets of choices. (2004, p. 8)

As translation is in the first place a matter of meaning, SFG analysis can be of paramount importance in translation, and thus in assessing the quality of translation. Newmark argues that the prime achievement of Halliday's SFL is that it puts "semantics at the centre of linguistics and meaning at the heart of language" (1998, p. 16). Munday considers the crucial concept of meaning potential a fundamental cornerstone of Halliday's SFG, and thus, the lexicogrammatical choices are open to the writer at each point to actualise the meaning in the text (2012b, p. 14). Halliday states in light of this:

On way of thinking of a functional grammar (...) is that it is a theory of grammar that is oriented towards the discourse semantics. In other words, if we say we are interpreting the grammar functionally, it means that we are foregrounding its role as a resource for construing meaning. (1994, p. 15)

This being so, analysing the lexicogrammatical realisations of the text by means of SFG enables the translator to divide the text into translatable units, and the flow of discourse into lexicogrammatical units, which result in identifying different kinds of meanings in the text or metafunctions (ideational, interpersonal and textual) to be reproduced in the TL (Manfredi, 2008, p. 60). It is of central importance to state the basic assumption that linguistic elements are language-specific entities, and thus rarely will the translator be able to reproduce them exactly in the TL, whereas s/he will most probably be able to reproduce the different kinds of meanings as they are amenable to universal conceptualisation (ibid.). For example, breaking down an English clause into *actor/ process/ goal/ client/ circumstance* labels, which reveal the ideational meaning activated by a certain Field of discourse, will make the translator more focused when reproducing the meaning ideationally in the TL.

3.3.5 A Critique of Using SFL in Translation

As in the case of any theory, there have been voices raised against the SFL model of language. SFL is criticised for being incapable of interpreting some aspects of real language use. Six critiquing points drawn from Widdowson (2010) and Munday (2012a) shall be outlined. Despite the interpenetrating nature of these points in criticising the SFL model of language, the last three points are pointedly associated with using this model in translation. Firstly, SFL does not account adequately for multiple meanings and ambiguous expressions when taken as textual semantic resources (Widdowson, 2010). For example, *Five people were lost in a rowing boat* can mean *Five people in a rowing boat were lost* or *Five (very small) people were lost in (side) a rowing boat* (ibid., p. 166). Clearly, this could result in a noticeable linguistic dysfunctional interpretation and, in consequence, lexicogrammatical resources do not account for such complex relationships like implicit or ironic meanings (ibid.). Secondly, Halliday's linguistic analysis functions on two main levels: (1) the meaning of the text is realised by analysing the lexicogrammatical categories, and this would account for multiple meanings, alternatives, ambiguities, metaphors and so on, and (2) the evaluation of the text is attained through the interpretation of its context and the systematic relationship between context and text (Halliday, 1994, xv). This distinction is attacked by Widdowson (2010). He argues that these multiple meanings and so on are resolved by reference to contextual factors which cannot be attained unless the second level is involved, for this copes with the normal process of assigning meaning to texts (ibid.). Thirdly, the three metafunctions (ideational, interpersonal and textual) are characterised by interrelationships across the systems of grammar; they are not kept apart, but rather they act upon each other in various ways (ibid.). For example, the textual function is motivated by some ideational or interpersonal purpose (ibid.).

In translation, in particular, three critiquing points will be looked at. Firstly, Munday quotes Fish's (1981) argument that the Hallidayan model is "overcomplicated in its categorization of grammar and for its apparently inflexible one-to-one matching of structure and meaning" (Munday, 2012a, p. 153). This may result in difficulty in conforming with possible interpretations of literature, particularly experimental

literature (ibid.). Secondly, adopting systemic-functional discourse analysis might evince "difficulties of accounting for meaning that is implied or associated rather than explicit" (ibid., p. 310). Finally, the systemic-functional discourse analysis is basically English-language oriented, and so it might not suit other languages with different conceptual structures, especially those characterised by a more flexible word order and subject-inflected verb forms (ibid., p. 154). In answer to these possible difficulties, a researcher may choose from the theoretical fundamentals what supports and serves her/his purpose of research. This will ultimately result in refining the adopted models in the field by investigating their feasibility in translating from one particular language to another.

3.4 Summary

In this chapter, two related domains of literature review have been discussed thoroughly. Firstly, some key features of the social semiotic approach as a general theoretical framework for the research have been discussed, moving logically from more general fundamentals to more specified realisations, i.e. moving diachronically upward from the main premises and principles of the social semiotic approach and its relation with other disciplines in the field to an intelligible synchronic explanation of the six elements of the sociosemiotic theory of language (text, situation, register, code, the linguistic system and the social structure). Each element has been briefly discussed in relation to its possible implication for translation. In addition, the prominence given to the social semiotic approach in translation has been reviewed. SFL and SFG have been reviewed along with their applicability to translation. The review as seen in this light has included some contributions by some prominent figures in the field who have married SFL with the practice and assessment of translation. It is assumed that such a theoretical framework will pave the way to support the selection of the model and conduct the research.

This chapter reviews the main theory (SFL), which is the backbone of the research, but this is not the whole story. The literature review will be extended beyond this chapter,

i.e. more literature will unfold when discussing each phase of the combined model of the research. To be more specific, more literature issues pertaining to each phase will be raised in chapters five, six and seven to gain a better understanding of and maintain a close linkage between the literature of the phase and its application.

Chapter 4

The Research Model and Methodology

4.1 Introduction

The research, in general terms, investigates the viability of applying a linguistic approach, through the use of different methods and tools, to translation of fiction from three main perspectives: analysis of ST and TT, translation quality assessment of TTs and translator training. The general justification for pursuing a linguistic approach to this research is aptly pointed out by Halliday: "The justification for using linguistic methods in literary analysis is that existing grammatical, lexical, phonological and phonetic theory is already valid and relevant for the purpose" (2002b, p. 5). If the analysis is carried out linguistically, the linguistic assessment can smoothly accord with the analysis, and both will usefully interact in the domain of linguistic-oriented translator training. Investigating the feasibility of the SFL model and SFG description in the analysis and assessment of English-to-Arabic translation of prose fiction is rather new in TS. SFG analysis in English-to-Arabic translation, in general terms, remains under-researched. Apropos of this, Matthiessen (1996) points out: "As far as I know, there isn't really much systemic work on Arabic". Saying this does not ignore the fact that the National Accreditation Authority for Translators and Interpreters (NAATI) criteria draw heavily in formative assessment on one SFL aspect, the ideational experiential metafunction (Kim, 2009). Arabic, according to Accreditation by Testing: Information Booklet (version 2.2 October-2012), is one of the NAATI 13 inclusive tested languages (NAATI, 2012).

This being so, a collaborative collection of phases is carefully selected from different well-established SFL-based existing models in TS to form a relatively holistic view of the production of Arabic translations of English prose fiction. In this way, new insights will be obtained as a consequence of applying these models to explore the viability of applying the SFL model and SFG analysis to product-oriented data and translation assessment and training enquiry. In this chapter, these phases will be outlined and

justified. The discussion will briefly address the research methods and techniques involved to collect, manage and analyse the research data. This chapter will then press on, outlining the phases constituting the model of the research and setting forth the methodological framework for each phase. Background information on the circumstances in which the research is conducted will be provided as the need arises.

4.2 Research Model: A Modified Combination

The stage has now been reached when it makes sense to present the research model. The research model leans on well-established models in the field of DTS. It is inextricably bound up with SFL and its application in translation. It comprises the main features of Kim's (2010) metafunction analysis and House's (1997) model for TQA, complemented by an empirical translation training study. It is perhaps relevant at this stage to point out that the first phase of Munday's (2002) replicable descriptive model – locating the ST and TT within the sociocultural context – shares some features with House's model (see section 3.3.2). All these models of research act within the field of the product-based approach of DTS aiming at analysing original and translated texts and assessing the quality of translated texts to explore the possible deviances or shifts in translation on the basis of the SFL model and SFG, though these models are initially triggered by different purposes.

In general terms, studying the real practice of translation helps the researchers gain a better understanding of the concept of translation and theorise for developing the performance of translating. In this regard, Øverås (1998) argues that it is only on the level of the investigation of actual products which provide valuable insights that translation itself can be defined, not on the theoretical level. Along this line, Asensio points out that "professional practice is the main source informing translation theory in its explanations and predictions" (2007, p. 89). The underlying goal of using DTS is to describe, in the light of real translation phenomena, translated works as they actually occur for the purpose of exploring and accounting for the observed translation features with reference to the different literary, cultural and historical contexts accompanying the

production of these works (Kenny, 2001, p. 49). One main goal of the research is to identify and describe translation shifts. This largely falls within the literature of the DTS: "the identification of shifts is part of the discovery procedures (...) a step towards the formulation of explanatory hypotheses" (Toury, 2012, p. 111).

This modified combination can be robustly aligned with the overall objectives of the present study as well as the questions it addresses. While Kim aims at analysing original and translated texts with the intent of exploring 'errors' for pedagogical purpose, House develops an analytical model, involving also the original and translated text, for the purpose of assessing the quality of translation. The descriptive part of this research relies too heavily on these models to build its ensemble model for assessment. The combined research model of assessment and training will merit a more comprehensive and integral treatment of the main interest of the research, that is to question the applicability of SFL to Arabic translation of English prose fiction. In conclusion, the research model consists of three phases: Kim's 'error' analysis, House's model for TQA and an SFL-based translator training experiment. These phases will be outlined and justified hereinbelow.

4.2.1 Kim's Model for 'Error' Analysis

Utilising Halliday's SFG analysis to explore her students' translation mismatches in translating an English editorial text into Korean, Mira Kim (2010) develops her model basically for pedagogical purposes. Kim clearly states that the conceptual framework of her work involves arguing through empirical research that SFG provides a fundamental basis for a comprehensive understanding of meaning (ibid.). Applying her empirical model of study to students does not indicate the inappropriateness of applying it to professional translators as they need to assess their work and "defend their translation choices when a doubt is raised about their translation" (ibid., p. 84). In this way, Kim contends that her model is not only valid for teachers but also for trainers. It will increase knowledge about the profession of translation and justify the tendency to equip

translators with tangible tools and skills to prove that "translation is a profession rather than a useful everyday activity" (ibid., p. 85).

Kim pilots her study at the clause level, which is the fundamental meaning structure unit in linguistic communication (Butt, et al., 2000, p. 33). She analyses her 14 Korean students' translations of an English editorial text in terms of translation 'errors' involving the three metafunctions (ideational, interpersonal and textual) through identifying mismatches, inaccuracy or inappropriateness in Transitivity, Modality and thematic structures (Kim, 2010). She also makes reference to omission and word choice as other technical translation aspects (ibid.). She bases her analysis of the original text and the 14 translated texts on small-scale data of 40 independent, dependent, embedded and interrupting clauses (ibid.). The analysis is followed by discussing 'errors' with different metafunctions in general and identifying diagrammatically an 'error' pattern for one student as an example (ibid.). Kim holds the view that this small-scale pilot study is particularly useful for the translation teacher to provide her/his students with systematic feedback on individual 'errors' and language competence (ibid.).

Kim's model is suitable for the overall purpose of the research for the following valid reasons:

1. The model views SFG as a resource of semantic choices available to the speakers of the language. In this way, it is particularly suitable for translation 'error' analysis to check the level of matches, accuracy and/or appropriateness between the original writer's and the translator(s) choices. In this regard, Kim clearly points out: "For the last 30 years, NAATI has adopted an error deduction method of translation assessment" (2009, p. 125). Moreover, SFG provides a useful systematic tool to relate these choices to the sociocultural context (Munday, 2002). In this regard, Kim cites Colin Yallop's explanation in his (1999) course outline:

(...) translators should try not to be content with vague notions about what "sounds natural" or what "feels right" in a language. They should look for the systematic patterning that explains why one expression sounds natural and another does not. It is the assumption of SFG that it should be possible to find such explanations, even if they are not obvious or easy to formulate. (2007a, p. 30)

2. This kind of analysis enables the assessor to understand how the text is constructed and what it means (Widdowson, 2010, p. 164). This constitutes the lower level of analysis in SFG, as aptly pointed out By Halliday:

(...) the linguistic analysis enables one to show how, and why, the text means what it does. In this process, there are likely to be revealed multiple meanings, alternatives, ambiguities, metaphors and so on. This is the lower of two levels; it is one that should always be attainable provided the analysis is such as to relate the text to general features of the language – provided it is based on the grammar in other words. (1994, Xv)

3. A fairly large number of translations have been found (seven different translations of Hemingway's *The Old Man and the Sea*). In general terms, literary translation typically feeds TS with rich resources. On this point, Steiner argues that literary translation provides "the upper range of semantic events which make the problem of translation theory and practice more visible, most incident to general questions of language and mind. It is the literary speech forms, in the wide sense, which ask and promise most" (1975, p. 252). In agreement with this, Orel (1996) argues that literary texts present areas of discussion that prove useful in studying the translators' decisions in association with culture-bound and individual-specific notions, which provide the reader with interpretations. In fact, this novel is a famous authentic masterpiece of American literature, and this has tempted this number of translators to translate it at different times. Such diversity provides a rich source of material for mobilising such a shift analysis study. The translators belong to different Arabic

societies and subcultures which may affect their choices within Modern Standard Arabic, but this factor will not be pursued in this study.

4. Apart from using the SFL model in translation quality assessment (see section 3.2.2), metafunction analysis of Hemingway's works has been used by some prominent figures approaching it from different research perspectives. Ng (2009, p. 36) reviews those researchers applying aspects of the SFL model to analyse Hemingway's works from a stylistic perspective, such as Gutwinski (1976), Carter (1982), Simpson (1987; 1993) and Fowler (1996). Simpson, for example, conducts a Modality analysis of eight paragraphs to investigate the systematic transitions from the perspective of the narrative structure of point of view (1993, pp. 80-3). Simpson uses a small-scale sample to explore the style through a Transitivity analysis (ibid., pp. 89-91).
5. There are two approaches to identifying and analysing the possible shifts in translation: *bottom-up analysis*, starting from the smaller units (such as words and sentences) of the text and working up to the larger ones (such as context and culture) and *top-down analysis*, starting from larger units or factors and working down to the smaller ones (Pym, 2014, p. 64). In light of this, Kim's model allows room for the bottom-up approach analysis which helps to show "how the lower levels, the individual words, phrases and grammatical structures, control and shape the overall meaning of the text" (Baker, 2011, p. 6).
6. Approaching assessment analysis from an 'error' perspective would secure more objective, quantitative findings involving numbers and diagrams, rather than citing examples of and commenting on the metafunctional mismatches between the original and the translated text(s), as, for example, in the case of the first phase of Munday's model, which is situated within the framework of a three-phase study (see section 3.3.2).
7. This phase of the research accords with the second phase, which will consider applying House's model for translation quality assessment as it is devised from an error-based analysis approach, as indicated by Gutt (2000, p. 49), also cited by Munday (2012a, p. 154).

8. Finally and most significantly, the ultimate goal of Kim's model for 'error' analysis is to provide the field with instrumental knowledge, designed for an academic audience, for the pedagogical purpose of exploring the validity of applying the SFL model (SFG in particular) in English-to-Arabic translation of fiction, which is the common thread running through the entire research. Kim in this respect stresses that this model draws attention to the connection between TS and SFG (2007a, p. 45).

4.2.1.1 Kim's Phase: Model Design and Methods

In this subsection, the methods of this phase of the research will be briefly outlined and directly linked to the current research. This model adopts a quantitative method to provide considerable translation 'error'-analysis insights into the investigation of language use from SFL perspective. Quantitative data analysis is preferred in this small-scale, corpus-based text-oriented descriptive phase of research. In this respect, Olohan points out: "Corpus-based studies in translation are clearly aligned with the descriptive perspective" (2004, p. 10). Laviosa states that the term 'corpus' in TS, differentiating it from its use in *corpus linguistics*²⁰, refers to "a relatively small collection of texts assembled and searched manually according to specified criteria" (2003, p. 53). Halliday and Matthiessen point out that manual analysis of grammar, especially when it comes to function structures and systemic features, is still more informative, richer and much more achievable than automated analysis (2014, p. 70). Kim on this point argues that:

The corpus-based approach is a useful **tool** to reduce subjectivity in evaluating translations when it comes to terms, expressions, collocations and *semantic*

²⁰ Corpus linguistics is a branch of linguistics that bases analysis on corpora (electronically readable database of naturally produced texts, which can be analysed by computer) using tools such as concordances (on-screen or printed-out lists of occurrences) and statistical analyses of phenomena such as collocation (Hatim and Munday, 2004, pp. 336-7).

*prosody*²¹, but the range of information that could be drawn from the corpus could be widened even further if the users' linguistic focus extended beyond the expression level to the systemic functional meaning-based level (2010, p. 85, emphasis and italics added).

Another recent argument for the use of corpora in translation can be seen in House's words that "equivalence in translation can be made open to generalisation and intersubjective verification through the use of parallel (translation) corpora" (2015, p. 107). She goes on to argue that corpus studies make the results more reliable and valid if they are profitably used within a suitable theoretical and methodological framework (ibid.). She adds that "corpus studies provide the assessor with information about whether and how far characteristics of a single translation are in line with the norms and conventions of the Genre in the target culture" (ibid., p. 126). In general terms, she states that the aim of corpus studies is not limited to the related sample but rather to expansions that can be made to raise questions about translation and the different uses of language in general (ibid., p. 108). Accordingly, this phase of the research study is characterised by the following methodological and conceptual considerations:

1. Kim's model centres on the use of numbers, which is a key feature of the quantitative data of research. Numbers add power to the findings once the category for using them is specified, and the different values of the variables are defined (Dörnyei, 2007, p. 32). In this regard, Dörnyei points out: "In quantitative studies the principle is straightforward: we need a sizeable sample to be able to iron out idiosyncratic individual differences" (2007, pp. 125-6). Kim's model deals with identifying the translation 'errors' of systemic

²¹ Semantic prosody is the aura of meaning, which also happens to be an aspect of pragmatic meaning, through which subtle implicatures (often processed subliminally) are conveyed (Baker, 2011, pp. 241-2). It can be appraised on the scale of Polarity as positive, neutral or negative. Baker (ibid., p. 241) cites Sinclair's (1999) example of *happen* in English which is often associated with negative meaning, whereas *take place* involves neutral meaning.

functional variables related to different translated text producers (such as experiential, logical, interpersonal and textual metafunctions).

2. The quantitative data of systemic functional 'errors' as well as illustrative figures will lend weight to the argument in this research that "translating is not rule-based word-to-word rendering but a meaning-creation process that requires constant negotiation among choices and that linguistic competence is just one aspect of translation competence" (Kim, 2007a, p. 44).
3. It stands to reason that the use of quantitative data analysis of different translated texts from the SFL perspective will secure a great deal of objectivity in the research as it enables us to draw more reliable statistical conclusions and enrich the findings with analogous diagrammatical representations. In TS, quantitative research seeks to generalise a given phenomenon or feature measuring, counting and/or comparing statistically (Williams and Chesterman, 2002, pp. 64-5). Hence, this model will help to generalise the most common translation 'errors', answer the stated questions, raise metafunction-related issues where English and Arabic contrast and open up the way for possible solutions.

4.2.1.2 Kim's Phase: The Procedural Framework

In this subsection, the procedural steps will be precisely aligned with the subject matter and the questions of the research. Following Kim's model (2010, pp. 87-8), the present research will adopt the following procedure:

1. Only the first 8 paragraphs (nearly a page and a half) of the source text, Hemingway's *The Old Man and the Sea* will be metafunctionally analysed. On this point, Munday (1998) indicates that applying an analysis over a whole text is typically tedious work – which, it might be added, could take many years. Central to this issue, however, is the overall aim of research, which is to generate hypotheses, rather than to generalise the results to every English-

to-Arabic translation. The analysis is so rich and deep and will yield such significant and conclusive results that it could be cogently argued that the mini-corpus of the novel once scrutinised will provide "a decently sized data set in order to work properly" (Rasinger, 2008, p. 10). What supports the selection of this sample is the fact that it belongs to a conventional prose fiction text type. As Nord (1997a) argues, if the sample text belongs to a conventional text type and does not mainly involve any text-specific translation problems resulting from rhetorical issues, such as metaphors, similes, puns, it can be appropriately used to generalise the solutions to those conventional problems. These 8 paragraphs will be divided and analysed into different types of clauses. Following Butt et al (2000, pp. 166-71), clauses will be sorted out into independent, dependent, embedded and interrupting clauses. As the present research is linguistically based and heavily weighted towards investigating the viability of using a linguistic model (SFL), any choice can serve the purpose. The argument here seems to be that "texts are not translated as a whole; the translator handles portions of text of different lengths. This fact applies both to the translation and the analysis" (Rodriguez, 2007, p. 19).

2. Each clause will then be analysed according to the three metafunctions: ideational, interpersonal and textual. The ideational metafunction will be further analysed into two modes of meaning: experiential and logical.
3. After that, the translation of each professional translator (Ali Alqasimi, Faeq Ali, Zeyad Zakareya, Gabreal Wehbe, Sameer Nassar, Muneer Baalbaki and Abdulhameed Zahid) will be checked for mismatch 'errors' in terms of accuracy and appropriateness and marked according to the labels used by Kim (2010). An eighth translation by Saleh Jawdat exists, but it is an exact copy of Zakareya's translation, though it is not easy to decide who copied from whom due to the absence of the publishing date. In addition, 'clause omission' and 'word choice' error types will be quantified, while Arabic-related 'errors' like

grammatical mistakes if any will be identified, but they will not be quantified as they are related to the translator's Arabic competence.

4. A table will be created to indicate the numbers of 'errors' in the different 'error' categories.
5. An individual pattern will be represented diagrammatically to explore what kind of 'errors' a translator has.
6. Some well-chosen examples of 'errors' will be discussed within the different metafunctions.

4.2.2 House's Model for Translation Quality Assessment

As mentioned earlier (see section 3.3.2), Juliane House is a pioneer in TQA. She bases her comparative ST-TT translation quality assessment model in 1977 and the revisited one in 1997 on Halliday's SFL, especially the Hallidayan register analysis of Field, Tenor and Mode (Munday, 2012a, pp. 140-1). In fact, it acts as a corresponding model in TS, particularly in DTS. Saldanha and O'Brien point out that House's model enjoys particular success in the academic domain on account of its high degree of accessibility and amenability (2013, p. 101). In general terms, House (1997, p. 39) grounds her original model on two broad dimensions of register: dimensions of language user (geographical origins, social class and time) and dimensions of language use (medium, participation, social role relationship, social attitude and province). Later in her revised version of the model, she subsumes these two dimensions under the register parameters or levels of context of situation (Field, Tenor and Mode) and introduces Genre as a linking analytical category between the register dimensions and the *text function* (ibid., p. 107). Pragmatically, the text function is taken to refer to "the application or use of the text in a particular context" (House, 2006a, p. 345).

The employment of House's model for TQA in this combined model is justified for a number of reasons. Firstly, House's model is grounded fundamentally in the Hallidayan linguistic approach, which accords with the common thread running through the entire research. House explicitly states that "the model presented here is a text-based,

linguistic one in the broad Hallidayan conception of linguistics" (1997, p. 118). More specifically, her model adopts an analysis of those linguistic elements related to Hallidayan register for the ST and TT for the purpose of exploring how far the TT is adequate in keeping the ST function (Benhaddou, 1991, p. 117). Secondly, House's model has been immensely popular for about four decades, adopting the Hallidayan linguistic approach in TQA. Applying it in the present research would give insights into the possibility of examining the model in a new area of study (English-to-Arabic translation of fiction) as well as developing its application tools. Thirdly, unlike Kim's model, House's model adopts a broadly qualitative approach to data analysis, and such diversity of processing will enrich the study and enhance the credibility of the possible findings. Fourthly, the concept of diversity also holds true for the direction of analysis. Kim's model adopts the bottom-up analysis, while in contrast House's model follows the top-down. In this respect, House points out:

Translation criticism will always have to move from a macro-analytical focus to a micro-analytical one, from considerations of ideology²², function, genre, register to the communicative value of individual linguistic units in order to enable the reconstruction of the translator's choices and his decision processes in as objective a manner as possible (1997, p. 119).

²² Referencing Van Dijk's multidisciplinary theory of ideology (1998), Munday (2007, p. 196) states that ideology "encompasses three main elements: (i) cognition (thought and belief, which go together to create ideas); (ii) society (group interests, power and dominance); and (iii) discourse (language use which expresses ideologies in society, often involving concealment and manipulation)". Munday (ibid.) exalts the balanced nature of this approach to ideology as it "allows a certain degree of autonomy for the individual to operate in a specific social and historical context". In translation, Hatim and Mason emphasise the mediation factor which contributes a great deal to the translator's intervention in the transfer process by feeding her/his thoughts and beliefs into the processing of the TT (1997, p. 147). The translator, argues Pérez (2003), translates according to various conscious ideological settings in which s/he learns and performs her/his task. From another point of view, Tymoczko points out that "the ideology of a translation resides not simply in the text translated, but in the voicing and stance of the translator, and in its relevance to the receiving audience" (2003, p. 183).

Finally, and apart from accounting for SFL principles as the fundamental framework of analysis, House's model is very much in line with Kim's model in three main aspects: (1) both models fall within the field of DTS, as mentioned earlier in Holmes' map (see section 2.2.1), (2) both aim at investigating translation mismatches, whether from an 'error'-based perspective as is the case with Kim's or an assessment-based one as is the case with House's, and (3) both contribute valuably to the overall objective of the present research, which is to explore the feasibility of using the SFL model in translating fiction and how the possible findings can be used most fruitfully with the other didactic purpose of the research.

4.2.2.1 House's Phase: Model Design and Methods

In this subsection, the methods of this phase will be briefly discussed and closely linked to the mainstream of the present study. This phase usually adopts the qualitative method of data analysis, which is characterised by the following methodological and procedural concepts:

1. Although House's original model very much depends on an established gathering of linguistic-based data about the ST and TT, it does not exhibit a great deal of objectivity. This is generally the case with most qualitative works in applied linguistics, where "most qualitative data analysis is done with words" (Dörnyei, 2007, p. 38). This does not, however, ignore the fact that some qualitative works, like House's model, meet the required level of richness and complexity of description (ibid.). In TS, a qualitative research deals with topics that lead to conclusions about what is possible or what can happen (Williams and Chesterman, 2002, p. 64). To achieve a higher level of objectivity, the units of analysis will involve not only general statements based on the assessor's linguistic sensitivity, but also some quantitative aspects (as will be seen later in chapter 6). In the current application of House's model, features of translated

texts will be compared both qualitatively, as the original model suggests, and quantitatively, as this work tries to develop.

2. In any qualitative model, the researcher has to decide which data are useful to her/his case of study, but not to generate too much data for analysis (ibid., p. 125). In House's model, selection of those register-based data that are peculiar to the purpose of producing significant findings will be made. Put differently, relevant data that are unique to an individual ST author and TT professional performance in terms of register dimensions will be compiled, analysed and compared. What is new and striking in this study is the involvement of some quantitative elements featuring the methodology of compilation, the system of categorisation and a significant depth of analysis.

4.2.2.2 House's Phase: The Procedural Framework

In this subsection once again, the procedural steps will be nicely aligned with the subject matter and the purpose of the present research. Taking into account Munday's (2012a, p.1 42) explanation which gives indications of House's model in action, the model will be modified and applied as follows:

1. A profile of the register of an excerpt of Hemingway's ST *The Old Man and the Sea* will be produced. The profile will be effectively presented in a 'template' created as a development of the model.
2. To this will be added a description of the ST genre realised by the register. This description will be included in the same template.
3. Together, this allows a 'statement of function' to be made for the ST, including the ideational and interpersonal components of that function. The statement will be part of the same template.
4. A qualitative and quantitative descriptive and comparative analysis will then be carried out for the TT. The analytical categories will be effectively demonstrated by a 'tracer'. Three TTs will be chosen according to Kim's phase

findings. More precisely, House's TQA model will be applied to three professional translations: the one having the highest number of translation 'errors' according to the findings of Kim's model, the one having the lowest and the one having the mid-point value between these two. This choice will enrich the analysis using House's model and test the validity of the order of the three translators in Kim's metafunction analysis.

5. Each tracer will include a statement of quality made for each TT. It can be then categorised into one of two types: overt or covert translation.
6. Finally, a table of comparison between the three translations drawn from the three tracers will be created to provide some comparative statistics.

4.2.3 A Translator Training Experiment

The third and final phase of the current research study is carrying out an SFL-based translator training experiment on final-year university students (majoring in English) at Taif University. This can paint a complete portrait of the subject matter of the research, which is how the assessment and training purposes integrate to test the viability of applying SFL to English-to-Arabic translation of fiction. The main concern is to take advantage of the outcomes of SFL as an analytical and assessment framework and examine its applicability in developing the students' performance in translation. This can be achieved through acquainting them with the SFL and SFG knowledge required to produce a TT that can match as a metafunctional equivalent to the ST. Evidently, this training programme can be seen as an empirical classroom research activity. The broad aim is to examine the effectiveness of an SFL-based translator training programme in developing these students' metafunction analysis and assessment and ultimately their translation performance. Such a coherent theoretically-based empirical study can contribute significantly to the adopting of the SFL model in English-to-Arabic translation in the future.

The inclusion of this empirical training study can be fully justified. For one reason, an experiment is a very effective method of research. It achieves a high degree of

objectivity and validity to answer the relevant questions and ensure that the results have statistical reliability. This experiment provides an intelligible way of collecting highly authentic quantitative and qualitative data generated through initial and final exams. In this respect, Williams and Chesterman point out that research on translation efficiency or 'errors' in TS can be evidenced by data gathered by questionnaires, interviews or specially constructed tests (2002, p. 91). For another, the experiment carried out in the present research model will provide reliable evidence to test the feasibility of the perused outcomes of applying Kim's model for metafunction analysis and House's model for TQA, and interweave the three phases towards answering the central question of the research topic, which is how far SFL is applicable in English-to-Arabic translation of fiction.

4.2.3.1 The Translator Training Experiment: Design and Methods

In this subsection, the methods adopted in this empirical phase will be outlined and vitally connected to the overall purpose of the research. The experiment phase is characterised by the following methodological concepts:

1. The experiment will be carried out on two groups, a control group and experimental group²³ (40 participants in each group). A control group will not receive any SFL training while an experimental group will take a 20-hour metafunction analysis and SFL-based translation training. In particular, the metafunction analysis and SFL-based translation training is the only *dependent variable*²⁴ of the study. Almost all *independent variables*²⁵ are equal. Both groups belong to the same academic level (the final-year), both studied the same linguistic and translation courses, both are taking an English-to-Arabic

²³ In research terms, a 'control group' of participants receives normal input, while an 'experimental group' receives the knowledge activation stimulus (Rasinger, 2008, p. 177).

²⁴ Dependent variable is the core concept assessed in the research (Saldanha and O'Brien, 2013, p. 25).

²⁵ Independent variables are things manipulated to measure the effect on the dependent variable of the study (ibid.).

translation course at the time of the experiment and neither have been exposed to SFL either in linguistic or translation courses in their BA programmes. They just vary in the training programme which the experimental group will take.

2. There are four main reasons for not designing and applying a 'placement' test in this experiment. Firstly, the students are already divided into two groups because of their high number. Secondly, re-dividing the students into two new groups would create too much disturbance to their normal timetable. Thirdly, the effectiveness of the SFL framework at BA level is meant to be explored generally without paying too much attention to the students' individual differences. Finally and perhaps more importantly, although applying a more standardised selection technique would yield more solid results, shortage of time makes it extremely difficult to do this daunting task in such a multi-phased research study.
3. The SFL-based translator training programme will involve the normal teaching aids in the classroom (such as handouts and PowerPoint presentations) and will centre around the following conceptual framework:
 - a. The basic notions of SFL theory (a brief literature review, stratifications, register parameters, metafunctions and lexicogrammar).
 - b. The top-down or macro-to-micro analysis of the ST.
 - c. The bottom-up or micro-to-macro analysis, i.e., metafunction analysis of the ST clauses and clause complexes.
 - d. The top-down rank scale for the SFG labels, which include: clause complexes, clauses, groups, words and morphemes
 - e. Dividing short fictional texts into their constituent clause complexes and then into different clause types (independent, dependent, embedded and interrupting)
 - f. Analysing the metafunctions of short fictional English STs.
 - g. Discussing examples of previously-identified metafunctional translation shifts or mismatches.

- h. Translating extracts of English fiction into Arabic using SFG analysis and SFL principles.
4. The initial and final exams (see appendices 17 and 18 for both exams) will involve the following three types of questions:
- a. Closed-ended questions which involve locating a translation shift and deciding on the relevant label.
 - b. A mixture of closed and open-ended questions which involves choosing the most accurate translation and then justifying the choice.
 - c. An open-ended question in the form of translating an English extract of fiction into Arabic.

The two exams will provide sufficient empirical information about the research questions posed earlier (see section 1.3). The exams will be sensitive to the particular metafunctional and assessment features in question. For instance, the first and second questions in the exams will mainly answer research question 'a', while the third is designed to answer research question 'b'. The overall result will answer research question 'd'. The exams data will be analysed both quantitatively and qualitatively (as will be seen in sections 7.5 and 7.6).

4.2.3.2 The Translator Training Experiment: The Procedural Framework

In this subsection, the procedural steps will be nicely aligned with the training experiment and the overall purpose of the research. The steps will take the following order:

1. After designing the exams, the necessary forms and the training course, application will be made to obtain the appropriate ethical approval (granted later

by the Research and Innovation Service at The University of Leeds, under reference PVAR 14-008).

2. The training study objectives and methodology will be introduced to the two groups in isolation. With the help of an information sheet (see appendix 20), the purpose of the training course, the methodology, benefits and possible risks will be described to all participants.
3. After about a week, the students' signatures will be taken on individual consent forms (see appendix 21).
4. Both groups will sit a 75-minute initial exam in different sessions. They will be free to use dictionaries. The students will not be asked to write their names on the exam papers. However, the papers will be coded to track the individual performance at the stages of assessment and analysis.
5. The training course, carried out on the experimental group, will cover 20 hours, one hour twice a week. The core content of the course will be explored in more detail later in chapter 7.
6. At the end of the academic semester (about 12 weeks), the two groups will again sit a 75-minute final exam in different sessions. Again, the students will be free to use dictionaries. The students will be warmly thanked for their participation.
7. The papers will be evaluated by the researcher as shown above in section 4.2.3.1.
8. A native Arabic speaker (a colleague in the department of English) will help to provide professional translations to be used, along with the translation having the least number of translation shifts in Kim's metafunction analysis model and the least number of mismatch problems in House's model for TQA, as models to compare against the students' translations.
9. The students' translations of both exams (question 3) will be evaluated one more time by a native Arabic-speaking rater (a lecturing colleague in the Department of Arabic in the same faculty) to act as a target-readership assessor to identify any further TL-related errors.

10. To ensure inter-rater reliability, another rater (an assistant professor of translation in the same department) will help to evaluate the papers and double-check the scores as guided by the scoring rubric.
11. Finally, the participants' scores of both groups will be analysed and compared using different statistical tools and schematic diagrams and illustrative charts to answer the relevant research questions.

4.3 Summary

This chapter touches upon the essential points of the combined research model and its methodological framework. The research model is a modified combination made up of three phases: Kim's model for 'error' analysis, House's model for translation quality assessment and an SFL-based translator training experiment. Kim's and House's models have been carefully selected from well-established applied SFL research models in TS. These two models will be complemented by an empirical training study. The three phases have been presented systematically to ensure a complete picture of reasons, justifications and mechanisms. More precisely, each phase has been meticulously defined, justified, and firmly linked to the combined model and how far it contributes to the entire subject matter of the research. In addition, the procedural framework of each phase has been outlined. Certainly, each phase has some limitations and/or shortcomings. For example, Kim's model evinces the difficulty of having adequate resources to describe Korean grammar functionally. Unfortunately, there is a paucity of research on the SFL description of Arabic grammar. There is, however, one SFL work found on Arabic: Bardi's (2008) PhD thesis 'A Systemic Functional Description of the Grammar of Arabic'. But these issues will be discussed separately when putting each phase into practice.

Chapter 5

A Development of Kim's Model for Metafunction Shift Analysis

5.1 Introduction

As discussed above, Kim's model is basically an 'error'-inspired model of analysis. Following Holmes' map (Figure 2.1), this is a quantitative product-oriented, descriptive pure translation study. Such a functional grammatical analysis is of prime importance for quality assessment as it aims to "gain a deeper understanding of language in use and an insight into language use that would not be possible without this kind of **in-depth analysis**" (Fontaine, 2013, p. 12, emphasis added). In translation, the analysis of the microstructural levels will show whether and to what extent the macrostructural levels have been affected (Rosa, 2013).

The basic unit of analysis is the clause, which Thompson (2004, p. 38) considers the main resource through which meaning is expressed. Matthiessen clearly states that the clause is "the gateway to the text as a unit" (2001, p. 99). It is "a meaning that includes a verbal group that functions as a process" (Kim, 2007a, p. 35). Systemically, Pérez points out: "Systems are seen to stem from the clause" (2007, p. 57). Halliday and Matthiessen (2014, p. 660) clearly point out that text as a semantic unit of language does not consist of clauses; it is rather realised by clauses and clause complexes (or sentences as referred to by traditional grammarians). Kim summarises to a tee the centrality of the clause in translation by saying: "Translators cannot create a text without working on meaning at the clause level and cannot produce a coherent text without working on meaning at the text level" (2007b, p. 226).

It is worth clarifying at this point that this model essentially describes translation shifts metafunctionally and finds out *how often* the translators make shifts. This being so, the current study does not mostly transcend the limits of *when* or *how often* to find out *why* translators do this or give ideological, historical or individual-stylistic accounts of these shifts. These issues lie beyond the bounds of the argument in this study. The building

block of this phase is to study from the metafunction analysis perspective seven Arabic translations of English fiction within the language constraint, but not the translators' individual backgrounds or styles. Williams and Chesterman point out: "Sets of texts to be studied might be defined by translator, by text type, by genre, by language" (2002, p. 90). To take one example, it is quite difficult in this particular study to trace the time path of the translations. This is apparent from the unavailability of the exact date of every translator's translation. To illustrate, Ali's translation was published without a publishing date, and Baalbaki's was published in 2012, 13 years after his death.

Following the procedural steps discussed earlier in section 4.2.1.2, a mini-corpus of the ST will be divided first into different types of clauses: *independent* (Ind.), *dependent* (Dep.), *embedded* (Emb.) and *interrupting* (Int.) according to Butt et al's (2000, pp. 166-71) classification. Each clause then will be segmented into its constituents and analysed according to the three metafunctions: ideational, interpersonal and textual. Clause analysis is at the heart of Kim's model since the clause is "a unit in which meanings of the three different kinds are combined" (Halliday and Matthiessen, 2014, p. 88). After that, each of the seven professional translations will be checked for mismatches and shifts in terms of accuracy and appropriateness and evaluated according to the labels suggested by Kim (2010). This step will be followed by a statistical shift table, an individual shift pattern, a discussion of some examples within the different metafunctions. Figure 5.1 below schematises the location of the current model in the stratal relations of SFL (see Figure 3.2). The red circle represents the primary focus of the model whereas the yellow one represents the secondary area of investigation. However, this does not mean that the other strata are not considered; they will be referenced as the occasion arises at the discussion stage.

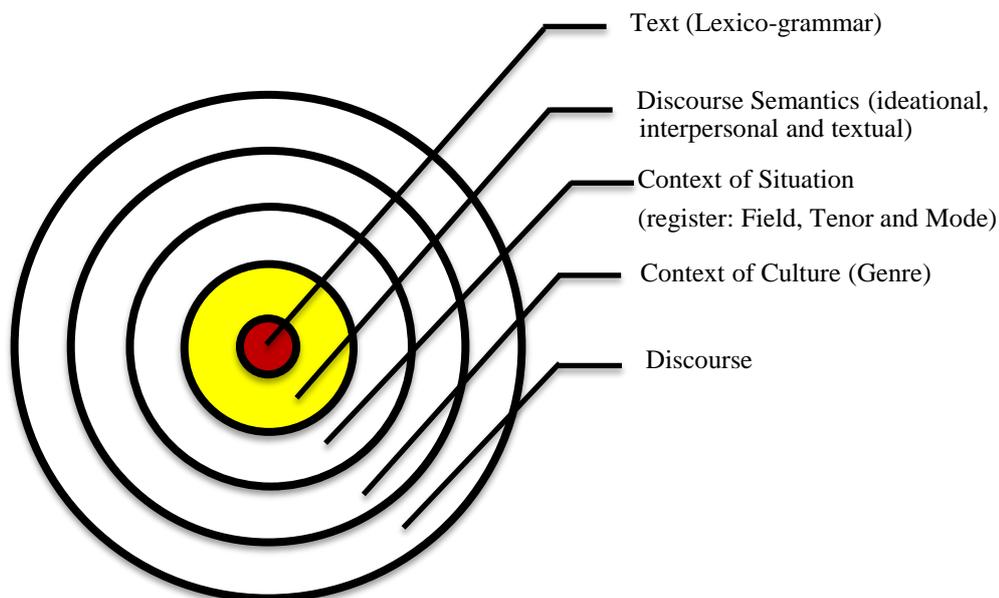


Figure 5.1: The location of Kim's model in the SFL stratal relations

5.2 Error-shift Controversy

The concepts of 'error' and 'shift' are central in translation evaluation, and thus in any translation assessment criteria or models. This study targets shifts which are, as Pym points out, the prime focus of investigation of DTS but not types of equivalence (2014, p. 83). In fact, as Toury argues, shift from the ST is inevitable, and this inevitability is universal in translation even in the most 'adequate translations'²⁶ (2012, p. 80). A sharp discrepancy between error and shift, however, can be traced in the related literature. This discrepancy has sparked wide debate amongst translation scholars and theorists.

The discrepancy can result in the main from two things. The definition of error or shift in translation is heavily reliant on the translation theory the assessment model draws on or, in general, the theoretical basis underlying the model. To illustrate, if the translation is approached and evaluated linguistically, then an error will be defined on a linguistic

²⁶ An adequate translation is a translation that preserves in the TL the textual relationships of the ST with no breach of its own basic linguistic system (Toury, 2012, p. 79).

basis; a pragmatic/functional-oriented TQA model will pursue a pragmatic/functional-inspired definition of translation error. Three diachronic examples can illustrate this marked division. Firstly, Catford looks at translation from a linguistic point of view, and accordingly links translation shifts to "departures from the formal correspondence in the process of going from the SL (...) to the TL" (1965/2000, p. 141). The second example is Wilss (1982, cited in Nord, 1997b, p. 73) who approaches translation from a foreign-language acquisition perspective, and defines a translation error accordingly as "an offence against a norm in a linguistic contact situation". Finally, Koller (1995) views translation as text reproduction; and departing from this, he puts the concept of equivalence at the heart of translation assessment. In this regard, Koller points out that "the use of the equivalence concept presupposes that translation is already established in a culture as a special form of text *reproduction*" (1995, pp. 201-2, italics in the original).

The second reason behind such substantial disagreement on defining what is meant by a translation 'failure' is the main focus of the assessment model or the dominant theoretical reference. This focus plays a decisive role in defining area(s) within which any deviation from the ST is considered a mistake or an error. Four examples will be listed in this direction. Reiss (1971/2000a) approaches translation from a functional communicative view. She views translation as a means of communication aimed at "providing an equivalent reproduction of the source text" (Lauscher, 2000, p. 152). Given this stance, she considers any failure in producing an equivalent text function in the TT a 'change' affecting the translation. Imbued with the discursal and communicative view of translation, Blum-Kulka (1986) focuses on coherence and cohesion and links translational shifts accordingly. On this point, she states: "In considering 'shifts in coherence' through translation, I will be concerned, on the most general level, with examining the possibility that texts may change or lose their meaning potential through translation" (1986, p. 23). Nord discusses, defines and categorises translation errors in relation to the concepts of translation problems and the function or purpose of translation (1997b, p. 73). She defines a translation error as "a

failure to carry out the instructions implied in the *translation brief*²⁷ and as an inadequate solution to a translation problem" (ibid., p. 75, italics added). She argues that the translator has to first analyse the conditions of the target culture, then decide whether, and how, the communicative purpose (referential, expressive, appellative or phatic)²⁸ can work for the TLRs according to the translation brief (Nord, 2006). Finally, in her model for TQA, which will be discussed at greater length next chapter, House's pioneering work on TQA centres on the use of language and text function rather than structure, and thus, she associates any translation error with failure in matching the functional, communicative or pragmatic equivalence of the TT with that of the ST (1997, p. 26).

In addition to attaching the definition of error or shift to approaches to translation or assessment foci, there is a trend in the literature to adopt more comprehensive definitions or reveal a convergence of translation aspects, independent of related assessment models. Kupsch-Losereit (1985, cited in Nord, 1997b, p. 73) defines a translation error, departing from the intended communicative purpose or the translation function, as referring to an offence related to six areas: the function of the translation, the coherence, the text type or text form, linguistic conventions, cultural and situational conventions and conditions and the language system. Matthiessen (2001) brilliantly establishes a logical connection in SFL terms between the two widely recognised notions in TS: equivalence and shift. In this regard, he states that "the wider the environment of translation, the higher the degree of translation equivalence; and the narrower the environment, the higher the degree of translation shift" (ibid., p. 78). In keeping with this approach, Hatim and Munday, as pointed out earlier (see section

²⁷ A translation brief refers to the statement made to a translator beforehand, defining the goal, purpose or function of translation. It should provide the translator with "explicit or implicit information on the intended functions of the target text, the addressees and, if necessary, some details on the time, place and motive of the translation's projected reception" (Nord, 1997b, p. 74)

²⁸ Oriented by text function and influenced by the functionalist approach to translation, Nord (1997b, pp. 40-5; 2006) adopts Bühler's (1934) and Jakobson's (1960) language functions and argues that a ST can have one or more of four basic functions: referential, expressive, appellative and phatic. These functions, as Nord (ibid.) consistently argues, have to be fulfilled by the translator according to the conventions of the TLRs who definitely belong to a different culture community, which has its own ways of perceiving the things and phenomena of the world. Nord explains these functions and how they can be maintained and modelled in translation (cf. Nord, 2006).

3.2.4.2), adopt the term 'shift' to refer to any linguistic-specific change occurring at all levels including text, Genre and discourse (2004, p. 349).

Once the definition of error or shift is made, the next logical step is to categorise or classify. The discrepancy extends further to the typology or classification of translation errors, mismatches or shifts, depending, of course, on the underlying theoretical background. An exhaustive list is not essentially required in this review. Rather, some examples of error or shift types will be given in Table 5.1 along with their initiators and the relevant theoretical framework. The list is drawn up on the basis of the information given in Catford (1965/2000, pp. 141-5), Blum-Kulka (1986, p. 24, pp. 29-30), R. van den Broeck (1986, pp. 37-45), Leuven-Zwart (1989, pp. 155-75), Pym (1992, pp. 281-2), House (1997, p. 45), Nord (1997b, pp. 75-7), Matthiessen (2001, pp. 101-10), Pérez (2007, p. 152) and Munday (2012a, pp. 93-4).

Initiator	Term	Theoretical basis	Types or Categories of Errors/Shifts
Catford (1965/2000)	Shift	Linguistics	<p>1. Level Shift refers to a SL item at one linguistic level, such as grammar, has a TL translation equivalent at a different level, such as lexis.</p> <p>2. Category Shift is a departure from formal correspondence in translation, subdivided into:</p> <ol style="list-style-type: none"> Structural Shifts, which are the most common shift in translation. They occur in all ranks in translation, such as phonology, graphology, grammatical structure and word order. Class²⁹ Shifts, which include shifts from one part of speech (or a class of group as referred to by SFL) to another. Unit Shifts, which refer to shifts in the rank (for SFL-rank labels, see Figure 5.2 in the present chapter). They take place when the translation equivalent of a unit at one rank in the ST translates in a unit at a different rank in the TT. Intra-system Shifts, which occur when the SL and TL possess approximately corresponding systems, but the translation process uses a non-corresponding term in the TL system, such as number and article systems.
Blum-Kulka (1986)	Shift	Coherence and cohesion, as viewed from a discoursal and communicative approach to the study of translation	<p>In cohesion:</p> <ol style="list-style-type: none"> Explicitness Shift: This means that the TT is more or less explicit than the ST. Text Meaning(s) Shift: This means that the explicit and implicit meaning potential of the ST changes through the TT. <p>In coherence:</p> <ol style="list-style-type: none"> Reader-based shift: This shift is difficult to avoid in translation, resulting from the change of the intended audience. Text-based shift: This takes place when a choice made by a translator indicates a lack of awareness of the ST meaning potential.
R. van den Broeck (1986)	Shift	Semantic and pragmatic contrastive discourse analysis	<ol style="list-style-type: none"> Stylistic and Functional Shifts: These include microstructure shifts in grammar and macro-speech acts pertaining to pragmatic conventions and stylistic means with which the functional characteristics of a text are realised. They are mainly linguistic in nature. Rhetorical Structures Shifts: These refer to the categories and rules shaping the basic text structures. They include the textual means that give the text its global superstructure. Global Meaning Shifts: These are related to the THEME or macrostructure of the text types and how they are translated in the target culture.

²⁹ As far as SFL is concerned, the class item (a word) should be taken and labelled pursuant to its potential grammatical function and the actual role it plays in the actual structure, but not to its decontextualised definition in a dictionary (Halliday and Matthiessen, 2014, pp. 75-6 and Figure 2.8).

Initiator	Term	Theoretical basis	Types or Categories of Errors/Shifts
van Leuven-Zwart (1989,1990)	Shift	Dik's (1978) functional grammar, and SFL (applied to prose fiction)	<p>A <i>comparative model</i> designed for the classification of microstructural shifts, categorised as follows:</p> <p>I. Modulation Shift: This occurs when the relationship between the <i>source text transeme</i>³⁰ (henceforth STT) and <i>target text transeme</i> (henceforth TTT) is hyponymic. Modulation shifts are subdivided into:</p> <ol style="list-style-type: none"> 1. Semantic Modulation/Specification: This occurs when a semantic aspect of disjunction manifests itself in TTT, whereas the STT lacks such an aspect. 2. Semantic Modulation/Generalisation: This refers to the case in which a semantic aspect of disjunction manifests itself in the STT, whereas the TTT lacks such an aspect. 3. Stylistic Modulation/Specification: This type of shift occurs when a stylistic aspect of disjunction manifests itself in the TTT, while the STT lacks such an aspect. 4. Stylistic Modulation/Generalisation: This occurs when a stylistic aspect of disjunction appears in the STT, while only one(s) of conjunction appears in the TTT. <p>II. Modification Shift: This occurs when the relationship between the STT and TTT is one of contrast. There are three subcategories of Modification Shift:</p> <ol style="list-style-type: none"> 1. Semantic Modification: In this shift, both transemes show a semantic aspect of disjunction. 2. Stylistic Modification: In this shift, both transemes show a stylistic aspect of disjunction. 3. Syntactic Modification: In this shift, both transemes show different disjunctive aspects of a syntactic nature. This type of shift can take one of the following forms: <ol style="list-style-type: none"> a. Syntactic-Semantic Modification when the syntactic differences in the two transemes relate to grammatical features, grammatical classes, grammatical functions and function words. b. Syntactic-Stylistic Modification when the syntactic differences have to do with the quantity of elements conveying information (<i>explicitation</i> if the TTT contains more elements and <i>implicitation</i> if the TTT has fewer elements). c. Syntactic-Pragmatic Modification when the structure of the TTT differs from that of the STT in such a way that a shift occurs in the speech act or the thematic meaning. <p>III. Mutation Shift: This shift covers cases in which it is impossible to establish any similarity or common dominator between the two transemes.</p> <p>The other complementary model is a <i>descriptive model</i>. It focuses on the effects of microstructural shifts on the macrostructural level, i.e. as unfolded in the three metafunctions (ideational, interpersonal and textual) operating at the levels of the story and discourse.</p>
Pym (1992)	Error	<i>Translational Competence</i> ³¹	<p>1. Binary error: A binary error is a 'defect' in the translational competence skills regarding the translator's ability to 'generate' a TT series of more than one viable term for a ST. It involves a wrong answer as opposed</p>

³⁰ A transeme is a comprehensible functionally-based textual unit (Leuven-Zwart, 1989).

³¹ Translational Competence is taken to refer to a combination of two translator's skills: (i) the ability to generate a series of TTs for a ST, and (ii) the ability to select only one TT as a replacement of the ST for a specified purpose and for particular TLRs (Pym, 1992).

Initiator	Term	Theoretical basis	Types or Categories of Errors/Shifts
			<p>to a right answer. Such an error essentially requires language-based correction.</p> <p>2. Non-binary error: A non-binary error refers to any 'defect' in the translational competence skills regarding the translator's ability to 'select' a TT from a potential TT series as a 'replacement' of the ST. A non-binary error is discussed within the 'it's correct but ...' concept. An error of this kind is corrected within translation class of correction, and also within the language class but in areas situated beyond the most basic levels.</p>
House (1981; 1997)	Errors	Functional/pragmatic approach	<p>I. Dimensional Errors (covertly erroneous errors).</p> <p>II. Non-dimensional Errors (overtly erroneous errors), which are divided into:</p> <ol style="list-style-type: none"> 1. Errors resulting from a mismatch of the denotative meanings of ST and TT elements, further subdivided into: <ol style="list-style-type: none"> a. Cases of omissions b. Cases of additions c. Cases of substitutions 2. Errors resulting from a breach of the TL system, which are further subdivided into: <ol style="list-style-type: none"> a. Cases of ungrammaticality b. Cases of dubious acceptability <p>Note: House's classification of overly erroneous errors will be schematised and applied in chapter 6 (see section 6.4 and Figure 6.4).</p>
Nord (1997b)	Errors	Function/purpose of translation and translation problem	<ol style="list-style-type: none"> 1. Pragmatic Translation Errors: These are the errors resulting from inadequate solutions to pragmatic translation problems, such as a lack of receiver orientation. Errors of this type can only be identified by a person with translational competence comparing the ST and TT as illuminated by the translation brief. 2. Cultural Translation Errors: These are associated with an inadequate decision with regard to reproduction or adaptation of cultural-specific conventions. In other words, they are related to the question of whether conventions should be adapted to the target-culture standards. 3. Linguistic Translation Errors: These are caused by an inadequate translation when reference is made to language structures. Such errors are often linked to the translator's deficiencies in SL or TL competence. 4. Text-specific Translation Errors: These are related to a text-specific problem, such as the theoretical grounding adopted in evaluating the translation problem, such as pragmatics, semantics or stylistics.
Matthiessen (2001)	Shifts	SFL (Metafunction)	<p>Types of Metafunctional Shifts:</p> <ol style="list-style-type: none"> 1. Metafunction Shift: This shift takes place within one metafunction; ideational, interpersonal or textual. 2. Rank Shift: This shift occurs up or down the rank scale. More specifically, the metafunctional meaning of the ST is preserved but construed in a different ranking environment in the TL. 3. System Shift: This shift occurs when the source and target utterances (mainly clauses) do not stand in the

Initiator	Term	Theoretical basis	Types or Categories of Errors/Shifts
			<p>same relation to each other in a linguistic system. The extent of this shift (a minor or a major shift) can be measured against the cline of <i>delicacy</i>³². For example, a lexical shift is a minor shift, but it occurs at a high point of delicacy for lexis is the most delicate part of the lexicogrammatical system.</p> <p>4. Structural Shift (metafunction, rank and system): This shift is located within metafunctional, rank and/or systemic equivalence.</p>
Pérez (2007)	Shifts	SFL-centred Transitivity	<p>1. Expansion, 2. Contraction, 3. Materialisation and 4. Dematerialisation</p> <p>Note: These main types of shifts in Transitivity will be defined and discussed at some length later in the present chapter (see section 5.7).</p>

Table 5.1: Examples of translation error/shift types

³² Delicacy is a kind of relationship between two or more systems, ranks, classes, structures, etc. which represents subsumption of a part under another part, a kind under another kind, a class under class, a specific under more general in a taxonomy, and so on (Halliday and Matthiessen, 2014, p. 23, 263).

As shown above, the issue of terminology has brought interesting challenges in the field of TS. Many words have been used to describe the state of 'having a problem' in translation. Words like, 'defect', 'change', 'failure' 'departure', 'mismatch' and 'deviation' are purposely used to describe a translation problem, which is accordingly labelled as a translation shift or error. This diversity is found also in the current model. Although Mira Kim (2010) entitles her model as 'translation error analysis', she uses some other indicative words that can be taken as attempts to alleviate the 'strictness' of the term 'error'. To illustrate this, she uses words like, 'accuracy', 'appropriateness' and 'shift' (pp. 87-8, p. 91) to refer to the problematic parts in the translations.

Naturally enough, a researcher adopts a certain stance towards her/his method of analysing the TT and defines any change or deviation accordingly. From this point on, the term 'shift' will be used dominantly in this chapter. There are three defining factors for this choice. The term 'error' is assumed to be pedagogically-oriented. For instance, Pym (1992) and Kim (2010) and Nord (1997b) develop their error classifications in the context of translation teaching or training. Pym (1992) argues that the teaching of translation can be infused with non-binary translational errors resulting from the communication acts through which translational competence and knowledge are transferred from teacher to student. In theorising about the need to supply a translator with a translation brief before translating, Nord often refers to the students in particular, for example: "The translation brief can be formulated in such a way that the task is feasible even though there may be serious deficiencies in the students' competence" (1997b, p. 74). Kim's model will be applied and developed to assess professional translators' works, but not students. This plausibly makes the use of error quite 'offensive'. The second factor is solely technical. The term 'error' is normally associated with a mistake in a learning or classroom environment and, in consequence, does not lend itself to a variety of degrees or levels of influence on the TT or choices made by the translator. As noted, the term 'shift', which originates with Catford (1965/2000), is acceptable and common in many TS research works, probably because of its inclusiveness, clarity and neutrality in describing the notion of a deviation observed in the TT. Finally, Munday, drawing on Toury (1995), indicates that the

purpose of the analysis in the field of DTS should not be directed at exposing translation errors, but at understanding the norms which govern the translation process (Munday, 1998). Shifts, argues Rosa (2013), are the most pervasive pattern in translation other than the ST features. It can be argued then that the term 'shift' suffices to cope with any environment of discussion, such as a classroom or a piece of academic research. This considerable error/shift controversy makes the model poised for application.

5.3 Clause Division of the ST

The ST sample will be divided into its constituent clauses: independent, dependent, embedded and interrupting. An independent clause is one that "can stand alone, or function independently of other messages" (Butt et al, 2000, p. 166). Halliday and Matthiessen refer to this type of clause as a *free clause*, which is one that can stand by itself as a complete sentence (2014, p. 97). An independent clause is always *finite*, functionally defined as an element of verbal group carrying either tense or Modality to make the proposition arguable (Eggins, 2004, p. 153). A dependent clause, on the other hand, is one that "cannot stand alone but function[s] to provide some kind of supportive information for other clauses" (ibid., p. 167). It can be finite or non-finite. Halliday and Matthiessen term it *bound clause*, which refers to the type of clause that gives a reason or supporting information to an independent clause or another dependent clause (2014, pp. 170-1). Halliday and Matthiessen define *embedding* as "a semogenic mechanism whereby a clause or a phrase comes to function as a constituent within the structure of a group, which itself is a constituent of a clause" (ibid., p. 491). In other words, an embedded clause is one that is used as a constituent part of another clause, functioning within a group as a noun, an adjective or an adverb (Butt et al, 2000, p. 168). Again, it can be finite or non-finite. The last type of clause division is the interrupting clause. This is one that a language user inserts to interrupt the flow of the original clause, which is, in its turn, completed in due course (ibid., 169). The interrupting clause can be also finite or non-finite. Examples of these types of clauses will be given in the analysis of the ST sample below (Table 5.2).

The top-down rank scale for functional grammatical labels includes: *clause complexes* (Cl.C.), *clauses*, *groups*, *words* and *morphemes*. Following Bloor and Bloor (2004, p. 8), clause complex V of the ST sample can be ranked as follows:

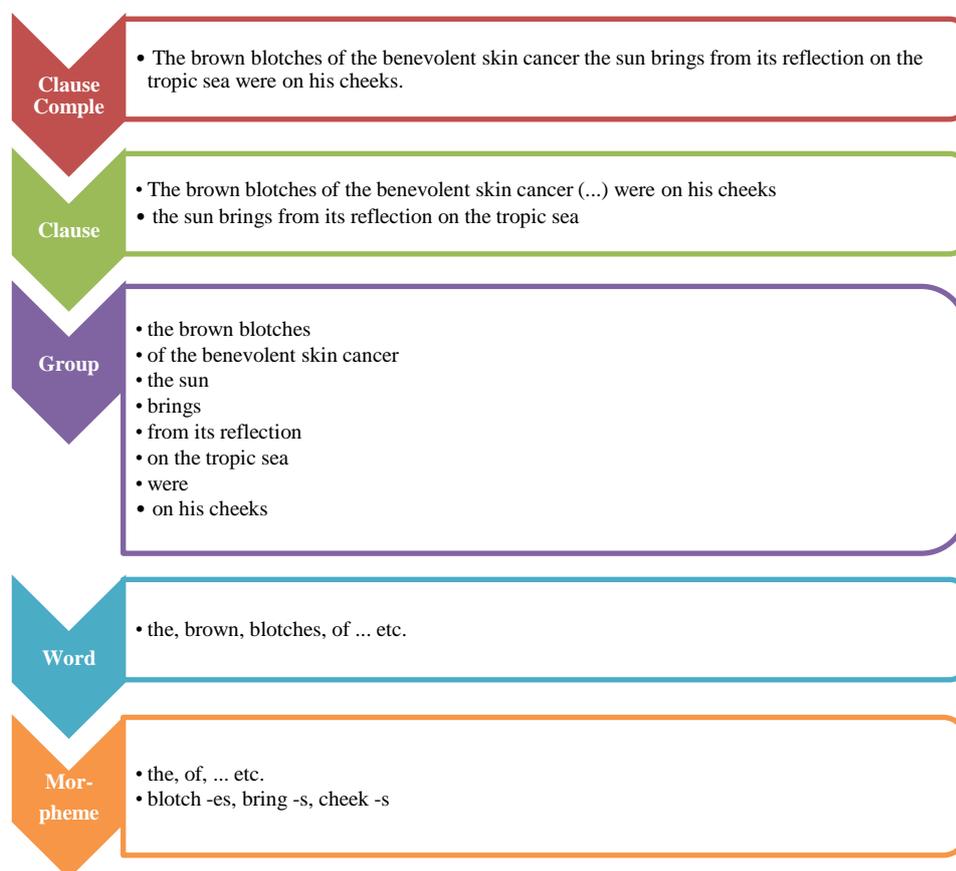


Figure 5.2: Example of the top-down rank scale for functional grammatical labels

Thompson defines a clause complex as "a combination of two or more clauses into a larger unit, with their interdependence normally shown by explicit signals such as conjunctions" (2004, p. 196). Eggins (2004, p. 255) refers to it as "the grammatical and semantic unit formed when two or more clauses are linked together in certain systematic and meaningful ways". The working units of analysis in this model are mainly the clause complex and clause as this model is not merely a comparative-oriented grammatical study, it is rather a lexicogrammatically-inspired translation one. The main

objective of this study, in principle, is to investigate whether the metafunctional elements constituting the clause and the Logical Relations between the clauses are represented, misrepresented or overlooked in the TTs.

There are two crucial reasons for including the clause complex in the analysis. Firstly, there is a tendency in Arabic to use rather long sentences as compared to English (Dickins, Hervey and Higgins, 2002, p. 136), and thus, the translator might tend to collapse two or more sentences or clause complexes with their constituent clauses into one sentence. Secondly, and more importantly, it is necessary to identify the relationships existing between clauses in order to understand the lexicogrammatical resources construing the logical connections between experiential events (Thompson, 2004, p. 198; Eggins, 2004, p. 256). Specifically, analysing clause complexity determines the Logical Relations, mainly *dependency* (or *taxis*) and *conjunctive* (or *logico-semantic*), between the constituent clauses. Taxis, on the one hand, is dichotomised into two categories: *parataxis* and *hypotaxis*. Parataxis refers to the symmetrical, transitive logical 'linking' of elements of equal status, while hypotaxis is the non-symmetrical, non-transitive logical 'binding' of elements of unequal status (Halliday and Matthiessen, 2014, p. 452). Logico-semantic relations, on the other hand, refer to two main relationships (*expansion* and *projection*³³) which can be signalled between clauses and function in very different ways (Thompson, 2004, p. 203). A clause complex is often made up from a mixture of parataxis and hypotaxis, and each pair of clauses formed by one taxis is called a *clause nexus* (Halliday and Matthiessen, 2014, p. 441). Thompson points out that the logical meaning "operates most saliently between clauses" (ibid., p. 198).

³³ Halliday and Matthiessen state: "Projection and expansion are the fundamental relations *between* processes: this is the part of the grammar that constitutes a theory of how one happening may be related to another" (Halliday and Matthiessen, 1999, p. 11, emphasis in the original). Expansion, on the one hand, actualises when one figure is joined logico-semantically to another by a sequence of the same order of reality (ibid., p. 117). Projection, on the other, arises when one figure is set up in a different plane of reality (ibid., p. 108).

In light of this, and to serve the purpose of applying this model, Table 5.1 below numbers the ST clause complexes and labels the clause divisions according to this four-type classification. The functional analysis and labels will be based on information drawn from Halliday and Matthiessen (2014), Eggins (2004), Thompson (2004), Bloor and Bloor (2004) and Martin, Matthiessen and Painter (2010). As suggested by Butt et al (2000, p. 165), the ellipsed part in the independent clause will be represented in capital bold type preceded by (^). The triple dots (...) represent an embedded clause which will be segmented in due course. For the ST sample, see appendix 1.

Cl.C.	No.	Clause	Type
I	1	He was an old man	Ind.
	2	who fished alone in a skiff in the Gulf Stream	Emb.
	3	and he had gone eighty-four days now	Ind.
	4	without taking a fish	Dep.
single	5	In the first forty days a boy had been with him	Ind.
II	6	But after forty days without a fish the boy's parents had told him	Ind.
	7	that the old man was now definitely and finally <i>salao</i>	Dep.
	8	which is the worst form of unlucky	Int.
	9	and the boy had gone at their orders in another boat	Ind.
	10	which caught three good fish the first week	Emb.
III	11	It made the boy sad	Ind.
	12	to see the old man come in each day with his skiff empty	Dep.
	13	and he always went down	Ind.
	14	to help him carry either the coiled lines or the gaff and harpoon and the sail	Dep.
	15	that was furled around the mast	Emb.
IV	16	The sail was patched with flour sacks	Ind.
	17	furled	Int.
	18	and, (... 16), it looked like the flag of permanent defeat	Ind.
single	19	The old man was thin and gaunt with deep wrinkles in the back of his neck	Ind.
V	20	The brown blotches of the benevolent skin cancer (... 20) were on his cheeks	Ind.
	21	the sun brings from its reflection on the tropic sea	Emb.
VI	22	The blotches ran well down the sides of his face	Ind.
	23	and his hands had the deep-creased scars from handling heavy fish on the cords	Ind.

Cl.C.	No.	Clause	Type
single	24	But none of these scars were fresh	Ind.
single	25	They were as old as erosions in a fishless desert	Ind.
VII	26	Everything about him was old except his eyes	Ind.
	27	and they were the same colour as the sea	Ind.
	28	and ^ THEY were cheerful and undefeated	Ind.
VIII	29	'Santiago' (minor ³⁴)	Ind.
	30	the boy said to him	Ind.
	31	as they climbed the bank	Dep.
	32	from where the skiff was hauled up	Emb.
single	33	I could go with you again	Ind.
single	34	We've made some money	Ind.
IX	35	The old man had taught the boy to fish	Ind.
	36	and the boy loved him	Ind.
X	37	'No,'	Ind.
	38	the old man said	Ind.
single	39	You're with a lucky boat	Ind.
single	40	Stay with them	Ind.
XI	41	But remember	Ind.
	42	how you went eighty-seven days without fish	Emb.
	43	and then we caught big ones every day for three weeks	Ind.
XII	44	I remember	Ind.
	45	the old man said	Ind.
XIII	46	I know	Ind.
	47	you did not leave me	Emb.
	48	because you doubted	Dep.

Table 5.2: Clause division of the ST sample

5.4 Analysing the Metafunctions of the ST

The metafunction analysis of the ST is believed to be particularly important for translation assessment. It helps an assessor to identify the lexicogrammatical resources

³⁴ Minor clauses are clauses with no Mood, Transitivity or thematic structures, functioning as calls, greetings exclamations and alarms, like *Mary!*, *Good night!* and *Well done!* (Halliday and Matthiessen, 2014, p. 127). In Arabic, some clauses have similar structures and functions, like أهلا وسهلا and مرحبا (Bardi, 2008, p. 523).

used by the ST producer to convey her/his intention. More precisely, such an analysis will decide on the different functions intended by the ST. As a second step, the assessor will be capable of comparing the findings of the analysis to the TT for the purpose of pinpointing how far a particular translator is successful in reproducing the functional equivalent which is firmly related to the accuracy and appropriateness of the translation. Doing this, the assessor can figure out and comment on possible misrepresentations, inaccuracy, shifts and/or omissions.

The analysis of the metafunctions of the ST according to Kim's model will be confined to the general analytical features of each metafunction in isolation (experiential, logical, interpersonal and textual) at the level of clause and clause complex. More specifically, dual relations (or metafunctional alignment) between the metafunctions will not be considered in the analysis unless required in the course of discussion. For example, discussion will not include the interpersonal Mood and finite relations to logical meaning as in Thompson (2004, p. 208). Further, this translation-motivated analysis will be limited normally to the main functional categories, without extending the analysis to the point of maximum delicacy. This can be seen in the case of analysing *definitely* in clause 7 in the Mood system. Analysis will consider only the first category in the cline (*comment adjunct*) without taking the analysis steps further in delicacy: *speech-functional, unqualified, persuasive assurance* as its functional subcategories (Halliday and Matthiessen, 2014, p. 191). Another example is related to the system of THEME. The analysis will be initially limited to the main or *topical Theme*, not the *interpersonal Theme* or *textual Theme*³⁵.

Neither Kim (2007a) nor Kim (2010) demonstrates the operational framework for analysing the three lines or strands of meaning. Table 5.2 represents the general framework of the metafunction analysis of the ST sample. The large independent sets forming the lexicogrammatical choice and the structural shape of the English clause,

³⁵ Interpersonal Theme actualises when a clause begins with a resource of interaction between the speaker and the hearer, such as the use of *vocatives* or *comment adjuncts* (Butt et al, 2000, p. 138). Textual Theme represents the resources of meaning, words or phrases, used at the beginning of the clause to connect the clause with the previous text (ibid., p. 137).

argue Halliday and Matthiessen (2014, p. 361), are: Transitivity structures (expressing representational meaning), modal structures (expressing interactional meaning) and thematic structures (expressing the organisation of the message).

CLAUSE			
Metafunction		System	Units of Analysis
Ideational	Experiential (clause as representation)	Transitivity	Participant, Process, Circumstance
	Logical	Taxis Logico-semantic	Logical Relations (only at the clause complex level), the hieroglyphic system is one adopted by Thompson (2004, p 200)
Interpersonal (clause as exchange)		Mood Modality Polarity	MOOD (Subject, Finite) RESIDUE (Predicator, Complement, Adjunct) Modal assessment Positive/negative
Textual (clause as message)		THEME	Theme, Rheme

Table 5.3: The general framework of the metafunction analysis of the ST

Clause Complex I			
Clause 1	He	was	an old man
Experiential	Carrier	Process: relational	Attribute
Interpersonal	Subject	Finite	Complement
	MOOD		RESIDUE
Textual	Theme (unmarked)	Rheme	

Clause 2	who	fished	alone	in a skiff	in the Gulf Stream
Experiential	Actor	Pr.: material	Cir: man.	Cir: loc.	Cir: loc.
Interpersonal	Subject	Finite	Predicator	Adj: circ.	Adj: circ.
	MOOD		RESIDUE		
Textual	Theme (unmarked)	Rheme			

Clause 3	and	he	had	gone	eighty-four days	now
Experiential		Actor	Pr.: material		Cir: extent	Cir: loc.
Interpersonal	Adj: conj.	Subject	Finite	Predicator	Adj: circumstantial	Adj: circ.
	MOOD			RESIDUE		
Textual	Theme (unmarked)		Rheme			

Clause 4	without	taking	a fish
Experiential	Cir: accompaniment	Pr.: material	Goal
Interpersonal	Adjunct: conjunction	Predicator	Complement
	MOOD		RESIDUE
Textual	Rheme		

No	Clause Complex I		Logical Relation
	1	$\alpha 1$ *	
1	2	$\beta 1 \alpha 1$ *	Embedded Extending
2	3	$\alpha 2 \alpha 1$	Paratactic Extending
3	4	$\beta 2 \alpha 2$	Embedded Extending

* α : an independent clause, β : a dependent, interrupting or embedded clause

Clause 5	In the first forty days	a boy	had	been	with him
Experiential	Cir: extent	Carrier	Process: relational		Attribute/Cir: accomp.
Interpersonal	Adjunct: circ.	Subject	Finite	Predicator	Adjunct: circ.
	RESIDUE		MOOD		RESIDUE
Textual	textual Theme	topical Theme			
	Theme (marked)		Rheme		

Clause Complex II

Clause 6	But	after forty days	without a fish	the boy's parents	had	told	him
Experiential		Cir: extent	Cir: accompaniment	Sayer	Pr.: verbal		Receiver
Interpersonal	Adj: conj.	Adj: circ.	Adj: circ.	Subject	Fin.	Pred.	Compl.
	RESIDUE			MOOD		RESIDUE	
Textual	textual Theme			topical Theme			
	Theme (marked)					Rheme	

Clause 7	that	the old man	was	now	definitely	and	finally	salao
Experiential		Carrier	Pr.: Rel.	Cir: loc.	Cir: manner		Cir: manner	attribute
Interpersonal	Adj: conj.	Subject	Finite	Adj: circ.	Adj: comment	Adj: conj.	Adj: circ.	Compl.
	MOOD			RESIDUE				
Textual	Theme (unmarked)			Rheme				

Clause 8	which	is	the worst form of unlucky
Experiential	Token/Identified	Process: relational	Value/Identifier
Interpersonal	Subject	Finite	Complement
	MOOD		RESIDUE
Textual	Theme (unmarked)		Rheme

Clause 9	and	the boy	had	gone	at their orders	in another boat
Experiential		Actor	Pr.: material		Cir: cause	Cir: location
Interpersonal	Adj: conj.	Subject	Finite	Predicator	Adj: circ.	Adj: circ.
	MOOD			RESIDUE		
Textual	Theme (unmarked)			Rheme		

Clause 10 (incongruent)	which	caught	three good fish	the first week
Experiential	Actor	Pr.: material	Goal	Cir: location
Interpersonal	Subject	Finite	predicator	Complement
	MOOD		RESIDUE	
Textual	Theme (unmarked)		Rheme	

In clause 10, there may be a need for a parallel congruent analysis, which works simultaneously with the original metaphorical analysis above to reflect the exact state of affairs of the clause more closely (Thompson, 2004, p. 224). From the perspective of SFL, metaphor is a resource for expanding the meaning potential by creating new patterns of structural realisations, and thus new systemic domains of meaning (Thompson, 2004, p. 224; Halliday and Matthiessen, 2014, p. 699). Metaphor can be lexicogrammatically realised in all three metafunctions.

Analysing the clause congruently enables the assessor to find out the possible shift in any functional constituent, like Process or Participant. In clause 10, the metaphor is experiential in the Participant constituent; it was not the boat which caught the fish, but rather the fishermen working in that boat. The rationale for introducing this parallel congruent analysis is the possible relevance in translation. It apprehends the way a particular translator deals with conveying the intended meaning; whether he uses a similar *incongruent* form in the TT (or metaphorical) or adopts the *congruent* form (or typical), and how this choice has influenced the reproduction of the intended function.

Clause 10 (congruent)	with which	the fishermen	caught	three good fish	the first week
Experiential	Cir: manner	Actor	Pr.: material	Goal	Cir: loc.
Interpersonal	Adj: conj.	Subject	Finite	predicator	Complement
	MOOD			RESIDUE	
Textual	Theme (unmarked)			Rheme	

No	Clause Complex II		Logical Relation
	6	$\alpha 1$	
4	7	$\beta 1 \alpha 1$	Embedded Locution
5	8	$\beta 2 \beta 1$	Paratactic Elaborating
6	9	$\alpha 2 \alpha 1$	Paratactic Extending
7	10	$\beta 3 \alpha 2$	Embedded Extending

Clause Complex III

Clause 11	It	made	the boy	sad
Experiential		Pr.: relational, causative	Carrier	Attribute
Interpersonal	Subject	Finite	Predicator	Complement
	MOOD			RESIDUE
Textual	Theme (unmarked)			Rheme

Clause 12	to see	the old man	come	in each day	with his skiff	empty
Experiential	Pro-: mate-	Actor	-cess: -rial	Cir: loc.	Cir: accomp.	Goal
Interpersonal	Predicator	Compl.	Pred.	Adj: circ.	Adj: circ.	complement
	MOOD			RESIDUE		
Textual	Theme (unmarked)			Rheme		

Clause 13	and	he	always	went	down
Experiential		Actor	Cir: extent	Pr.: material	Cir: loc.
Interpersonal	Adj: conj.	Subject	Adjunct: mood	Finite	Pred.
	MOOD				RESIDUE
Textual	Theme (unmarked)				Rheme

Clause 14	to help	him	carry	either	the coiled lines	or	the gaff and harpoon	and	the sail
Exp.	Pro-: mate-	Benef.	-cess: -rial		Goal		Goal		Goal
Interp.	Pred.	Compl.	Pred.	Adj: conj.	Compl.	Adj: conj.	Complement	Adj: conj.	Compl.
	MOOD				RESIDUE				
Textual	Theme (unmarked)				Rheme				

Clause 15	that	was	furled	around the mast
Experiential	Goal	Process: material		Circumstance: location
Interpersonal	Subject	Finite	Predicator	Adjunct: circumstantial
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

No	Clause Complex III		Logical Relation
8	11	$\alpha 1$	Hypotactic Enhancing
	12	$\beta 1 \alpha 1$	
9	13	$\alpha 2 \alpha 1$	Paratactic Extending
10	14	$\beta 2 \alpha 2$	Hypotactic Locution
11	15	$\beta 3 \beta 2$	Embedded Extending

Clause Complex IV

Clause 16	The sail	was	patched	with flour sacks
Experiential	Goal	Process: material		Circumstance: manner
Interpersonal	Subject	Finite	Predicator	Adj: circ.
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

Clause 17	furled			
Experiential	Process: material			
Interpersonal	Finite		Predicator	
	RESIDUE			
Textual	Rheme			

Clause 18	and	it	looked like	the flag of permanent defeat
Experiential		Carrier	Process: relational	Attribute
Interpersonal	Adj: conj.	Subject	Finite	Predicator
	MOOD		RESIDUE	
Textual	Theme (unmarked)		Rheme	

No	Clause Complex IV		Logical Relation
12	16	$\alpha 1$	Embedded Extending
	17	$\beta \alpha 1$	
13	18	$\alpha 2 \alpha 1$	Paratactic Extending

Clause 19	The old man	was	thin and gaunt	with deep wrinkles	in the back of his neck
Experiential	Carrier	Pr.: Rel.	Attribute	Cir: accompaniment	Cir: location
Interpersonal	Subject	Fin	Complement	Adj: circumstantial	Adj: circumstantial
	MOOD		RESIDUE		
Textual	Theme (unmarked)	Rheme			

Clause Complex V

Clause 20	The brown blotches of the benevolent skin cancer (20)	were	on his cheeks
Experiential	Carrier		Pr.: Attribute/Cir: loc.
Interpersonal	Subject		Finite Adj: circ.
	MOOD		RESIDUE
Textual	Theme (unmarked)		Rheme

Clause 21	the sun	brings	from its reflection	on the tropic sea
Experiential	Goal	Process: material	Circumstance: manner	Circumstance: loc.
Interpersonal	Subject	Finite	predicator	Complement
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

No	Clause Complex V	Logical Relation
	20	α
14	21	$\beta \alpha$
		Embedded Elaborating

Clause Complex VI

Clause 22	The blotches	ran	well	down	the sides of his face
Experiential	Actor	Pr.: material	Cir: manner	Cir: loc.	Cir: location
Interpersonal	Subject	Finite	predicator	Adj: circ.	Adj: circumstantial
	MOOD		RESIDUE		
Textual	Theme (unmarked)	Rheme			

Clause 23	and	his hands	had	the deep-creased scars	from handling heavy fish	on the cords
Exp.		Carrier	Pr.: poss.	Attribute	Cir: cause	Cir: location
Interp.	Adj: conj.	Subject	Fin. Pred.	Complement	Adj: circumstantial	Adj: circ.
	MOOD			RESIDUE		
Textual	Theme (unmarked)			Rheme		

No	Clause Complex VI	Logical Relation
	22	$\alpha 1$
15	23	$\alpha 2 \alpha 1$ Paratactic Extending

Clause 24	But	none of these scars	were	fresh
Experiential		Carrier	Process: relational	Attribute
Interpersonal	Adj: conj.	Subject	Finite	Complement
	MOOD			RESIDUE
Textual	Theme (unmarked)			Rheme

Clause 25	They	were	as old as erosions in a fishless desert
Experiential	Token	Process: Rel.	Value
Interpersonal	Subject	Finite	Complement
	MOOD		RESIDUE
Textual	Theme (unmarked)		Rheme

Clause Complex VII

Clause 26	Everything about him	was	old	except his eyes
Experiential	Carrier	Process: relational	Attribute	Cir: manner
Interpersonal	Subject	Finite	Complement	Adj: circumstantial
	MOOD		RESIDUE	
Textual	Theme (unmarked)		Rheme	

Clause 27	and	they	were	the same colour as the sea
Experiential		Token	Process: relational	Value
Interpersonal	Adj: conj.	Subject	Finite	Complement
	MOOD			RESIDUE
Textual	Theme (unmarked)			Rheme

Clause 28	and	(ellipsis of they)	were	cheerful and undefeated
Experiential			Process: Rel.	Attribute
Interpersonal	Adj: conjunction		Finite	Complement
	MOOD			RESIDUE
Textual	Theme (unmarked)			Rheme

No	Clause Complex VII	Logical Relation
	26	$\alpha 1$
16	27	$\alpha 2 \alpha 1$
17	28	$\alpha 3 \alpha 2$

Clause Complex VIII

Clause 29 (minor)	'Santiago',
Experiential	Verbiage (of clause 30)
Interpersonal	Adjunct: vocative
	Ø, the vocative is located outside the scope of the both the MOOD and RESIDUE (Halliday and Matthiessen, 2014, p. 159)
Textual	Theme (interpersonal)

Clause 30	the boy	said	to him
Experiential	Sayer	Process: verbal	Receiver
Interpersonal	subject	Finite	Predicator
		Adjunct: circumstantial	
	MOOD		RESIDUE
Textual	Theme (unmarked)	Rheme	

Clause 31	as	they	climbed	the bank
Experiential		Actor	Process: material	Goal
Interpersonal	Adj: conj.	Subject	Finite	Predicator
		Complement		
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

Clause 32	from where	the skiff	was	hauled up
Experiential	Cir: location	Goal	Process: material	
Interpersonal	Adj: circ.	Subject	Finite	Predicator
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

No	Clause Complex VIII		Logical Relation
	29	$\alpha 1$	
18	30	$\alpha 2 \alpha 1$	Paratactic Locution
19	31	$\beta 1 \alpha 2$	Embedded Extending
20	32	$\beta 2 \beta 1$	Embedded Extending

Clause 33	I	could	go	with you	again
Experiential	Actor	Process: material		Cir: accompaniment	Cir: loc.
Interpersonal	Subject	Finite: modal	Predicator	Adj: circ.	Adj: circ.
	MOOD		RESIDUE		
Textual	Theme (unmarked)		Rheme		

Clause 34	We	've	made	some money
Experiential	Actor	Process: material		Goal
Interpersonal	Subject	Finite	Predicator	Complement
	MOOD		RESIDUE	
Textual	Theme (unmarked)		Rheme	

Clause Complex IX

Clause 35	The old man	had	taught	the boy	to fish
Experiential	Initiator	Pro-: mate-		Actor	-cess: -rial
Interpersonal	Subject	Finite	Predicator	Complement	Predicator
	MOOD		RESIDUE		
Textual	Theme (unmarked)		Rheme		

Clause 36	and	the boy	loved	him	
Experiential		Senser	Process: mental	Phenomenon	
Interpersonal	Adj: conj.	Subject	Finite	Predicator	Complement
	MOOD			RESIDUE	
Textual	Theme (unmarked)		Rheme		

No	Clause Complex IX		Logical Relation
	35	$\alpha 1$	
21	36	$\alpha 2 \alpha 1$	Paratactic Enhancing

Clause Complex X

Clause 37	No
Experiential	Verbiage (of 38)
Interpersonal	Mood Adjunct: Polarity
	MOOD
Textual	Theme

Clause 38	the old man	said
Experiential	Sayer	Process: verbal
Interpersonal	Subject	Finite
		Predicator
		RESIDUE
Textual	Theme (unmarked)	Rheme

No	Clause Complex X	Logical Relation
	37	$\alpha 2$
22	38	$\alpha 1 \alpha 2$ Paratactic Locution

Clause 39	You	're	with a lucky boat
Experiential	Carrier	Process: relational	Attribute/Cir: accompaniment
Interpersonal	Subject	Finite	Adjunct: circumstantial
		MOOD	RESIDUE
Textual	Theme (unmarked)		Rheme

Clause 40	Stay	with them
Experiential	Process: material	Circumstance: accompaniment
Interpersonal	Finite	Predicator
		Adjunct: circumstantial
		RESIDUE
Textual	Theme (unmarked)	Rheme

Clause Complex XI

Clause 41	But	remember
Experiential		Process: mental
Interpersonal	Adjunct: conjunction	Finite
		Predicator
		RESIDUE
Textual		Rheme

Clause 42	how	you	went	eighty-seven days	without fish
Experiential		Actor	Pr.: material	Cir: extent	Cir: accomp
Interpersonal	Adj: conj.	Subject	Finite	Pred.	Adjunct: circ.
	MOOD			RESIDUE	
Textual	Theme (unmarked)			Rheme	

Clause 43	and	then	we	caught	big ones	every day	for 3 weeks
Experiential		Cir: loc.	Actor	Pr.: material	Goal	Cir: extent	Cir: extent
Interpersonal	Adj: conj.	Adj: circ.	Subject	Fin	Pred.	Compl	Adj: circ.
	MOOD				RESIUE		
Textual	Theme (unmarked)				Rheme		

No	Clause Complex XI	Logical Relation
	41	$\alpha 1$
23	42	$\beta \alpha 1$
24	43	$\alpha 2 \alpha 1$

Clause Complex XII

Clause 44	I	remember
Experiential	Senser	Process: mental
Interpersonal	subject	Finite
	MOOD	
Textual	Theme (unmarked)	
	RESIDUE	
	Rheme	

Clause 45	the old man	said
Experiential	Sayer	Process: verbal
Interpersonal	Subject	Finite
	MOOD	
Textual	Theme (unmarked)	
	RESIDUE	
	Rheme	

No	Clause Complex XII	Logical Relation
	44	$\alpha 2$
25	45	$\alpha 1 \alpha 2$

Clause Complex XIII

Clause 46	I	know
Experiential	Senser	Process: mental
Interpersonal	subject	Finite Predicator
	MOOD	
Textual	Theme (unmarked)	Rheme
		RESIDUE

Clause 47	you	did not	leave	me
Experiential	Actor	Process: material		Goal
Interpersonal	Subject	Finite: negative	Predicator	Complement
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

Clause 48	because	you	doubted
Experiential		Senser	Process: mental
Interpersonal	Adjunct: conjunctive	Subject	Finite Predicator
	MOOD		RESIDUE
Textual	Theme (unmarked)		Rheme

No	Clause Complex XIII	Logical Relation
	46	α
26	47	$\beta \alpha 1$
27	48	$\beta 2 \beta 1$
		Hypotactic Idea
		Hypotactic Enhancing

5.5 The Metafunction Shift Analysis of the TTs

Whether the SFL model is viable in English-to-Arabic translation is a central thrust of this work. Matthiessen (2001) clearly states that the working hypothesis is that languages are metafunctionally congruent, except for the way each language divides up the labour of construing experience between the logical Mode (such as Kalam language) and the experiential Mode (such as English). He stresses the need to preserve the metafunctional effect as much as possible even if the SL and TL are systemically different (ibid.). In summary, Matthiessen's default case is that "metafunctions remain constant as we translate text from one language into another (...) even if there are fairly significant systemic differences between the languages involved" (ibid., p. 104). Put differently, systems exist in all languages, but the way these systems are realised can be

different from one language to another. The systemic differences between the SL and TL, argues Matthiessen (2001), can be reflected, for instance, in locating the systems and realisations along the rank scale (see Figure 5.2 and Example 2 in section 5.7). In his PhD thesis, Bardi (supervised by C. Matthiessen, a leading figure in the SFL school) whose work is unique in describing the grammar of Arabic from an SFL perspective, points out that this linguistic model suits the description of Arabic grammar as the model leans towards meaning rather than towards syntactic structure; it is a semantically-oriented model of description (2008, p. 1). He goes further to assume that "many notions that Halliday proposed either have similar correlates in the Arab tradition or can be better understood, interpreted and developed through Halliday's systemic functional theory than through other structural ones" (ibid.).

This analytical assessment model, as its name suggests, explores the metafunctional match between the ST sample and the corresponding seven translations. The counted shifts, fittingly, are located within Matthiessen's metafunction shift (see table 5.1). The governing dictum is Matthiessen's principle: "in translation metafunction tends to be preserved. But within a metafunction, there may be considerable variation – both shifts across ranks and shifts within ranks (structural in the first instance, but also systemic)" (2001, p. 99, 101). In other words, the metafunction shift is 'optional' while the other types are mostly 'obligatory' (the terms will be discussed further below in sections 5.7 and 5.8). In general, this study can be viewed as a way to include the shifts within the equivalence *paradigm*³⁶. A translation, argues Pym, might undergo, for example, a form of shift when it aims at finding equivalence at the level of function, a structural shift when it defines equivalence in terms of the semantic value, and so on (2014, p. 64). In particular, *metafunctional equivalence* represents the boundary which translation in this study should not overstep. In her interlingual and re-instantiation model of translation, Souza considers metafunctional equivalence the "touchstone of

³⁶ A paradigm, in TS context, is a set of theories (general ideas, relations and/or principles) that work cohesively within one entity and share the same point of departure for people working with these theories (Pym, 2014, p. 3). For example, theories using ST, TT and equivalence terms are subsumed under the equivalence paradigm which aims at finding equivalence in translation and which has the same point of departure, that is the comparison of source and target texts (ibid.).

translation in the SF approach" (2013, p. 576). There is no hesitation then in saying that any deviation or change from metafunctional equivalence is mainly considered a shift. However, what the study quantifies and considers as a major shift is one belonging to Matthiessen's metafunction shift. The other shifts related to the differences between the SL (English) and TL (Arabic) in rank or system will not be quantified or considered as they are mainly 'obligatory'. Blum-Kulka, to this effect, rightly points out that "only the *optional* choices should be taken into account, since only these can legitimately be used as evidence for showing certain trends in shifts" (1986, p. 33, italics in the original).

Taking into account the methodological viewpoint, this is mainly a bottom-up study of shifts within the equivalence paradigm (cf. section 5.1). It sets out to "collect the differences, then organise the shifts" (Pym, 2014, p. 64). The study, however, attempts (to a limited extent) to extend beyond the equivalence paradigm and, using the top-down method of shift analysis, touches upon some patterning and causation analyses of shifts to interpret or illustrate a theoretical reference in question. Examples of these attempts can be found in sections 5.7 and 5.8. This can certainly enrich the discussion and bridge the gap between the two methods of analysis. It is also important to point out at this stage that this analytical study investigates *text-based shifts*, but not *reader-based shifts* (for more on the difference between them, see Table 5.1). In other words, what the study investigates is the potential effect on the meaning, but not the real effect on TLRs. Blum-Kulka (1986) stresses the need to extend the shift study to include psycholinguistic study of text processing that investigates translation effects for the purpose of validating or refuting the claims pertaining to those shifts. This, however, is located beyond the outer boundary of the stated aims of the study.

After analysing the metafunctions of the ST, the seven TTs will now be analysed to locate, define and organise the metafunction shifts. This analysis will identify the discernible *trend*³⁷ concerning metafunctional shifts for each TT and for the seven TTs

³⁷ The trend is the overall translational behaviour in a given translation which is identified by the description of the translation process (Hatim and Munday, 2004, p. 9; Toury, 2012, p. 5).

in general. A copy of each TT is found in appendices from 2 to 8. If the same type of shift is repeated in the same clause, it will not be calculated again. A good illustration of this is provided by the case in which the translator makes two or three Circumstance shifts in the same clause; they will be counted as one Circumstance shift. This is to keep the maximum number of shifts in each constituent (except for the Logical constituent being 27 relations) represent the total number of clauses (48).

It is worth mentioning at this stage that Kim's model is being implemented but at the same time substantially modified in the following ways:

1. The general framework of the metafunction analysis of the ST is provided.
2. Clauses are numbered and analysed in detail for the three metafunctions.
3. Clause complex analysis is introduced to locate the Logical Relations between clauses.
4. The unmarked and marked Theme distinction is considered.
5. The Modifier element is overlooked on the grounds that it is an element of the nominal group realised in the form of a relative or non-finite clause, and as a corollary, it is broadly captured in the Logical Relations between clauses.
6. A detailed table of metafunction translation shifts is created for each TT sample.
7. The exact constituent of the possible interpersonal shift is identified. The Adjunctive Conjunctive element, for example, is not analytically represented by the experiential function.
8. In discussing the examples, an attempt will be made to explain and label the kinds of translation shifts, according to well-established key works, such as Pérez (2007) and Matthiessen (2001).
9. A complementary study of explicitation is appended to account for the added elements that lie beyond the scope of this metafunction shift analysis.

Mistranslation here represents cases where all the three Transitivity constituents (Participant, Process and Circumstances) are inappropriately translated, and *Omission*

refers to the case in which the entire clause is not translated. The following tables outline the metafunction shift data analysis of the seven translations. The percentage column represents how unsuccessful the translator is in each category.

Ali's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	2, 4, 10, 14, 19, 20, 23, 25, 27, 28, 34, 42	12	25
	Process	1, 2, 6, 11, 14, 15, 18, 19, 21, 23, 25, 28, 30, 32, 33, 34, 39	17	35.4
	Circumstance	2, 6, 7, 12, 13, 19, 20, 21, 32	9	18.8
	Tense		0	0.0
	Mistranslation	8, 17, 29	3	6.3
Logical (27 relations)		1, 4, 5, 7, 11, 12, 13, 14, 17, 20, 21, 22, 25	13	48.1
Interpersonal		7 (conj.), 7 (MOOD), 8 (MOOD), 12 (Adj.), 14 (conj.), 15 (Subject), 28 (RESIDUE), 32 (Subject), 37 (MOOD), 41 (MOOD), 44 (MOOD)	11	22.9
Textual		5, 6, 10, 15, 29, 33, 38	7	14.6
Others	Word Choice	1, 2, 3, 6, 19, 20, 21, 34, 48	9	18.8
	Omission	22, 24, 36, 45	4	8.3
Total			85	18.5

Table 5.4: Metafunction shift analysis of Faeq Ali's translation

Alqasimi's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	20	1	2.1
	Process	11, 13	2	4.2
	Circumstance	22	1	2.1
	Tense		0	0.0
	Mistranslation		0	0.0
Logical (27 relations)		22, 25	2	7.4
Interpersonal		39 (Adj.)	1	2.1
Textual		38	1	2.1
Others	Word Choice		0	0.0
	Omission		0	0.0
Total			8	1.7

Table 5.5: Metafunction shift analysis of Ali Alqasimi's translation

Zakareya's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	2, 4, 14, 19, 20, 22, 27, 34	8	16.7
	Process	1, 2, 4, 5, 6, 9, 13, 20, 22, 32, 34, 39, 48	13	27.1
	Circumstance	9, 13, 21, 22	4	8.3
	Tense		0	0.0
	Mistranslation		0	0.0
Logical (27 relations)		1, 3, 11, 16, 18, 20, 21, 22, 25	8	29.6
Interpersonal		4 (non-finite), 15 (Subject), 27 (conj.), 32 (Subject), 37 (MOOD), 41 (MOOD), 44 (MOOD)	7	14.6
Textual		15, 32, 38	3	6.3
Others	Word Choice	1, 2, 3, 4, 9, 15, 21, 23, 24, 27	10	20.1
	Omission		0	0.0
Total			53	11.5

Table 5.6: Metafunction shift analysis of Zeyad Zakareya's translation

Wehbe's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	14, 18, 19, 23, 28, 34, 39	7	14.6
	Process	1, 2, 3, 11, 20, 32, 39	7	14.6
	Circumstance	2, 3, 7, 13, 19, 23, 42	7	14.6
	Tense		0	0.0
	Mistranslation		0	0.0
Logical (27 relations)		2, 3, 7, 14, 16, 22, 25	7	25.9
Interpersonal		3 (MOOD), 4 (non-finite), 14 (conj.), 24 (conj.), 32 (Subject), 44 (MOOD)	6	12.5
Textual			0	0.0
Others	Word Choice	1, 9, 14, 20, 40	5	10.4
	Omission		0	0/0
Total			39	8.3

Table 5.7: Metafunction shift analysis of Gabreal Wehbe's translation

Nassar's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	5, 15, 23	3	6.3
	Process	5	1	2.1
	Circumstance	2, 5, 22, 32	4	8.3
	Tense		0	0.0
	Mistranslation		0	0.0
Logical (27 relations)		22, 25	2	7.4
Interpersonal		6 (conj.), 14 (conj.)	2	4.2
Textual		38	1	2.1
Others	Word Choice	1, 14, 22, 42	4	8.3
	Omission		0	0.0
Total			17	3.7

Table 5.8: Metafunction shift analysis of Sameer Nassar's translation

Baalbaki's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	9, 14, 20, 47	4	8.3
	Process	9, 13, 21, 32, 43	5	10.4
	Circumstance	3, 7, 9, 13, 21, 22, 23, 40, 43	9	18.8
	Tense	36	1	2.1
	Mistranslation		0	0.0
Logical (27 relations)		15, 20, 22, 25	4	14.8
Interpersonal		6 (conj.), 7 (conj.), 14 (conj.), 16 (Adj.), 32 (Subject), 47 (finite: negative)	6	12.5
Textual		38	1	2.1
Others	Word Choice	1, 3, 13, 14, 18, 19, 20, 21, 23, 28, 34	11	22.9
	Omission	37	1	2.1
Total			42	9.2

Table 5.9: Metafunction shift analysis of Muneer Baalbaki's translation

Zahid's Tr.		Clause Number	Total	%
Shift Type				
Experiential	Participant	2, 12, 14, 16, 20, 23, 31	7	14.6
	Process	3, 9, 11, 15, 16, 23, 26, 30, 32, 34, 38	11	22.9
	Circumstance	2, 3, 6, 7, 9, 10, 12, 13, 16, 21, 22, 23, 40, 42, 43	15	31.3
	Tense		0	0.0
	Mistranslation		0	0.0
Logical (27 relations)		5, 6, 7, 11, 21, 24, 25, 26	8	29.6
Interpersonal		4 (non-finite), 6 (conj.), 9 (conj.), 10 (Adj.), 14 (conj.), 15 (Subject), 24 (conj.), 32 (Subject), 35 (Pred.), 44 (MOOD)	10	20.9
Textual		6, 9, 11, 15	4	8.3
Others	Word Choice	1, 5, 14, 18, 20, 23, 38	7	14.6
	Omission	17	1	2.1
Total			63	13.7

Table 5.10: Metafunction shift analysis of Abdulhameed Zahid's translation

Table 5.10 summarises the number of clauses where each translator makes particular translation shifts in the given sample. The table shows conclusively that in terms of metafunction correspondence, Alqasimi outranks the other translators while Ali comes right at the bottom of the list. The last column represents the average number of clauses that contain each type of shift. The table will be followed by graphic representations for convenient comparison.

Translator		Shift Type									
		Ali	Alq.	Zak.	Weh.	Nass.	Baal.	Zah.	Total	%	Ave.
Experiential	Participant	12	1	8	7	3	4	7	42	13.7	6
	Process	17	2	13	7	1	5	11	56	18.1	8
	Circumstance	9	1	4	7	4	9	15	49	16	7
	Tense	0	0	0	0	0	1	0	1	0.3	0.1
	Mistranslation	3	0	0	0	0	0	0	3	1	0.4
Logical		13	2	8	7	2	4	8	44	14.3	6.3
Interpersonal		11	1	7	6	2	6	10	43	14	6.1
Textual		7	1	3	0	1	1	4	17	5.5	2.4
Other	Word Choice	9	0	10	5	4	11	7	46	15	6.6
	Omission	4	0	0	0	0	1	1	6	2	0.9
Total		85	8	53	39	17	42	63	307	≈100	

Table 5.11: Number of shifts in the different categories

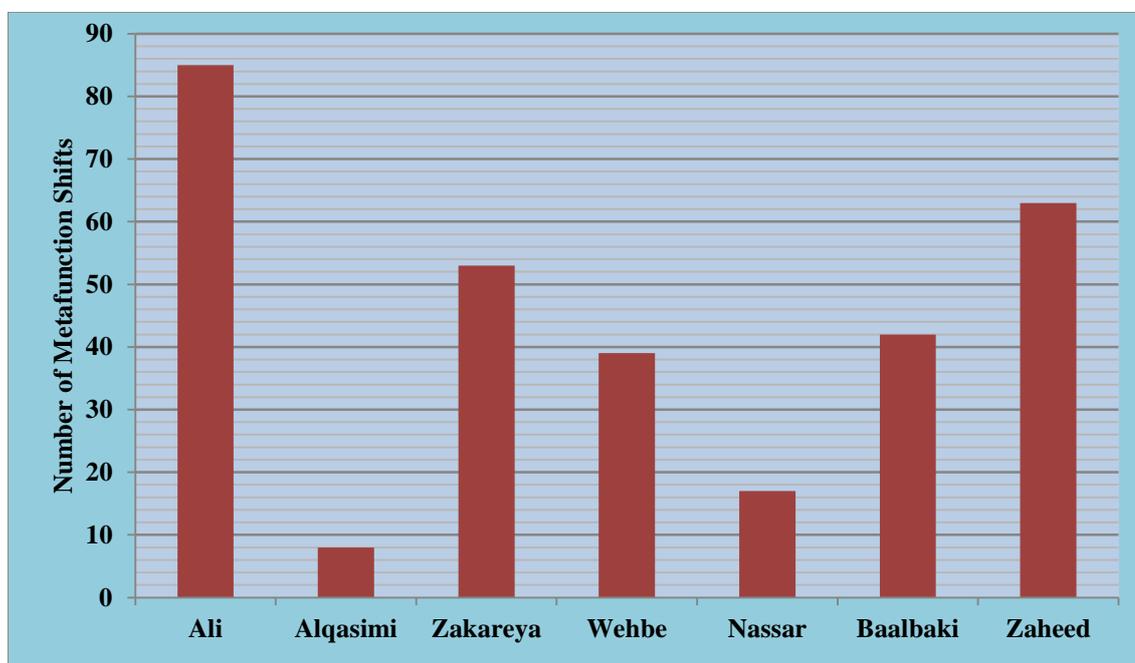


Figure 5.3: Number of metafunction shifts for each translator

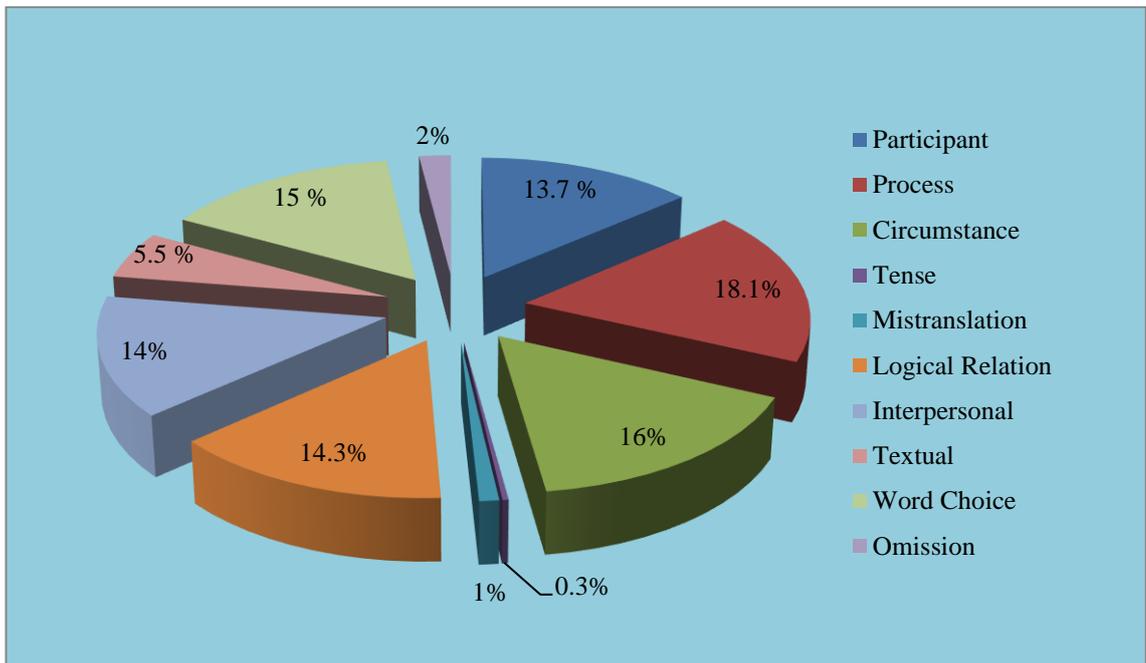


Figure 5.4: The percentage of each shift type

5.6 Individual Translator's Shift Patterns

As expected, each translator has his own pattern or trend of translation. This obviously reveals areas in which the translator, as these data suggest, excels at or fails in translating a particular metafunctional constituent, which undoubtedly exerts a determining influence on the accuracy of translation. In this section, three translators' individual shift patterns (the one having the highest number of shifts, the one having the fewest, and the median) will be graphically presented and subject to discussion and interpretation. A sharp distinction will be drawn in particular between the two translators located at the two poles.

Table 5.11 shows that Ali has the highest number of shifts in all metafunctional shift types except Tense. As shown in Figure 5.5 below, he significantly exceeds the average number of clauses that contain shifts of these categories. By way of illustration, he makes shifts in the Textual, Process, Logical, and Participant categories, which respectively constitute 41.2%, 30.4%, 29.5% and 28.6% of the total number of shifts in

each category. Further, he omits translating 4 clauses, constituting more than a half of the total omitted clauses (66.7%), and mistranslates 3 clauses, representing 100% of the total mistranslated ones.

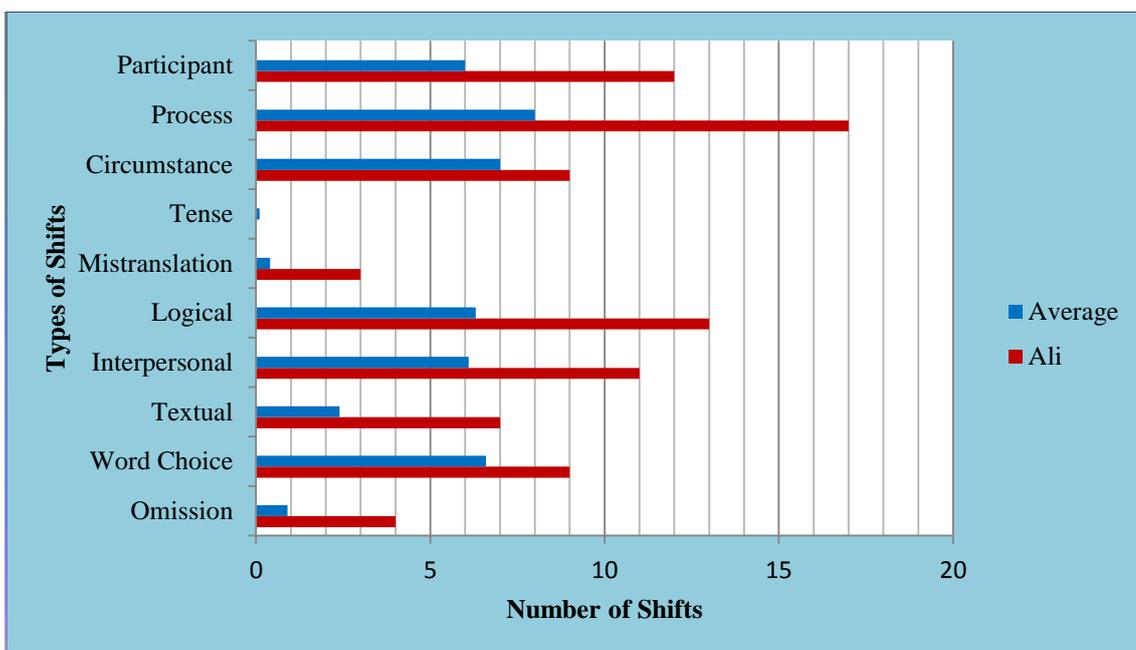


Figure 5.5: Ali's metafunction shift pattern

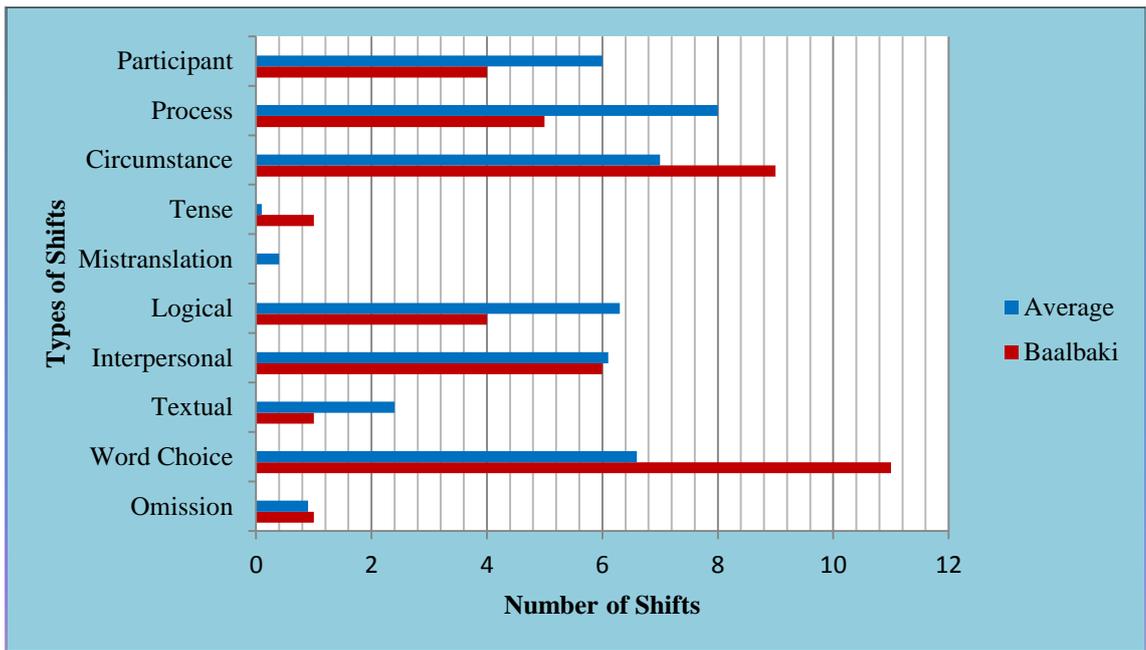


Figure 5.6: Baalbaki's metafunction shift pattern

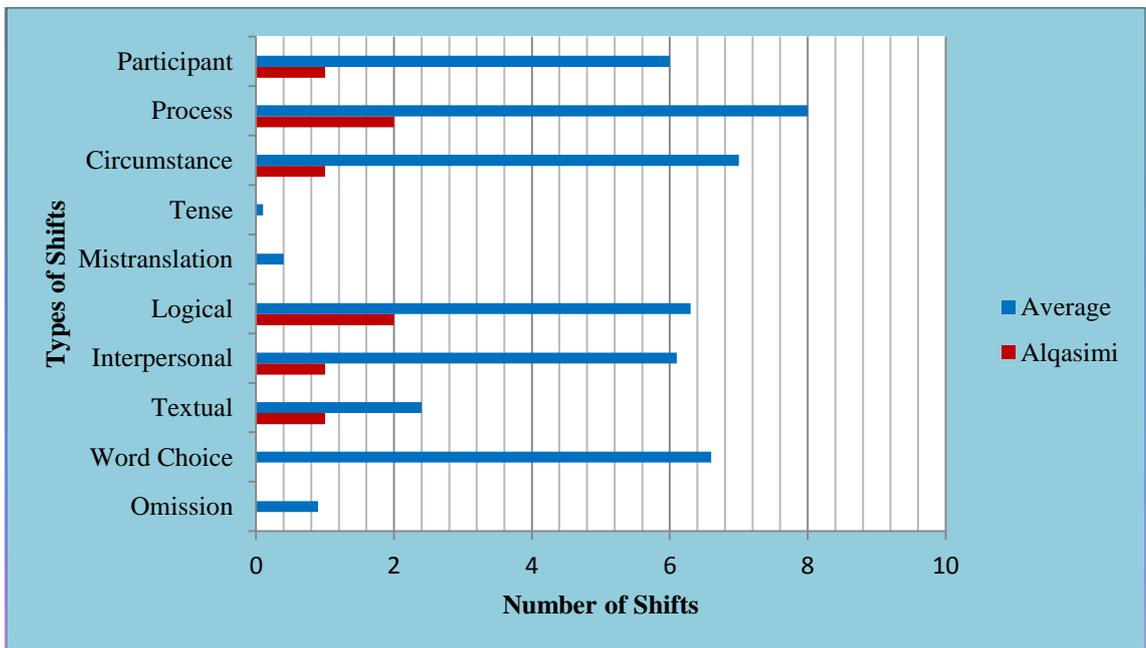


Figure 5.7: Alqasimi's metafunction shift pattern

At the other end, Alqasimi has the fewest number of translation shifts in the given ST mini-corpus. Quantitatively, Ali and Alqasimi are poles apart on the metafunction shift analysis albeit in this small sample. Figure 5.7 shows that Alqasimi scores zero shifts in 4 categories. In the other 6 categories, he records a number of shifts which is significantly less than the average. This suggests Alqasimi's high linguistic sensitivity and competence in English and his skill in producing almost the same functions intended by the ST author. Taking into account the importance of Process as the core constituent in the ideational metafunction, and thus in the Transitivity system (Thompson, 2004, p. 87), Ali makes 17 Process shifts representing the highest number of total shifts in this category. Alqasimi, by comparison, makes only two shifts. Alqasimi makes one Circumstance, two logical and one interpersonal shift, but this does not seem to be a major number of shifts in view of the average numbers of these categories (7, 6.3 and 6.1) and the total number of shifts (49, 44 and 43) respectively.

5.7 Discussion of Examples of Shifts within Different Metafunctions

The time has now come to consider the most fruitful aspect of the most delicate terrain of the model. This is the discussion of some examples of shifts drawn from this metafunction matching analysis. These shifts are likely to affect the intended meaning of the ST. Moreover, they "may affect the texture of the target text in comparison to the source text" (Munday, 1997, p. 4). The purpose of these examples is to explore what metafunctional features are seen as being relevant at assessing the quality of the TTs and accounting for the possible shifts. In fact, there are dozens of examples worthy of discussion; however, indicative ones will be selected to cover most of the metafunctional shifts analysed and defined as unjustifiable, or using Baker's term "unnecessary shifts in translation" (2011, p. 160). Occasionally, examples do not necessarily involve translation shifts (i.e. no major shifts can be inferred), but rather points where the metafunction analysis of English and Arabic contrasts. The discussion will centre in the main on SFL-related issues and interpretations, be they purely grammatical or translation-related. However, and from this point, any accessible

theoretical account, interpretative insight or research result in TS will be brought to bear in as far as it proves useful and fits well the overall thread of the discussion. Pym's conclusive remark on this particular issue will be instructively quoted:

I clearly do not belong to just one paradigm. I do not think anyone need be situated in just one place or another. We should feel free to move between the paradigms, selecting the ideas that can help us solve problems. That is the way I think translation theories should develop. (2014, p. 159)

The discussion will employ the technique of back-translation. Some issues involving translation shifts will be addressed and labelled in as much detail as possible. Furthermore, a comparison with one or more translations will be made to enrich the discussion through pin-pointing of some problematic areas of English-to-Arabic translation and to advocate the possible interpretations. After that, a large section will be dedicated to an exemplar-based study of explicitation.

Example 1:

ST	(and the sail) that was furled around the mast
Related Clause(s)	15 and Logical Relation No. 11
Focus of Discussion	Ideational (experiential: Process) and (Logical Relation), Textual (Theme), Interpersonal (Subject)
TT	ولف الشراع حول الصارية.
Translator	Ali
BT	And furl the sail around the mast.

In Example 1, four interrelated issues will be addressed as regards shift in translating the given clause: Process, interpersonal (Subject), Theme and Logical Relation. The Transitivity system, point out Halliday and Matthiessen, centres on Process in providing a configuration of lexicogrammatical resources that construe a quantum of change in the flow of events as a figure (2014, p. 213). Processes can be defined as "expressions of

happening, doing, being, saying and thinking" (Butt et al, 2000, p. 50). The lexicogrammatical resources accountable for realising these functional constituents of Processes in English are the verbal groups (ibid.). In Arabic, however, they can be realised also by nominal groups as in some Relational Processes, for example: *which is the worst form of unlucky* (clause 8) is translated in Arabic as *وهو أردأ أنواع سوء الحظ* (Alqasimi, 2013, p. 77). In a case like this, Matthiessen rightly points out that Arabic has the same system of Transitivity as that of English but structurally they are different; though he concludes that "there is no difficulty in matching them up as translation equivalents" (2001, p. 110). Processes are divided into six Process Types (Material, Behavioural, Mental, Verbal, Relational and Existential). In a narrative text, which is the text type here, these Process types are used to construe the narrative plot as pointed out by Caffarel, Martin and Matthiessen:

The six different primary process types make distinct contributions to the construction of text. For example in construing a narrative plot, the grammar deploys 'material' clauses to construct the main event line, 'verbal' clauses to construct dialogic passages, 'mental' clauses to construe the participants' emotive reactions to events, and 'relational' clauses to construct descriptive background and both preconditions and outcomes of 'material' clauses. (2004, p. 49)

As seen in the metafunction analysis above, each of these is associated with different Participant functions. The Process here is Material both in the ST and TT. Metafunctionally speaking, Transitivity can mainly be actualised by *operative* (traditionally known as *active*) or *receptive* (traditionally known as *passive*) voices (Halliday and Matthiessen, 2014, p. 227). In Material clauses, two particular subtypes can be distinguished here regardless of the voice type: *creative* and *transformative* Material clauses. A creative clause refers to one in which the Actor (in an intransitive clause) or Goal (in a transitive clause) is construed as being brought into existence as the Process unfolds, as in *she painted a portrait of the artist*, whereas a transformative clause is one where a pre-existing Actor or Goal is construed as being transformed as the Process unfolds, as in *she painted the house red* (ibid., pp. 228-32). The outcome of

this Process analysis is this: the ST is a creative receptive material clause, while the TT is a creative operative material clause. In her lengthy discussion of Transitivity-related transformations, Pérez (2007, p. 90) refers to this lexicogrammatical resource available for language users as a 'depersonalised receptive voice'. It is one by which a speaker actualises the voice and decides to remove the Actor and keep it implicit, and it can be contextually unfolded. Taking into account the main Process in clause 13 *to help carry*, the boy just helped the old man carry many things including the sail that was already furled around the mast, and so, it was not the boy who furled or helped in furling the sail. The stylistic effect (and thus meaning) of manifesting or deleting the Participant as seen through the eyes of functionalist stylistics is represented by Canning (2014, p. 51): "The more explicit the Participants, the more explicit the responsibility for the 'doing'". In fact, three translations undergo the same shift, while the other three are successful in composing the Process Type function in the receptive voice by the use of an adjective: either اسم المفعول the 'passive participle' المطوي (*furled*) or اسم الفاعل the 'active participle' الملتف (*rolling around*). The following table represents their translations.

ST: (and the sail) that was furled around the mast			
Successful Translation ³⁸		Unsuccessful Translation	
Translator	TT	Translator	TT
Baalbaki	... والشراع المطوي حول السارية. BT: and the sail furled around the mast.	Zakareya	وطي الشراع حول الصاري. BT: and furl the sail around the mast.
Nassar	والشراع المطوي حول الصاري. BT: and the sail furled around the mast.	Zahid	ولف الشراع حول السارية. BT: and fold up the sail around the mast.
Wehbe	أو الشراع الملتف حول صاري المركب. BT: or the sail rolling around the mast of the boat.		
Alqasimi	أو الشراع المطوي حول السارية. BT: or the sail furled around the mast.		

³⁸ Successful translation, claim Hatim and Munday (2004, p. 184), is text-type determined. This concept, however, cannot be simply generalised as such. Successful translation, argues Lederer (2003, p. 45), is very closely associated with the difference between the two familiar concepts of equivalence (which exists between texts) and correspondence (which exists between linguistic elements). Accordingly, a successful translation is one that achieves overall equivalence between the ST and TT (*ibid.*). More precisely, House (2001b) gives more weight to the interaction between a particular text and a particular context to maintain equivalence and thus achieve successfulness in translation.

The metafunction analysis of clause 15 is reproduced for convenient comparison. It will be immediately followed by mapping metafunction analysis onto Ali's TT.

Clause 15	that	was	furled	around the mast
Experiential	Goal	Process: material		Circumstance: location
Interpersonal	Subject	Finite	Predicator	Adjunct: circumstantial
	MOOD		RESIDUE	
Textual	Theme (unmarked)	Rheme		

Clause 15	حول الصارية	الشراع	لف	و
Experiential	Circumstance: location	Goal	Process: material-Actor	
Interpersonal	Adjunct: circumstantial	Compl.	Verbal noun-Subject (the boy)	Adj: conj.
	RESIDUE		MOOD	
Textual	Rheme		Theme (unmarked)	

To figure out the lexicogrammar of the word لف (*rolling*) in Arabic, looking back at the whole sentence is paramount: (ويساعده في لملمة حباله, وحمل رمح صيد القرش معه, ولف الشراع حول (الصارية)). The word لف (*rolling* or *folding up*) is structurally parallel to the verbal nouns لملمة (*gathering*) and حمل (*carrying*). The Process here is an operative Material actualised in Arabic by a noun, and not by a verb. This is also possible in English by the lexicogrammatical choice of *nominalisation* which "allows a process, more obviously realised as verb, to be realised as a noun" (Bloor and Bloor, 2004, p. 214). Clause 4 (without **taking** a fish) is an example of nominalisation, where the gerund *taking* – "an alternative form of nominalisation in English" (*ibid.*, p. 216), constitutes the Process.

The second shift is strongly related to the first one. In the ST clause, the interpersonal Subject is the Goal of an operative Process, while in the TT the interpersonal Subject is the Actor of a receptive Process. In this regard, Eggins points out:

The difference between active and passive clauses relates to whether the Actor role (the doer of the action) is conflated with the Mood function of Subject or not. In the active, the roles of Actor and Subject are mapped on to the same constituent. In the passive, however, the Subject is not also the Actor. (2004, p. 216)

The third issue which is intimately related to Subject shift, as shown in the metafunctional map analysis above, is the textual shift affecting the Theme. This clarifies the total analytical picture. In general, English and Arabic correspond in the general relationship between Theme and Mood according to the SFL model. The relationship, simply, lies in the conflation of Theme with a clause component according to the Mood type (Halliday and Matthiessen, 2014, p. 97). As noted earlier (see section 3.2.4.5), the Mood is the interpersonal system that provides the required resources for enacting speech functions. These functions can be interpersonally referred to as the Mood types. Halliday and Matthiessen (2014, p. 143, p. 165) point out that there are two main Mood types extending into subtypes and subdivisions: indicative Mood type (used to exchange information), subdivided into declarative (an expression of a statement) and interrogative (a question) subtypes and imperative Mood type (used to exchange goods-&-services). For more on English Mood types, see Halliday and Matthiessen (2014, p. 160 and Figure 4.13, p. 162), and for more on Arabic Mood types, see Bardi (2008, p. 459 and Figure 5.2, p. 460).

The declarative Mood type is common in prose fiction as it is an expressive text type; all the clauses in the ST sample happen to be of declarative Mood. In English, the structure of the declarative Mood is characterised by an order in which the Subject precedes the finite verb, which in turn can be followed by a Complement or an Adjunct (Halliday and Matthiessen, 2014, p. 143), i.e. SV(...). In contrast, an Arabic clause, points out Bardi (2008, p. 459), can be realised within the system of Mood into two main declarative Mood patterns: Subject-Verb-(Complement or Adjunct), SV(...) – traditionally known as a 'nominal clause or sentence' or Verb-Subject-(Complement or Adjunct), VS(...) – traditionally known as a 'verbal clause or sentence'. The initial position is essentially bound to rhetorical, interpersonal and ideational purposes (ibid.). In accordance with this, the standard unmarked Theme is conflated in Arabic with Subject in an SV(...) clause, or Process in a VS(...) clause (ibid., p. 460). Therefore, there is no difficulty whatsoever in matching either clause in Arabic up to the unmarked Theme of the standard declarative Mood in English. That is why there is no significant textual metafunction shifts quantified in the study. For example, Clause 9 in the ST *and*

the boy had gone at their orders in another boat is simply translated, with no textual shift deduced, by Alqasimi (2011, p. 77) as a VS(...) standard pattern in Arabic **فانتقل** الصبي بناء على أوامرهما إلى قارب صيد آخر (the unmarked Themes are bolded). In such cases, structural difference between English and Arabic is inevitable, and as a corollary, this type of shift is informed by the difference in systemic realisation between the two languages. Put differently, moving part of the Rheme (the Process) of an English clause to the Theme position and subsuming the Actor under the Rheme in Arabic is an 'obligatory shift' (the term will be defined in Example 2 below). The following mapping of metafunction analysis on Alqasimi's translation will give more insight:

Clause 9	and	the boy	had	gone	at their orders	in another boat
Experiential		Actor	Pr.: material		Cir: cause	Cir: location
Interpersonal	Adj: conj.	Subject	Finite	Predicator	Adj: circ.	Adj: circ.
	MOOD			RESIDUE		
Textual	Theme (unmarked)			Rheme		
Clause 9	إلى قارب صيد آخر	بناءً على أوامرهما	الصبي	انتقل	ف	
Experiential	Cir: location	Cir: cause	Actor	Process: material		
Interpersonal	Adj: circ.	Adj: circ.	Subject	Predicator	Adj: conj.	
	RESIDUE			MOOD		
Textual	Rheme			Theme (unmarked)		

The average of textual metafunction shift, as evidenced by the present data (Table 5.11), does not have a significant value (only 2.4) when compared to the other metafunctions. Back to Example 1, there is a textual shift in the Theme in Ali's, Zakareya's and Zahid's translations. The Theme is not the verbal noun لف (*rolling*) or طي (*furling*) as translated by these three translators; it should be الشراع (*the sail*), as successfully translated by the other four translators.

The final issue is the Embedded Extending Logical Relation between clauses 14 and 15. The Embedded Extending (clause 15) functions as a constituent in (clause 14) and extends its meaning by adding something new (Thompson, 2004, p. 201; Halliday and Matthiessen, 2014, p. 471). It is, according to Bloor and Bloor (2004, p. 156), a

defining relative clause. The translator, like the other three translators, fails to maintain the Logical Relation intended by the ST author. Example 1 is deliberately selected as it reveals the metafunctionally interdependent nature of some inaccurate or mismatch compositions in translation. The basic purpose of bringing this example to light is to show that if the embedded Logical Relation is misrepresented in translation, the receptive Process is shifted and the interpersonal Subject is decomposed accordingly.

Example 2:

ST	The old man was thin and gaunt with deep wrinkles in the back of his neck .
Related Clause(s)	19
Focus of Discussion	Experiential (circumstance)
TT	كان شيخاً نحيفاً هزياً، تناثرت على قفاه تجاعيد عميقة
Translator	Zahid
BT	He was a thin and gaunt old man with deep wrinkles spreading in the back of his neck .

Circumstances are essential components in the Transitivity system. They are defined as those lexicogrammatical resources which are concerned with "such matters as the settings, temporal and physical, the manner in which the process is implemented, and the people or other entities accompanying the process rather than directly engaged in it" (Bloor and Bloor, 2004, p. 131). Circumstance, point out Butt et al (2000, pp. 70-1), is realised by adverbial groups (as *definitely* in clause 6), prepositional phrases (as *in another boat* in clause 8) or nominal groups (as *eighty-four days* in clause 3). In this example, the translator inserts the Material Process تناثرت (*strew over*) to convey the same function because this Accompaniment Circumstance is a readily acceptable TL structure. Five other translators use similar lexicogrammatical resources, such as انتشرت (*spread*) and توغلت (*dug deep*). Pérez (2007, pp. 155-6) refers to this shift as *expansion* where No Process in the ST is replaced by a Process in the TT. The influence of this shift is to make the Participant more actively engaged in the event than its ST counterpart (ibid.). One translator, Alqasimi, uses a Possessive Relational Process: وله (*He has deep wrinkles in the back of his neck*). Nassar is the only translator opting for a zero Process in the TT: كان الرجل العجوز نحيفاً وهزياً بغضون عميقة في

قفا رقبته (*The old man was thin and gaunt with deep wrinkles in the back of his neck*). This seems stylistically oblique in Arabic and does not read cogently. Nassar's choice of the preposition *بـ* (*with*) makes the texture, as suggested by Blum-Kulka (1986, p. 21), *loose*, which negatively affects the continuity and semantic unity of this clause in Arabic. In contrast, the use of the Processes *تنتثر* (*strew over*), *انتشرت* (*spread*), or *توغلت* (*dug deep*) and the suffixed 3rd person masculine singular pronoun in *قفاه* (*the back of his neck*) or the Possessive Relational Process by the other translators act as *dense* textural markers (as opposed to loose ones) that preserve the same metafunction but in the TL system, keeping the clause smoothly continuous and semantically unified. This is an example of systemic differences between English and Arabic in locating the system and the realisation along the rank scale.

Interestingly, the insertion of a Process to represent a circumstantial constituent in Arabic can also be tracked down in English SFG. A functional resemblance between English and Arabic can be seen in this regard. If a Circumstantial element is taken from a Process Type-related perspective, it can be considered itself a Process that has become 'parasitic' on another Process (Halliday and Matthiessen, 2014, p. 312). Along the same lines, Matthiessen (2001) refers to this kind of Circumstance as Minor Transitivity. In SFL terms, this shift can also be looked at as an *upgrading*³⁹ strategy; the rank of the Circumstantial element is upgraded here into a Material Process clause. In conclusion, the use of obliquely metafunctional structures in Arabic in these examples results in non-shift within metafunction. As noted above, Matthiessen (*ibid.*) argues that as far as the system of meaning in an unmarked case is preserved in the TT, the structural shift in this case remains TL-specific, and thus does not cause any major shift. This view agrees with Toury's argument that an obligatory shift stems from systemic differences between the SL and TL (2012, p. 80).

³⁹ Upgrading, point out Halliday and Matthiessen (2014, pp. 699-700), is a lexicogrammatical (particularly metaphoric) strategy in SFG by which one rank is upgraded into a broader rank in the rank scale. Such upgrading will incontestably result in adding new patterns of structural realisation and expanding the ideational, interpersonal and textual manifestations of the utterance (*ibid.*).

This choice seems to concur with Blum-Kulka's (1986) obligatory-optional dichotomy of shifts, which is adopted also in Pérez's (2007, p. 150) three-fold shift distinction: *obligatory*, *preferential* and *optional*. In this discussion, Blum-Kulka's (1986) distinction, which is based on an investigation of shifts in cohesion, will be used in the interest of relevance and clarity. In fact, all the shifts quantified in this study are optional shifts, which are essentially referred to in the original model as 'errors'. These shifts can be mainly subsumed under Matthiessen's category of metafunction shift (see Table 5.1). This shift can be said to be optional, while the other three types are mostly obligatory resulting from the differences between English and Arabic in terms of the way their systems and ranks are realised. An 'obligatory choice' in translation is one imposed by the grammatical system of the two languages, while an 'optional choice' is attributable to stylistic preferences between the two languages (ibid.). The kind of choice here is more likely to be an obligatory, rather than an optional one. An example of optional choice from the present sample is presented in the following table.

ST (clauses 27, 28): and they were the same colour as the sea and were cheerful and undefeated.			
Optional Choice 1		Optional Choice 2	
Translator	TT	Translator	TT
Baalbaki	<p>وكان لونهما مثل لون البحر. وكانتا مبتهجتين باسليتين. BT: and their colour was the same colour as the sea. And they were cheerful and brave.</p>	Zakareya	<p>عيناه كانتا في صفاء مياه البحر، يطل منهما المرح، وعدم الاعتراف بالهزيمة. BT: and his eyes were of the brightness of the sea water, joy and unwillingness to admit defeat were appearing from them.</p>
Nassar	<p>فقد كانتا بنفس لون البحر ومرحتين وغير مهزومتين. BT: and they were the same colour as the sea and cheerful and undefeated.</p>	Wehbe	<p>... اللتين كانتا بنفس لون البحر، ويطل منهما المرح وعدم اليأس. BT: which were the same colour as the sea, and joy and hopefulness were appearing from them.</p>
Zahid	<p>كانتا كلون البحر مشرقتين غير مهزومتين BT: and they were the same colour as the sea, shining and undefeated.</p>	Ali	<p>فقد كانتا بنقاء مياه البحر، يطل منهما المرح الذي لا يقر بالهزيمة. BT: they were the clarity of the sea water, the joy of not admitting defeat was appearing from them.</p>
Alqasimi	<p>فقد كان لونهما لون البحر، فرحتين لا أثر للهزيمة فيهما. BT: and their colour was the colour of the sea, happy with no sign of defeat in them.</p>		

In the above example, the translators adopting the first choice preserve the ST Relational Process in the TT. The others making the second choice, by contrast,

translate the Relational Process into a Material one. Pérez (2007, p. 161) terms this case a *materialisation* shift, where a Non-Material Process of any type translates to a Material one. But once the case is considered more carefully, no major shift is found. Although this is an optional shift, it does not cause a major metafunction shift for two important reasons. Firstly, as Pérez (ibid.) points out, materialisation may be used to personalise or depersonalise the original Non-Material Process. No personalisation or depersonalisation can be deduced in the second choice as the context just calls for describing the old man's eyes, which is achieved in this case by a familiar Arabic expression *يطل منهما الفرح* (*joy appearing from them*). Secondly, the use of this Material Process in this context does not have any semantic or ideological consequences, as in the cases observed and quantified by Pérez (ibid., p. 162). The only difference between the two choices may lie in the degree of power and inseparability. The use of the Relational Process (being) or the Attribute *فرحتين* (*happy*) in Arabic is more powerful in the degree of serving to characterise and identify than the Material Process *doing*, or in specific the process *يطل* (*appear*). Put differently, the Attribute *فرحتين* (*happy*) is more permanently related to the Carrier *العينين* (*the eyes*) than the Material Process (*appear*).

Example 3:

ST	The blotches ran well down the sides of his face
Related Clause(s)	22
Focus of Discussion	Experiential (Process, Circumstance), Word Choice
TT	جرت البقع إلى أسفل جانبي وجهه تماما
Translator	Nassar
BT	The blotches ran down the sides of his face exactly

Circumstance is not an obligatory component of the Transitivity system (Halliday and Matthiessen, 2014, p. 221). When it is used, however, it plays an essential role in Transitivity pattern which constitutes "the clausal realisation of contextual choices" (Eggins, 2004, p. 253). Circumstance is the lexicogrammatical element which is associated with Participant involved in Process (Pérez, 2007, p. 71). In this ST clause, the manner Circumstance *well* describes the manner in which the Material Process *ran*

is realised through the involvement of the Participant *the blotches*. In the TT, however, *well* is more likely to be associated with the preceding location Circumstance *the sides of his face*. Even though the adverb تماماً is inaccurately chosen, it would be structurally acceptable if it read جرت البقع تماماً إلى أسفل جانبي وجهه (*The blotches ran well down the sides of his face*). The suitable lexicogrammatical resource for this manner Circumstance in Arabic can be: بصورة جلية or بصورة كبيرة, بصورة واضحة, بشكل واضح.

When the TT clause is analysed metafunctionally, it will look similar to that of the ST, especially in the experiential and interpersonal lines. But when a careful cohesion analysis of the textual line is made, the translation shift unfolds. Collocation refers to the co-occurrence tendency of particular lexical items; it is not governed by any general semantic relationship like the other types of lexical cohesion (repetition, synonymy, hyponymy, etc.); it is governed rather by the association between the given lexical items (Halliday and Matthiessen, 2014, pp. 642-9). This is the reason for including the Word Choice category in the analysis; it really counts. The primary dictionary meaning of the verb *run* does not obviously collocate with the Actor البقع (*the blotches*) in this context. One of its meanings that goes with this context is امتد or انتشر (*spread or extend*). They both give the precise meaning and preserve the function of the ST since they typically collocate with the Actor البقع (*the blotches*). Apart from the Participant shift of البثور (*the pimples*), Wehbe's translation, for example, achieves a functional equivalent in the TT clause: امتدت البثور على جانبي وجهه بشكل واضح. Most of the other translators succeed in composing the same Material Process in Arabic, yet they fail to produce the Circumstance *well* in their translations.

Example 4:

ST	(in another boat) which caught three good fish the first week
Related Clause(s)	10
Focus of Discussion	Ideational metaphor (congruent and incongruent forms), Logical relation
TT	، وفاز من أول أسبوع بثلاث سمكات من الأنواع الضخمة
Translator	Wehbe
BT	and he won from the first week three fish of big kind

The translator does not reproduce the same incongruent form or reading (the original metaphor). Rather he obliquely produces the congruent form or reading (for more about these two forms, see section 5.3). The word 'obliquely' here means that he chooses the Actor to be just *the boy* without making any reference to *the fishermen*. In SFL principles, the metaphor is used once it is accessible to the readers who have enough previous contextual information to tackle it (Halliday and Matthiessen, 2014, p. 710). Using *the boy* as an Actor is a shift. The ST Participant, argues Pérez, (2007, pp. 83-4), is a 'pseudo-object inanimate' Participant associated with *event*, while in the TT, it becomes an 'objectified animate' Participant associated with *action*. The real Actor is implicitly structured in the clause; it is not ambiguous. Nevertheless, the translator ought to keep the ambiguity in the TT as it is in the ST, and not interfere by adding his interpretation for the TLRs. In contrasting the original discourse with the translation process in terms of clarity and ambiguity, Blum-Kulka argues that "contrary to natural discourse, translation is a process by which what is *said* might become obvious and clear, while what is *meant* might become vague and obscure" (1986, p. 32, italics in the original). Another related issue is the decomposition of the logical relation Embedded Extending. Instead, the translator uses a Paratactic Extending logical relation, such that "The combination of extension with parataxis yields what is known as **co-ordination** between clauses" (Halliday and Matthiessen, 2014, p. 472, emphasis in the original). It is especially useful to review the other translators' versions:

ST: (in another boat) which caught three good fish the first week	
Translator	TT
Zahid	... في مركب آخر، وفي أسبوع فقط، اصطاد ثلاث سمكات من الجودة بمكان. BT: in another boat, and within only one week, which caught three fish of good quality.
Nassar	... إلى زورق آخر اصطاد ثلاث سمكات جيدات من الأسبوع الأول. BT: in another boat which caught three good fish from the first week.
Alqasimi	... إلى قارب آخر اصطاد ثلاث سمكات جيدة خلال الأسبوع الأول. BT: in another boat which caught three good fish during the first week.
Baalbaki	... في قارب آخر ما لبث أن فاز بثلاث سمكات رائعات في الأسبوع الأول. BT: in another boat which soon caught three wonderful fish in the first week.
Zakareya	... في زورق آخر جاد البحر على ذويه بثلاث سمكات طبيبات منذ أول أسبوع. BT: in another boat whose owners were bestowed by the sea three good fish from the first week.
Ali	والتحق بزورق صيد آخر، ما لبث أن حالفه الحظ وحظي بثلاث سمكات منذ الأسبوع الأول. BT: and he joined another boat which soon was lucky and got three fish from the first week.

Apart from the use of some explicative elements, such as فقط (*only*) and ما لبث (*soon*), printed in bold type, the translators in general reproduce the same metaphor as in the ST and the 'pseudo-object inanimate' Participant is preserved in the TT. These explicatives will be discussed at greater length next section.

Example 5:

ST	No,' the old man said. 'You're with a lucky boat. Stay with them.
Related Clause(s)	37-40
Focus of Discussion	Experiential (Process, Participant), continuity, Word Choice
TT	فقال له العجوز: كلا. واستطرد قائلاً: أنت تعمل في مركب ابتمس الحظ لأصحابه. امكث معهم.
Translator	Wehbe
BT	The old man said to him, no. And proceeded to say: you work in a boat fortune smiled for its owners. Remain with them.

Example 5 lines up on a variety of issues discussed through SFL-informed analysis. Firstly, the Relational Process in clause 39 is materialised in the TT. The Relational Process clause is, in principle, concerned with the speakers' experience modelled as *being*, while the Material Process clause construes the speakers' experience of the material world as *doing* (Halliday and Matthiessen, 2014, p. 259). Unlike the materialisation discussed in course of Example 2, which does not cause any translation shift or change of 'focus' as the Process يطل (*appear*) represents an 'abstract' event, the materialisation here causes a shift as the event is clearly 'concrete'. In this regard, Halliday and Matthiessen point out: "Material clauses do not necessarily represent concrete, physical events; they may represent abstract doings and happenings" (2014, p. 243). The focus of the ST Relational clause, as realised by the verb *be*, is on identifying the relationship between the Carrier *you* and Attribute or Accompaniment Circumstance *with a lucky boat* through a change of 'state' without an input of energy (ibid., pp. 260-1). The TT Material Clause in which the Participant is the source of energy, on the other hand, shifts the focus to be highlighted on the Process تعمل (*work*), which constitutes "a quantum of change in the flow of events as taking place through some input of energy" (ibid., p. 224). Secondly, unlike the expansion shift discussed in Example 2, the Attribute (or the Accompaniment Circumstance) *with a lucky boat* is

inappropriately translated by the Behavioural Process ابتسم الحظ لأصحابه (*fortune smiled for its owners*), and causes a major shift. Even though the TT phrase sounds natural in Arabic, its meaning is not revealed at least explicitly by the ST. Saying that *fortune smiled for its owners* can mean that this boat was not lucky but now is, and there is no cue for this in the context. Thirdly, the logical ($\alpha_1 \alpha_2$ Paratactic Locution) relation is not successfully composed in the TT. However, the use of the Process استطرده (*proceeded to say*) is a good attempt to create a similar textual continuity in the TT between the projected clause 'No' and the projecting clause *the old man said*. Finally, the lexicogrammatical resource امكث in Arabic does not match the original *stay* in English. According to many monolingual Arabic dictionaries, such as Ibn Mandhoor's *Lisan Alarab* (2014), the verb مكث means: 'to remain in place and wait', which is sharply different from the ST resource *stay*. The functional equivalent in Arabic is simply بقي. A functional translation might be: "لا" قالها الشيخ، واستطرده: "أنت مع قارب محظوظ. ابق معهم." (the researcher's translation).

Reviewing the other translators' versions will further enrich the discussion and sketch out more useful aspects of functional resemblance and discrepancy between English and Arabic in translation.

ST: 'No,' the old man said. 'You're with a lucky boat. Stay with them.'	
Translator	TT
Zahid	"لا" أجاب الشيخ، "أنت في مركب محظوظ، وأريدك أن تبقى حيث أنت". BT: No, the old man replied. You are in a lucky boat, and I want you to stay where you are.
Nassar	قال الرجل العجوز: "لا. أنت مع زورق محظوظ. ابق معهم". BT: The old man said: No. You are with a lucky boat. Stay with them.
Alqasimi	قال الشيخ: - "لا. أنت الآن مع قارب محظوظ. ابق معهم". BT: The old man said: No. You are now with a lucky boat. Stay with them.
Baalbaki	وقال الشيخ: - "أنت تعمل الآن على ظهر مركب محظوظ. ابق حيث أنت". BT: And the old man said: You work now on the deck of a lucky boat. Stay where you are.
Zakareya	فقال للغلام: - لا يا ولدي أنك تعمل في مركب حسن الطالع، فابق مع أصحابه. BT: And he said to the boy: No, my son . You work in a lucky boat, so stay with its owners.
Ali	فقال للفتى: - لا يا ولدي. ها أنت تعمل في مركب حسن الطالع، فابق مع أصحابك ودعك مني. BT: He said to the boy: No, my son . Here you work in a lucky boat, so stay with your friends and forget about me .

Zahid is the only translator who preserves the logical relation (α_1 α_2 Paratactic Locution) and creates similar textual continuity between the projected and the projecting clauses, representing projection "where it occurs in the structure but not where it is simply presumed by cohesion" (Halliday and Matthiessen, 2014, p. 513). However, he fails to compose the same Process *said* in the TT. He uses أجاب (*replied*) in preference for قال (*said*). Perhaps he is referring to a reply to the Vocative Adjunct in clause 29. Zahid, Baalbaki, Zakareya and Ali have the same shift in materialising the Relational Process, whereas Nassar and Alqasimi just keep the same Process Type, preserving the function as in the ST. Alqasimi and Baalbaki explicitate the meaning by adding or rather 'interjecting' the Circumstance الآن (*now*) into the TT. There are also other instances of explicitation, such as يا ولدي (*my son*) and ودعك مني (*forget about me*), but these will be considered in further detail in the following section.

Example 6:

ST	It made the boy sad to see the old man come in each day with his skiff empty
Related Clause(s)	11, 12
Focus of Discussion	Interpersonal (Subject), Experiential (Circumstance, Participant), Process, Word Choice
TT	كان الحزن يجتاح قلب الفتى، حين يرى العجوز عاتداً إلى الشاطئ كل يوم صفر اليدين.
Translator	Ali
BT	Sadness was gripping the heart of the boy when he saw the old man return to the shore in each day empty-handed.

In clause 11, there is no Attribute incorporated to the Relational Process *made*; *it* here is 'empty', 'dummy', 'null' or 'expletive' as termed by different grammar schools. Apart from the Process Type, be it Relational, Meteorological or Material, affinity can be found between *it* and the Meteorological Clause, as in *it's raining*, and the Existential Clause with *there*, as in *there was a storm* (Halliday and Matthiessen, 2014, pp. 309-10). Experientially, they do not carry any Participant in them (ibid., p. 310). But when it comes to the interpersonal metafunction, *it* plays two roles: as a Subject (ibid.) and as a focus triggering semantic effect (Yoon, 2001). The ST author selects the empty *it*

clause to shift the focus from the 'supposed' Attribute *it* to the Causative Relational Process *made* incorporated to the Carrier *the boy* and the Attribute *sad*. In this regard, in particular, Levin remarks: "The substantive verb *to be* is predominant, characteristically introduced by an expletive" (1959, p. 301, italics in the original). The translator does not correspond fully to this function in the TT when he opts for conveying the meaning experientially but without careful interpersonal and focus consideration of the ST author's stylistic choices or resources, as previously discussed in Leech and Short (2007) argument (cf. section 3.2.4.6). The Relational Process *made* is materialised in the TT by using *يجتاح* (*grip*). This gives the meaning but in a different reading focus as the Actor becomes *الحزن* (*sadness*), not the 'thing' or 'it' that creates this sad feeling, which is implicitly unfolded in clause 12.

The other issue to be considered in this example is the Goal *empty* in the ST, which is explicitly incorporated to the Accompaniment Circumstance *with his skiff*. In the TT, however, the Goal *صفر اليدين* (*empty-handed*), a standard metaphorical expression in Arabic, is implicitly incorporated with *the old man*. In other words, the original reference is made to the *skiff*, while the reference in the TT is made to *the old man*. A choice like this changes the ST author's stylistic preference of relating the Goal *empty* to the *skiff*, but not to *the old man*. This example illustrates how shift in word order can sometimes affect the interpersonal and textual functions of the ST. To bring this issue to a higher level of discussion, it is useful to review the other translators' versions:

ST: It made the boy sad to see the old man come in each day with his skiff empty	
Translator	TT
Zahid	في نهاية كل يوم، يحزن الطفل وهو يرى معلمه يعود خاوي الوفاض. BT: At the end of each day, the child feels sad to see his teacher return empty-handed.
Nassar	أحزن الولد أن يرى الرجل العجوز يرجع كل يوم وزورقه خاوي. BT: The boy was saddened to see the old man return each day with his skiff empty.
Alqasimi	كان الصبي يشعر بالحزن عندما يرى الشيخ يعود كل يوم ومركبه خالي. BT: The boy feels sad when he was seeing the old man return each day with his skiff empty.
Baalbaki	ولقد أحزن الغلام أن يرى الشيخ يرجع كل يوم خالي القارب. BT: What saddened the boy was to see the old man return each day with empty skiff.
Zakareya	وكان يحز في قلب الغلام أن يرى العجوز قافلاً إلى الشاطئ في نهاية كل يوم، وزورقه خاوي الوفاض. BT: It deeply hurt the boy to see the old man return to the shore at the end of each day with his skiff empty.
Wehbe	مست كبد الصبي لوعة حزن وهو يرى العجوز يجيء كل يوم بمركبه خاويًا. BT: The agony of sadness touched the liver of the boy when he saw the old man come each day with his skiff empty.

The goal of this review is by no means to discuss all the shifts and mismatches, but rather to place the approach to understanding the most important metafunctionally value-laden issues. Zahid fails to reproduce the unmarked Theme when he places the Circumstance *في نهاية كل يوم* (*at the end of each day*) initially. The Causative Relational Process translates to the Mental Process *يشعر* (*feel*), and therefore the TT does not correspond to the ST author's stylistic preference of using the empty *it*. Zahid made a Word Choice shift. He ineptly uses *الطفل* (*the child*) to refer to *the boy*, which is clearly a mistranslation. Noticeably, he uses *الغلام* to refer to *the boy* in Clause 30 and onwards, which is clearly an instance of inconsistency. Zahid mistranslates the Participant *the old man*. Moreover, he uses the word *معلمه* (*his teacher*), which is not, at least explicitly, mentioned in the ST, though this meaning becomes explicit in the ST later in Clause 35. As in the case of Ali's translation, Zahid's translation undergoes a similar shift in relating the Goal *empty* to *the old man*, but not to the *skiff*. Like Ali and Zahid, Alqasimi and Wehbe mismatch the ST author's stylistic preference for using the empty *it*, which causes a Process shift. Nassar, Baalbaki and Zakareya, on the other hand, adhere to the same stylistic choice.

Wehbe's use of the idiomatic expression *مست كبد الصبي لوعة حزن* (*The agony of sadness touched the liver of the boy*) does not correspond to the simple and 'economical' wording and clause length characterising the ST author's style. Burgess points out that Hemingway's prose is simple and declarative (1984, p. 58). He adds: "Every word tells and there is not a word too many" (*ibid.*). Jobs also indicates that Hemingway's prose style is distinguished by "concrete nouns, few colouring adjectives or literary figures, limited range of vocabulary, and elementary sentence structure" (1968, p. 7). On the same issue, Xie points out that Hemingway's language is "simple and natural, and has the effect of directness, clarity and freshness" (2008, p. 156). In his description of the text typology approach, adopted chiefly by Nord (1997b) and Reiss (2000b), Munday points out that a piece of literature is an expressive text in which preserving the ST author's is a translator's priority (2012a, p. 114). This approach, however, is inconsistent with the SFL-based perspective on translation adopted in this work, which focuses primarily on preserving the metafunctions of the ST using the TL systems,

taking into account the framework of the interactive relationship between the text and its context. In case of literary translation, Boase-Beier (2004) argues that a defining feature of literature is the cognition that the SLRs gain from the style first and then from the content; thus the translator is supposed to keep the same style if s/he wants to transfer the same possible interpretations of the original author's cognitive state to the TLRs.

This should not contradict with the view in literature that the aesthetic value of a literary work, argues Levý (2011, p. 27), as well as the semantic value should be preserved. Commenting on the relationship between form and content and citing an example from poetry, Levý argues: "Formal entities carrying a semantic function should be preserved, whereas the preservation of linguistic form as such cannot be insisted upon" (ibid.). The current text is not poetry, and the use of established Arabic expressions, such as the ones above, to add an aesthetic value to the TT should make no major shifts in translation so long as they match the ST metafunctions and whereas the TL does not respond to the ST author's stylistic preferences. Nassar's and Baalbaki's translations demonstrate the availability of this stylistic preference in Arabic. This can concisely explain the unceasing tension in translating prose fiction (and in translation in general) between form and content, between ST language structures and ST messages and between the adherence to the ST author's stylistic preferences or the prevalence of the translator's *rewriting*⁴⁰ process.

In a bid to interpret the use of expressions like *مست كبد الصبي لوعة حزن* (*The agony of sadness touched the liver of the boy*) and *خاوي الوفاض* (*empty-handed*) in the TT, reference can be made to Venuti's strategy of *domestication*. Looking at translation as "investing the foreign-language text with a domestic significance" (Venuti, 2000, p. 468), Venuti refers to domestication, in simple terms, as the process of communicating

⁴⁰ Bassnett and Lefevere argue that translation is a rewriting of the original text, by which a certain ideology and poetics are reflected by means of manipulation process, in its positive aspect, in the TL (1992, vii). The outcome is a TT piece of literature in which new concepts, genres and devices can be introduced to the target society (ibid.). In this respect, Eco argues that in some cases where strict adherence to the ST is impossible translators have to rewrite in order to obtain the same effect in the TT (2001, p. 57). Rewriting, however, can also be seen as repression of innovation and a sort of distortion if not properly applied (ibid.).

the ST in new domestic uses in TL (ibid). He argues that domestication makes the translator capable of reducing the linguistic and cultural differences so as to make the TT more receivable in the target language and culture (ibid.). Having said this, TLRs are put at the heart of translation, which should be seen, argues Venuti, as "a communication limited by its address to specific audience" (Venuti, 1995, p. 19). Therefore, domestication can be looked at within the domain of rewriting and *fluent strategy* of translation (ibid., p. 17, p. 21). Venuti, however, referencing Cohen (1962), concedes that this strategy puts the original author's stylistic preferences at risk (ibid., p. 6). This strategy can be traced to Nida's *naturalness of expressions* or dynamic equivalence (ibid., p. 21). See also sections 3.2.5 and 5.8 for Nida's views respectively on equivalence and explicitation. The strategy of domestication is usually discussed as opposed to the alternative strategy of *foreignisation*, which, argues Venuti (1995, p. 20), makes the culture and language of the foreign or ST transparent and well placed in the TT. This can be achieved through borrowing ST structures or lexical items (Hatim and Munday, 2004, p. 230).

Example 7:

ST	without taking a fish
Related Clause(s)	4
Focus of Discussion	Experiential (Participant, Process), Word Choice
TT	لم يجد عليه البحر خلالها بشيء من الرزق.
Translator	Zakareya
BT	The sea during that period did not bestow on him any livelihood.

As discussed in Example 1, the Embedded non-finite clause here is nominalised by the gerund *taking* which construes the Process. A spotlight will be put on a number of translation shifts in this example. The Actor in the ST is structurally implicit, which is *the old man*, whereas the Actor in the TT is completely different; it is *the sea*. The nominalised Process in the ST is the gerund *taking*, but the translator uses a different Material Process *يجد* (*bestow*), which does not correspond whatsoever to the same experiential function as the original. The Process in the TT can be associated with

laziness and negativity or passivity, which is by no means intended by Hemingway. The hero is a determined fisherman who fights to take big fish, and does not wait passively for the sea to bestow fish. There is a need to pause and ruminate upon the last shift: the inappropriate choice of the Goal. The Goal in the ST is *a fish*. In contrast, there are two Goals in the TT: the suffixed 3rd person masculine singular pronoun *him* in (عليه), which stands for *the old man*, and *livelihood*. Rather than producing a functionally oriented translation as, for example, Alqasimi's version دون الحصول على سمكة واحدة (*without taking a fish*), the translator uses the Goal الرزق (*livelihood*), which is significantly rich with interpersonal meaning and religious connotation totally absent in the ST author's mind. In this regard, Gutt points out that "the translator is to follow the original unless there is a reason to depart from it, and the comparison with the original is the ultimate measure of the quality of the receptor language text" (2000, p. 50). Moreover, the text type here is not a poetic one, in which the translator demonstrates a great deal of creativity in linguistic re-stylisation and enriching the TL culture by domesticating exoticisms or creating neologisms (Levý, 2011, pp. 80-1). As noted above, the text here is prose fiction featuring a great deal of simplicity in style and wording. Jin Di in the following quotation says a great deal about the sensitivity of the translator's choices of words in general, and especially in literary translation:

It is true that the message of a text is conveyed by its words and therefore it is absolutely necessary for the translator to be sure of the meaning and function of each and every one of those words, but it is even more important for him or her to be sensitive to the total effect this congregation of words produces on a receiver who shares the language and culture as a native speaker. (...) The ultimate aim of literary translation proper, as I understand it, is to produce an effect on the target-language readers that is as close as possible to what the original produces on the source-language readers. (2003, p. 52)

Example 8:

ST	The old man was thin and gaunt with deep wrinkles in the back of his neck
Related Clause(s)	19
Focus of Discussion	Experiential (Participant, Process, Circumstance), Word Choice
TT	... لعجوز نحيل، لا شيء يميزه سوى تلك العضون المتوغلة في جبينه،
Translator	Ali
BT	... for a thin old man, nothing distinguishes him except those deep wrinkles digging in his forehead.

The same clause is subject to discussion again (see Example 2 above). This time it refers to a different translator and will be approached from different perspectives in translation assessment. The translator links clause 19 with the previous clause (clause 18). As in the case of Example 2, the two ST clauses are connected in the TT with the cohesive device 'و' (*with*) which makes the texture loose, negatively affecting the continuity and semantic unity of these clauses in Arabic. In addition, clause 19 in the TT does not have a Process. This shift is referred to by Pérez as *contraction*, where a Process in the ST is rendered as No Process (2007, p. 156). She points out: "The contraction may add fluency to the translation but may also result in the loss of ideological (active) nuances that are conveyed by the ST" (ibid.). Immediately after this contraction shift, Ali unjustifiably makes an expansion shift conveying a different meaning in the TT. The insertion of the Material Process يميز (*distinguish*) in this clause to realise the Accompaniment Circumstance excludes anything characterising *the old man* except for *deep wrinkles in the back of his neck*. This is not meant by the ST, which goes on to provide further description of *the old man*. In fact, neither of these shifts is obligatory in Arabic grammar. To prove this, Alqasimi's translation can be cited: كان الشيخ نحيفاً أعجف وله تجاعيد عميقة في قفا رقبته (*The old man was thin and gaunt, and he has deep wrinkles in the back of his neck*). Another point that can be noticed in Ali's translation is the overlooking of the Attribute *gaunt*. Finally, the use of the resource جبين (*forehead*) in Arabic does not match the Location Circumstance function of *the back of his neck* in the ST.

Example 9:

ST	and he had gone eighty-four days now
Related Clause(s)	3
Focus of Discussion	Word Choice, Experiential (Circumstance)
TT	... وكان قد سلخ أربعة وثمانين يوماً...
Translator	Baalbaki
BT	and he 'skinned' eighty-four days

Two issues can be raised in discussing this example. Firstly, the employment of the archaic use of the verb سلخ (*skin*) with time in Arabic, as demonstrated by arabiCorpus⁴¹ (2011), does not match this fictional prose. Hemingway's language is characterised by "apparent simplicity" (Hemingway, 1988, XIV). As discussed earlier in (section 3.2.5), the stylistic choices are located in the ideational metafunction of language, and these lexicogrammatical choices should be approximated as close as possible in translation. If the TT stylistic choices or elements (as one of the four linguistic elements)⁴² are approached from a TQA perspective, they have to be examined for their colloquial, standard or formal correspondence to the ST (Reiss, 2000b, p. 63). Since Hemingway's language is known for the inclination to abandon flowery decorative language, and his words are noticeably short and in common use (ibid., XIV-XV), the translator here ought to look for a choice in his Arabic repertoire that functionally matches the resource *go* in this context. The simple and direct choice in Arabic that favourably responds to this resource is the verb أمضى (*go or spend eighty-four days*). Secondly, the Location Circumstance *now* is unjustifiably absent in the TT. To enrich the discussion even further, the other translations will be reproduced and discussed.

⁴¹ ArabiCorpus is a project developed and maintained by Dilworth Parkinson, professor of Arabic at Brigham Young University. It is a 173,600,000-word corpus, covering a diverse range of text types including modern literature. For more information, go to <http://arabicorpus.byu.edu/search.php> and <http://amirmideast.blogspot.co.uk/2011/01/arabicorpus-arabic-corpus-project.html>.

⁴² Reiss argues that a critic or an assessor must examine four linguistic elements in deciding on the sufficiency of four translation aspects in the TT: "the semantic elements for equivalence, the lexical elements for adequacy, the grammatical elements for correctness, and the stylistic elements for correspondence" (2000b, p. 66).

ST: and he had gone eighty-four days now	
Translator	TT
Zahid	منذ أربعة وثمانين يوماً لم يظفر بسمكة واحدة! BT: For eighty-four days he did not take a fish!
Nassar	وقد أمضى أربعة وثمانين يوماً حتى الآن ... BT: He had gone eighty-four days until now ...
Alqasimi	وقد أمضى حتى الآن أربعة وثمانين يوماً ... BT: He had gone until now eighty-four days ...
Ali	وقد مرت عليه أربعة وثمانون يوماً في البحر حتى الساعة ... BT: Eighty-four days passed in the sea until now ...
Zakareya	وقد عبرت به حتى الساعة، أربعة وثمانون يوماً ... BT: Eighty-four days until now passed ...
Wehbe	لم يظفر حتى الآن بأية سمكة منذ أربعة وثمانين يوماً مضت. BT: He did not take any fish for the last eighty-four days.

Zahid's translation undergoes a contraction optional shift, where the Process of clause 3 translates in No Process. In addition, he collapses clauses 3 and 4 into one clause and omits the Location Circumstance *now*. Similarly, the same contraction shift and clauses collapse can be recognised in Wehbe's translation. Another assessment comment can be made on Ali's and Zakareya's translations where *the old man* is no longer the Actor of the clause, but the Extent Circumstance *eighty-four days*. This shifts the focus away from *the old man* to the *days*, and so necessitates the use of the Processes *مر* and *عبر* (*pass*), which may indicate that *the old man* remains all those days lazy and passive without any firm determination to catch fish. This is by no means intended by the ST where the theme is about "courage maintained in the face of failure" (Burgess, 1984, p. 58). Among the above translations, Nassar and Alqasimi are conspicuously successful in producing more metafunctionally equivalent TTs.

Example 10:

ST	the sun brings from its reflection on the tropic sea
Related Clause(s)	21
Focus of Discussion	Experiential (Process, Circumstance), Word Choice
TT	... الذي هو ثمرة انعكاس الشمس على صفحة المياه في المناطق الاستوائية.
Translator	Baalbaki
BT	which was the result of the reflection of the sun on water surface in the tropics.

In this example, three translation quality issues will be addressed. Firstly, when the translator chooses the lexicogrammatical resource *في المناطق الاستوائية* (*in the tropical areas*) without making a reference to *the sea*, he mistranslates the function of the Location Circumstance *the tropic sea* as a whole. Doing this, he associates the reflection of the sun with the water surface *على صفحة المياه* in that area, but what kind of water surface was it? Was it the sea or river, etc.? Secondly, he makes an optional shift in the Material Process *brings*. The shift here needs to be considered carefully. As proposed by Pérez, (2007, pp. 158), when a Material Process in the ST translates in a Non-Material Process (in this case Relational), a *dematerialisation* translation shift takes place. Dematerialisation is used to personalise or depersonalise the ST Process (ibid.). When analysing another translator's version, it is easy to tell that the process of dematerialisation here does not cause a translation shift by itself. Wehbe translates the above ST as *الناشئ من انعكاس أشعة الشمس على مياه البحر في هذه المنطقة الاستوائية* (*arising from the reflection of the sun rays on the sea water in this tropical area*). Even though the translator dematerialises the Process, the meaning is clear and acceptable in the TL, and no shift is deduced. The reason for this, and this is the third issue, lies in word choice. Such an instance is referred to by Pérez as *non-shift*, which involves an adequate attempt to convey the meaning of the Process, even if it is accompanied by slight changes of meaning (2007, p. 153). Baalbaki, on the other hand, ineptly uses the word *ثمرة*. The primary meaning of *ثمرة* is *fruit*, but it is used in Arabic also to mean *a result, an effect or product*. However, according to arabiCorpus (2011), this word has a positive semantic prosody in Arabic. It is mainly used to refer to a result of a good or pleasant thing, but not of an awful thing like a disease (cancer in this context). Wehbe, by contrast, uses the Relational Process *الناشئ* (*arising from*), which gives the same meaning in an acceptable structure in Arabic. Nassar, to illustrate a different trend in translating the Process, successfully reproduces the Material Process as in the ST: *الذي تسببه الشمس من انعكاسها على البحر المداري* (*which the sun brings from its reflection on the tropic sea*).

Example 11:

ST	, furred,
Related Clause(s)	17
Focus of Discussion	Experiential (Ergative Model)
TT	إذا ما انطوى...
Translator	Zakareya
BT	once furred...

The reason for bringing this example to light is to elucidate how the Ergative model works in English to Arabic translation. The Transitivity system comprises two models: Transitive model and Ergative Model. In other words, the Transitivity system can be analysed from two perspectives: Transitivity and Ergativity. Ergativity refers to the phenomenon in language that "focuses on the fact that the process may happen by itself or be caused to happen" (Thompson, 2004, p. 135). Halliday and Matthiessen argue that this phenomenon in English is more grammatical than lexical (2014, p. 338). They advocate the usefulness of analysing all Processes transitively and ergatively because "The two models complement each other" (2014, p. 337). Thompson sees it from a different viewpoint. He argues that the Ergative description should be restricted to the Material Process where "change, self-engendered or externally caused, is an important element, and can be brought in especially where the verb itself is reversible" (Thompson, 2004, p. 137). He exemplifies: "[ergative] *the heat melted the ice*, [non-ergative] *the ice melted*" (ibid., p. 136). Experientially, these two clauses can be described transitively and ergatively as follows:

Model	The heat	melted	the ice	Model	The ice	melted
Transitive	Actor	Pro: Material	Goal	Transitive	Actor	Pro: Material
Ergative	Agent	Pro: Effective	Medium	Ergative	Medium	Pro: Middle

Table 5.12: Transitive vs Ergative

As pointed out by Halliday and Matthiessen (2014, p. 336), the first clause is externally caused (doing) by an Agent (in this case the Actor) whereas the second one is self-

engendered (happening). The Goal *the ice* in the first clause becomes transitively the Actor or ergatively the Medium, which "is not the doer, nor the causer, but the one that is critically involved" (ibid., p. 343); it is the one "through which the process is actualised" (ibid., p. 336), in the second clause, and therefore functions as Subject in the Mood system. Such a 'shortcoming' in the Transitive model evinces the need for the Ergative description or analysis. The ergative/non-ergative distinction in verbs in the Ergative model is parallel to transitive/intransitive distinction of verbs in the Transitive model. Bardi (2008, pp. 256-7) points out that the 'derivational patterns' in Arabic respond to such resources within the grammar of the verb, such as (تفعل like تفعل), (انطوى like انطوى) and (اغرورق like اغرورق), and the one which is here in the TT: (انطوى: انطوى) (*furled*). In order to investigate the presence of any translation shift in the TT above, there is a need to review the other translators' versions:

ST: , furred,		
Translator	TT	
Zahid		∅ (omitted)
Nassar	BT: and while it is rolled	، وهو ملفوف
Alqasimi	BT: and the furred	والمطوي
Ali	BT: whenever he furred	كلما طوى
Baalbaki	BT: as furred this way	وقد طوي على هذه الشاكلة
Wehbe	BT: and while it is rolled	وهو ملفوف

Ali mistranslates the clause as he makes *the old man* realised by the 'implied pronoun' *he* in the Process طوى (*furled*) the Actor, which is not the intended meaning in the ST. Baalbaki translates the clause by a receptive Material clause in the TT, which does not cause a translation shift in itself as the Actor remains implied as in the ST. But this demands using an explicative phrase على هذه الشاكلة (*this way*), otherwise the continuity and semantic unity would be cohesively loose. This phrase can give an erroneous indication that there might be another way of furling the sail rather than the one described here.

Although Zakareya uses the Ergative lexicogrammatical pattern, it does not cause any major translation shift because the Actor or Agent is still implicit as in the ST.

Moreover, it does not cause any harm to the clause length. Similarly, Nassar, Alqasimi and Wehbe successfully reproduce the same function as in the ST. They use اسم المفعول, i.e. the 'passive participle' ملفوف (*rolled*) and مطوي (*furled*). The only difference between Zakareya's translation and their translations of the Process is that the former translates using a Middle Process, a Process which is actualised through the Medium without any feature of *agency* or external causer (Matthiessen Teruya and Lam, 2010, p. 140), while the latter is rendered as an Effective Process, a Process which is actualised through the Medium with a feature of *agency* (ibid., p. 85).

The eleven vivid examples above provide profuse illustrations of how SFL, particularly in its metafunction analysis, subserves the assessment of English-to-Arabic translation of fiction. This discussion boosts the functionalist stylistics principle that grammatical configurations can influence the interpretation of the same event and could have other intentions rather than the ones basically found (Canning, 2014).

5.8 Explicitation

There are two significant reasons for including this supplementary exemplar-based study in the application of Kim's metafunction shift analysis model for translation assessment. Firstly, there is a pressing need to probe into these added words, phrases or clauses, and in fact they are noticeably many in some translations. Taking into account the structure of this model, these added elements are technically divided into two main types: added elements deduced and quantified within the metafunction shift analysis and those located beyond the scope of the achieved metafunction shift analysis. In the second case, there are no correspondent functional constituents in the ST against which these added elements can be checked for match or mismatch in translation. This makes the added elements belonging to the second type unquantifiable in this shift analysis model. Consequently, the second type will be approached in a limited-comparative, exemplar-based study. Secondly, Kim does not totally neglect this issue in her research work. She alludes to this matter without being specific. In her discussion of a translator's 'error' pattern, she pertinently remarks that the translator "does not appear to

be aware that the addition of **judgemental comments** actually results in a shift in **interpersonal meaning**" (Kim, 2010, p. 91, emphasis added).

The following examples belong to the first type (the added elements in the TT are in bold type).

No.	Translator	ST	Clause No.	TT	Related Constituent
1	Ali	'No,' the old man said	37, 38	فقال للفتى: لا يا ولدي. And he said to the boy: no, my son .	Mood
2	Wehbe	'I remember,' the old man said.	44, 45	قال العجوز: نعم أذكر ذلك. The old man said: yes , I remember.	Mood
3	Zakareya	He was an old man who fished alone in a skiff in the Gulf Stream	1, 2	كان الرجل قد بلغ من العمر عتياً ... ولكنه لا يزال رابضاً في زورقه، وحيداً، يطلب الصيد في ... The man reached an extreme age, but he still stayed alone in his skiff, fishing in ...	Logical Relation
4	Zahid	which caught three good fish the first week.	10	وفي أسبوع فقط، اصطاد ثلاث سمكات من الجودة بمكان. In one week only , we caught three extremely good fish.	Adjunct
5	Alqasimi	You're with a lucky boat.	39	أنت الآن مع قارب محظوظ. You are now with a lucky boat.	Adjunct
6	Nassar	, furred,	17	، وهو ملفوف، , and while it is rolled,	Logical Relation

Table 5.13: Examples of added elements within the metafunction shift analysis

The examples above can be divided into two groups: Examples 1, 2, 3, 4 and 5 in one group and Example 6 in another. Both groups are located and treated within the metafunction shift analysis. They, however, differ completely in terms of orientation and quantification. The first five examples are all explicitated optionally by the translators within the systems of Mood, Logical Relations and Adjunct, and therefore quantified mostly as interpersonal metafunctional shifts. Example 6, on the contrary, is

not quantified as a metafunctional shift. This is attributed to the systemic differences between English and Arabic apropos of the realisation of the taxis or Logical Relations between clauses in this particular example. More specifically, the Logical Relation between clauses 16 and 17, as shown in section 5.4, is embedded extending. The phrase **وهو** here is obligatorily added due to systemic differences in realising the minor embedded clause preceded and followed by commas. If the translator translated the clause as **ملفوف**, it would be odd and not read cogently in Arabic. Commas in English, argue Dickins, Hervey and Higgins (2002, p. 124), can replace the coordinating conjunctions **و** and **ف** (*and*) in Arabic. In fact such a taxis systemic difference can be broadly looked at between languages. Fawcett points out that some languages can be considered more linked or more hypotactic than others, mentioning Spanish as a linked language as compared to English and French being in a middle position (1997, p. 96). Following a paratactic-hypotactic dependency classification of Logical Relation, Bardi characterises **و** (*and*), among many uses with many meanings, as a *circumstantial coordinative particle* contributing mostly in a hypotactic relation in SFL (2008, Table 4.1, p. 388). Correspondingly, the use of the pronoun **هو** (*he*) becomes inevitable in order for the clause to read fluently and grammatically correctly in Arabic. The two well-established terms, 'obligatory explicitation' and 'optional explicitation', will be discussed shortly.

It is conclusively imperfect to leave those elements without an attempt to understand and comment on them. This brief study of explicitation is appended in order to address this insufficiency and to make up for this minor drawback. The following examples taken from the same sample can best accentuate the need for shedding some light on those explicitated parts in translation (the added elements in the TT are bolded).

No.	Translator	ST Closest Clause	Clause No.	TT
1	Baalbaki	and then we caught big ones every day for three weeks.	43	ثم تدفقت علينا الأسماك الكبيرة، فكننا نصطاد منها كل يوم عدداً غير يسير، طوال أسابيع ثلاثة. Then big fish flowed to us and we used to catch every day a large number of them for three weeks.
2	Zakareya	The old man had taught the boy to fish and the boy loved him.	35, 36	كانت كلمات الغلام آية عرفان الجميل، فقد كان يحب العجوز، لأنه هو الذي لفته أصول مهنة الصيد. The boy's words were a sign of gratitude. He loved the old man because he taught him the principles of the fishing career.
3	Wehbe	I know you did not leave me because you doubted.	46-48	أعرف أنك لم تتركني بسبب ارتيابك في عمل غير مؤكد، وبدون نتائج مضمونة. I know you did not leave me because of your doubts regarding unsure work, and without any guaranteed results.

Table 5.14: Examples of added elements beyond the scope of metafunction shift analysis

The purpose of this brief discussion of this phenomenon is a linguistic one. In other words, these added choices will not be further analysed from a merely literary perspective as this lies beyond the scope of the focus of the current research. To be more specific and metafunctionally-centred, explicitation instances from the same sample will be classified and described mainly within the landscape of SFG.

5.8.1 A Review of Literature of Explicitation

Before embarking on this brief exemplar-based study, a concise review of the literature will set the scene and shape the frame of reference. Olohan and Baker refer to explicitation in simple terms as "the spelling out in a target text of information which is only implicit in a source text" (2000, p. 142). Vinay and Darbelnet, who first introduced the concept of explicitation in 1958, define the term as "a stylistic translation technique which consists of making explicit in the target language what remains implicit in the source language because it is apparent from either the context or the situation" (1995, p. 342). Shuttleworth and Cowie define explicitation as "the phenomenon which frequently leads to TT stating ST information in a more explicit

form than the original" (1997, p. 55). Dimitrova, referencing Klaudy (2003) and others, points out that "explicitation can take two forms: *addition* of new elements; or *specification*, a translation that gives more specific information" (2005, p. 34, italics in the original).

Blum-Kulka considers explicitation "a universal strategy inherent in the process of language mediation, as practiced by language learners, non-professional translators and professional translators alike" (1986, p. 21). In her pioneering study using corpus linguistics in TS, Baker takes a similar stance to Blum-Kulka regarding the universality of explicitation: "The kind of distinctive, universal features that have been proposed in the literature, but never tested on a large scale, include (...) **explicitation**" (1996, p. 176, emphasis in the original). Put differently, both Blum-Kulka and Baker regard explicitation as a translation-oriented specific feature. Approaching explicitation from the perspective of translation behaviour norms, Chesterman views it as an implementation of "The *communication norm*: a translator should act in such a way as to optimise communication, as required by the situation, between all the parties involved" (1997, p. 69, italics in the original). Taking the empirical behavioural laws of translation process into account, he views explicitation as a translation law (ibid., pp. 70-1). In another context, he regards explicitation as a translation strategy and lists it under *pragmatic strategies*⁴³ (ibid., pp. 107-8).

In her empirical investigation, Øverås (1998) holds the view that explicitation is a translation-process feature, and translators, due to their mediation role, tend to reduce the damage related to the translation process by adding redundant pieces of information instead of losing major ones. In her process and product-oriented psycholinguistic study, Dimitrova does not agree with the universal or translation-inherent interpretation of explicitation, and describes it as a multi-factor, individual-oriented and experience-diverse phenomenon (2005, pp. 236-9). Dimitrova (ibid., pp. 236-7) concludes that explicitation in translated texts can be dichotomised according to two types: *norm-*

⁴³ Pragmatic strategies refer to "the selection of information in the TT, a selection that is governed by the translator's knowledge of the prospective readership of the translation" (Chesterman, 1997, p. 107).

governed explicitations (the frequent solutions translators tend to use to solve textual-based, lexicogrammatical – and pragmatic-oriented and process-independent problems) and *strategic explicitations*⁴⁴ (the reformulation of the TT in order to solve process-oriented problems).

Looking at the phenomenon from a similar standpoint, Pápai (2004) proposes a definition based on the process and the product of translation. In terms of a process, explicitation is the technique used by translators consciously or subconsciously to meet with the TLRs' expectations, and as a corollary, shifts occur in structure or content (ibid.). Viewed from the product perspective, explicitation is "a text feature contributing to a higher level of explicitness in comparison with non-translated texts" (ibid., p. 145). Klaudy and Károly (2005) define explicitation in relation to the extension taking place in the TT in terms of meaning, structure, number of words and phrase and/or sentence length. In his 2005 paper, Pym elucidates explicitation through a *risk-management approach*⁴⁵, and indeed proposes to replace the term 'explicitation' by 'risk-management'. Pym's hypothesis is that translators tend to be risk-averse or at least they minimise risk, and this can explain why explicitation occurs in translation (ibid.). In Pym (2010, pp. 165-6), he goes further to apply the risk-management approach to translation process and research, to the extent that he considers the work of the translator is a risk-management exercise, and translation norms and universals are risk-reduction measures. However, in his second edition (Pym, 2014, pp. 159-60), he de-emphasises the importance which used to be placed on this approach.

Seen from a different point of view, Malmkjær (1998) basically relates this phenomenon to Grice's (1975) theory of *conversational cooperation*, which states that the interactants (the sender and receiver) of a communication activity cooperate to achieve effectiveness in the exchange of information, and thus in meaning. The

⁴⁴ Strategies in translation can operationally be classified into: *comprehension or inferencing strategies*, which are related to the analysis of the ST, and *production strategies* (the ones concerned here), which result from the comprehension strategies and represent how the translator manipulates the linguistic resources to produce the TT (Chesterman, 1997, p. 92).

⁴⁵ The risk-management approach refers to the risks (taken in terms of possible undesired outcomes) the translator might take in a translation activity as compared with a non-translated one (Pym, 2005). These risks can take many forms, such as losing the client, being unpaid or being unidentified (ibid.).

cooperative principle is categorised under four main *maxims*: quantity, quality, relation and manner. Horn remarks that "The assumption that speaker and hearer are both observing the Cooperative Principle and its component maxims permits the exploitation of these maxims to generate conversational implicata, conveyed messages which are meant without being said" (1984, p. 12). To this effect, Malmkjær points out that "for an instance of linguistic communication to be successful: the audience understands the producer in the way that the producer intended" (1998, p. 32).

Later, Malmkjær (2008) argues that explicitation is a cognition-related phenomenon if approached from the perspective of the cooperative principle. In this regard, she states that "saying more or less than or something different than a questioner might reasonably expect, will generate implicature, that is information that the addressee adds to what is actually being said and which re-instates the Maxim" (ibid., p. 52). Based on this principle, the translator is expected to adopt the same maxims used in the ST and avoid flouting these maxims by explicating what is implied or not intended in the ST as this will result in preventing the TLRs from processing the meaning and cooperating successfully in the communicative stance of translation. In example 4 in Table 5.13 above, for instance, the explicitated element فقط (*only*) flouts the maxim of quantity in the TT, makes the TT too determinant and minimises the TLRs' role in projecting the text or inferring from previous information. Mason in this regard states: "Translator behaviour can then be described both in terms of the negotiation of meaning between target text producer and receivers on the one hand and in terms of the cooperative principle governing relations between all participants in the event on the other" (2000, p. 19). Pym, for his part, refers to the tendency of the translators to create 'easy texts' as "communication assistance strategies" (2008, p. 323). Baker (2011, pp. 246-8) concedes that Grice's notion is extremely useful in cross-cultural communication, but she argues that Arabic has a strong presence of the maxim of *politeness*⁴⁶ and maxim of quantity (i.e. using repetition as a major rhetorical device).

⁴⁶ Politeness can be defined as a "system of interpersonal relations designed to facilitate interaction by minimising the potential for conflict and confrontation inherent in all human interchange" (Lakoff, 1990,

Adopting another perspective, Nida and Taber term this phenomenon *expansion*, and argue that translated texts tend to be greater in length and more explicit than their originals because the process of translating involves moving from one linguistic and cultural structure to another and that TLRs are not equipped with the necessary background to understand the original message (2003, p. 164). In fact, they adopt a positive attitude towards the use of expansion inasmuch as they associate, to great extent, good translations with the tendency to be longer than their originals (*ibid.*). Moreover, they consider the expansions found in the translations the major elements in the testing of dynamic equivalence (*ibid.*, p. 165). They classify expansions into syntactic expansions and lexical expansions, and argue that any instance of expansion is either obligatory or unnecessary or illegitimate (*ibid.*, p. 166).

In her key work, Klaudy (2009, pp. 106-7) points out that explicitation can be classified into four types:

1. **Obligatory explicitation:** This is driven by differences in the syntactic and semantic structure between the SL and TL. It is subdivided into: *Syntactic explicitation* (an increase in the number of words in the TT) and *semantic explicitation* (adding more specific words to the TT). This type is a result of the "lexicogrammatical differences between the source language and the target language" (Becher, 2011, p. 21). Becher (2010) identifies this type by the

p. 34). See section 3.2.4.3.2 for politeness as a scale of Tenor. Politeness or the maxim 'Be polite', point out Lakoff (*ibid.*, p. 35) and House (1998), is subdivided into three cultural- and situational-informed strategies: *distance* (Don't impose), *deference* (Give options) and *camaraderie* (Be friendly). It is mainly culture, individual or situation that defines the 'sensitive' area where the maxim of politeness crucially governs the way information is conveyed. Lakoff exemplifies: "For some cultures, it's money; for many, sex; probably for all, death" (*ibid.* p. 36). She advocates the centrality of politeness problems and criticises the marginalisation of these problems in communication (*ibid.*, p. 177). In translation, argues House (1998), politeness should be treated within Halliday's interpersonal metafunction and her framework of overt and covert translations. In overt translation, the translator should reproduce the polite resources of meaning in the ST by equivalent choices in the TT, whereas in covert translation, s/he should use the tool of cultural filter in order to reproduce those polite resources through functional equivalents in the TL which may allow for differences in social norms and politeness norms (*ibid.*). See section 6.2 for more about overt and covert translations.

grammatical language-specific force between the two languages that obliges the translator to explicitate in the TT what is implicit in the ST.

2. **Optional explicitation:** This is mainly related to the text-building techniques and stylistic choices between the ST and TT. In other words, grammatically correct sentences in the TT can be produced without resorting to such explicitation, but with the possibility of the text being clumsy and unnatural. For example, adding connective elements can strengthen cohesive links between clauses, and using emphasisers can clarify sentence-perspective.
3. **Pragmatic explicitation:** This is actualised when some cultural elements of the ST are included in the TT, such as names of places. Becher adds that explicitations of this type are used when "a translator needs to add linguistic material in order to explain a concept specific to the source culture" (2010, p. 3). Commenting on the first three types of explicitation, Becher argues that "Klaudy's explicitation Types 1 to 3 (...) are unproblematic and uncontroversial" (2011, p. 59).
4. **Translation-inherent explicitation:** This occurs when some implicit ideas in the ST are made explicit in translation. Dimitrova remarks: "It seems that this type is related to the translator and his/her process of interpretation" (2005, p. 38). Commenting on this type in contrast to the other types, Becher remarks: "It is interesting to note that this is the only type of explicitation for which Klaudy does not present any examples" (2010, p. 3). He points out that this type is postulated while the other three are predicted (Becher, 2011, p. 23). He concludes that there is no need and no justification for using this type to explain any instance of explicitation in translated text (*ibid.*, p. 215).

An interesting interpretation of the phenomenon can be seen through the eyes of the information theory of translation (cf. section 3.2.5). Translating a literary work, in particular, involves three agents: an author, who selects an objective reality and employs her/his linguistic means and stylistic preferences to create a subjective reflection of that reality in a literary work, a translator, who reads (or decodes) this work and translates

(or encodes) it the TL, and finally a TL reader, who perceives the TT functions as objective material through a process of *concretisation*⁴⁷ (Levý, 2011, pp. 23-27). The translator, argues Levý, is a reader in the first place, and thus concretises her/his perception of the ST as a reader and reflects or expresses this conception subconsciously in the TT. Taking on Rosenblatt's (1978) view on types of reading⁴⁸ and Iser's (1990) approach to reading as a process of anticipation and retrospection, Oittinen (1992) argues that in translating fiction a translator reads efferently to retell the story for the TLRs, and it is the process of reading that makes the previous readings foreshortened in the memory of the translator, which s/he then draws forth and reflects in translation. Lederer (2007) discerns the difference between the ordinary reader and the translator in the fact that the former is free to interpret the text the way s/he likes, but the latter is restricted by the text-related knowledge to keep the TLRs entertained by accessing them to all interpretations available to the SLRs. Seeing example 2 in Table 5.14 in light of this view regarding reading approach or concept of concretisation, the translator reads clauses 33 and 34 and perceives that *the boy* says this utterance: *I could go with you again. We've made some money* as a sign of expressing gratitude to *the old man*. The translator, as a consequence, revokes the processing of this image mentally by the TLRs and represents his apprehension in the form of 'concretised explicitation'.

Viewing explicitation from the SFL perspective, four productive studies in the literature will be reviewed. House (2004), in the first place, does not concur with the universality of explicitation. She (ibid.) argues that explicitation falls into two main types: obligatory explicitation, which refers to the linguistic choices imposed by the natural syntactic and semantic differences between languages, without which the TL structure would be ungrammatical, and optional explicitation, resulting from the linguistic and cultural differences in context of source and target text production. Optional

⁴⁷ Concretisation, argues Levý, is the reader's (and thus the translator's) resulting process of interpreting a physical work (a text created by an author) through creating mentally its images, which are based on the schema provided by the message, and representing them in the TL by the translator (2011, p. 27).

⁴⁸ A distinction can be made between two types of reading: *aesthetic reading*, through which a reader devotes her/his entire attention to the experience s/he can gain while reading, and *efferent reading*, through which a reader pays more attention to the information internalised and kept after reading (Oittinen, 1992).

explicitation can be categorised into Hallidayan ideational explicitation or *referential content explicitation* (subdivided into *elaboration*, *extension* and *enhancement*⁴⁹), *interpersonal explicitation* or *pragmatic explicitation* (when the pragmatic meaning is given in the form of explicit interpretation clues or conveyed through a number of *meta-pragmatic* ways: *modal particles*⁵⁰, *frames*⁵¹ and *citation*⁵²) and *textual explicitation* (subdivided into cohesive devices: references, lexical cohesion, conjunction, substitution and ellipses and collocation). House concedes that there are other working factors than linguistic or text-oriented ones, such as "translator variables, situational variables and translation-task variables" (ibid., p. 203).

Steiner (2005; 2008) carries out a detailed corpus-based study on explicitation. He distinguishes between explicitness as a property of lexicogrammatical (within the clause) or cohesive (beyond the clause) encoding and explicitation as a process or product (but not a property) assuming that some meaning is explicitated

⁴⁹ Elaboration means that "one clause elaborates on the meaning of another by further specifying or describing it" (Halliday and Matthiessen, 2014, p. 461). In translation, it can come in the form of a gloss, a footnote, appositive or classifier (Abdul Fattah, 2010, p. 143). Extension actualises when "one clause extends the meaning of another by adding something new to it" (ibid., p. 471). In translation, extension involves a lexical item, string or textual stretch preparing the TLRs for what follows (Abdul Fattah, 2010, p. 145). Enhancement takes place when "one clause (or subcomplex) enhances the meaning of another by qualifying it (...) by reference to time, place, manner, cause or condition" (Halliday and Matthiessen, 2014., p. 476). In translation, it involves a potentially redundant circumstantial element deducible from the ST context (Abdul Fattah, 2010, p. 146). Halliday and Matthiessen liken these three subtypes of expansion in the ideational metafunction to enriching a building by elaborating its structure, extending it by addition or replacement or enhancing its environment (2014, p. 460).

⁵⁰ Modal particles exist in some languages of East and South-East Asia and some European languages, like German, to serve the interpersonal function of Negotiator and usually come in initial or final position of the clause where the speaker may take over from the previous speaker or hand over to the next (Halliday and Matthiessen, 2014, p. 142). Referencing Doherty (1987), König points out that modal particles semantically subserve the expression of epistemic attitudes of the speaker or hearer (1991, p. 176). Seen in the perspective of House's (2004) schema of explicitation, modal particles do not formally exist in English, and their pragmatic meaning may be expressed in English through modal verbs.

⁵¹ Tannen (1993) points out that the notion of frame can be traced back to Bateson in 1955. It explains how the speakers of a language use culturally-determined concurrent ways of making the intended meaning of utterances immediately expected and interpreted by the hearers according to what activity they are operating in, for example, joking, imitating lecturing, etc. (ibid.). The frame, argues House (2006a), is a socio-psychological concept that correlates to the more socially conceived notion of context; it gives the receivers instructions as how to interpret the message unconsciously. In translation, a translator may explicitate and use interpersonal 'advance organisers' to help the TLRs expect how what follows is to be understood (House, 2004).

⁵² One form of interpersonal explicitation takes place when a translator uses the technique of citation (through the use of quotation marks) to convey explicitly the pragmatic meaning to the TLRs (House, 2004).

lexicogrammatically and cohesively (Steiner, 2005; 2008). From the *instantiation*⁵³ and lexicogrammar perspectives, Steiner defines explicitation in translation as meanings (not only ideational, but also interpersonal and textual) being realised in the more explicit variant which are not realised in the less explicit variant, these excluding meanings perceived to be implicit in the source text (2005; 2008). His main argument is that since languages modularise their lexicogrammar along the three metafunctions and their sub-dimensions, then the mapping of semantics onto lexicogrammar will change with regard to explicitness, *directness*⁵⁴ and *density*⁵⁵, properties of lexicogrammatical constructions (ibid.).

Drawing on House (2004), Saldanha (2008, p. 32) suggests an SFL-based description of the phenomenon: "Explicitation can be conceived as a translation strategy whereby translators spell out optional interpersonal, ideational or textual meanings in the target text". However, Saldanha (2008) argues that SFL-based architecture can be accessibly used to describe explicitation but possibly falls short of explaining the whole phenomenon. Her explanation of explicitation is informed by the framework of *relevance theory*⁵⁶ and the concept of *audience design*⁵⁷ (ibid.). She proposes a

⁵³ Instantiation, point out Halliday and Matthiessen (2014, pp. 27-8), refers to the cline explaining the relation between language as a system of underlying potential and language as a set of texts (or instances).

⁵⁴ Directness is a "graded property of the semantics-to-grammar mapping, for example between participant (semantic) roles and grammatical functions, between expressions of modality in different lexicogrammatical categories, or between logical relationships, such as causation, and their lexicogrammatical or cohesive expression" (Steiner, 2005, p. 24).

⁵⁵ Density, argue Halliday and Matthiessen (2014, p. 726), is associated with constructing complex meanings. In written language, complexity is actualised by *lexical density* (packing a large number of lexical items into clauses) while in spoken language, density is obtained by intricacy in grammar (building up elaborate clause complexes out of dependency or taxis relations). Lexical density can be measured by dividing the number of lexical items by the number of ranking clauses (ibid., 727). Steiner (2005) emphasises that density is taken here as a grammatical notion, but not a semantic or discourse notion.

⁵⁶ The fundamental principle of relevance theory is the inference or interpretation resulting from the mutual knowledge between the sender and receiver, which is necessary to make a communication activity relevant and thus successful (Sperber and Wilson, 1995, p. 18). The notion of context occupies a position of profound importance in this theory. Sperber and Wilson notably define the notion of context in relation to the mutual-knowledge assumptions about the world between the sender and the receiver; it is then "not limited to information about the immediate physical environment or the immediately preceding utterances: expectations about the future, scientific hypotheses or religious beliefs, anecdotal memories, general cultural assumptions beliefs about the mental state of the speaker, may all play a role interpretation" (ibid., pp. 15-6). Relevance theory is developed in relation to translation by Gutt

communication-oriented explanation of explicitation: "individual translators see their role as intercultural and literary mediators" (ibid.). In other words, explicitation is a conscious strategy whereby translators presuppose assumptions about their readers and translate accordingly (ibid.). She concludes that the frequent use of the explicitation strategy may have a bearing on "the readability and ease of comprehension of a text in its own right, but not necessarily in relation to the source text" (ibid.).

In his in-depth corpus-based research, Abdul Fattah sets out to investigate from an SFL perspective how differences of clause complexing and conjunctive relations in English STs, their Arabic TTs and Arabic non-translated texts produced by the same translators are attributable to explicitation (2010, p. 302). The main result of this comparative analysis on the use of concessive conjunctives shows a perceivable frequency in favour of the translated as opposed to the non-translated texts (ibid., p. 299). The results adequately support Baker's view on explicitation as a translation-specific feature (ibid., p. 14). He notably proposes a schema of lexicogrammatical manifestations of explicitation (ibid., Figure 4.1, p. 142). Unlike House (2004), who mainly confines her categorisation of explicitation to optional explicitation, Abdul Fattah (2010, pp.141-6) breaks down explicitation into (i) lexical explicitation, which includes Klaudy's pragmatic explicitation and instances of explicitation involving added experiential

(1991/2000) as an attempt to solve the problem of deciding which theory is to be adopted in translation (Pym, 2014, p. 34). Viewed as a communicative stance, translation is not only an encoding, transfer and decoding process but more importantly an inference-oriented process (Gutt, 1998). Translation, in this view, is an interpretive use of language (Gutt, 2000, p. 136). In relevance theory, the translator needs to reproduce in the TT not only the content but also the style of the ST (Hatim, 2009b). Boase-Beier points out that Gutt utilises relevance theory in translation to "show that we can explain (rather than merely classify and describe) the facts of translation without the need for a special translation theory, focussing on translation as communication" (2010a, p. 43). In this regard, Pym notes that it is not only the language people communicate with; it is rather the relation between language and context (2014, p. 35). In relation to this theory, Chesterman and Wagner point out that the translator's job is to translate what is relevant to the TLRs, and this may involve using the techniques of explanation, addition or omission (2002, p. 10).

⁵⁷ Audience design is a sociolinguistic-based stylistic-shift concept (Bell, 2001). Speakers of language tailor their style for and in response to their audience, and any style shift is essentially a result of a change in the audience groups (ibid.). These groups, points out Mason (2000, p. 4), are categorised (in a descending-influence order) into: "addressees (whose presence is known, who are ratified participants in an exchange, and who are directly addressed); auditors (known, ratified but not directly addressed); overhearers (known but not ratified participants and not addressed) eavesdroppers (whose presence is not even known)". In translation, there are some attempts to map the concept of audience design onto the study of the shift in the translator's style, such as Mason (2000).

meaning motivated or unmotivated by the context for the purpose of reducing vagueness, filling a perceived cultural gap or increasing comprehensibility and processability, and (ii) grammatical explicitation, which is more commonly obligatory due to the structural or cohesive differences between the ST and TT. Lexical explicitation includes Halliday's tripartite categorisation of expansion: elaboration, extension and enhancement while grammatical explicitation encompasses interpersonal, ideational and textual subtypes (ibid., Figure 4.1, p. 142).

5.8.2 Towards an SFL-oriented Multi-level Schema of Explicitation

Taking into account the small sample analysed, most of the seven translators show a noticeable tendency to simplify and clarify the TT for the TLRs. This is arguably the reason why a TT tends to be longer and more explicit than a ST (Olohan and Baker, 2000). In fact, the existing accounts in the literature provide truly valuable insights into the current study. The above review of literature is meant to prepare the ground for carrying out an explicitation study. In view of the fact that this is a limited-comparative, exemplar-based supplementary study of the second type of explicitation recognised through applying the metafunction shift analysis, it is reasonable to compare the instances of explicitation in the translation sample between Ali, Baalbaki and Alqasimi (scoring respectively the highest, the median and the lowest number of shifts in the metafunction shift analysis). Saying 'limited' here means firstly that this brief study is restricted to just these three translators whose individual patterns have been thoroughly discussed and diagrammatically represented and secondly, it is limited to describing the instances of explicitation found in the given sample and answer *how often*, but not to delve into a *why* investigation which, as mentioned above by House (2004), can be related to factors other than the linguistic ones. For example, in his investigation of the pressure and tensions exerted on the translator's choices, Munday finds out through interviewing publishers that what matters for them is the selling of the book, which can be achieved through 'natural' and 'fluent' reading in the TL regardless of the total accuracy of the translation (1997, p. 319).

However, this is not the point. The point is: what criteria for description and comparison can be introduced into such a well-investigated area in TS? After being sufficiently enlightened by the above review, the enormous challenge for the present study is the exceptional contribution which has to be made. In order to accomplish this, a threefold approach will be implemented: borrowing from the above major SFL-based studies of explicitation, adopting relevant SFL notions and terms, and widening the scope of these selected notions and terms to describe the explicitated utterance. The challenge comes from four interacting factors to be borne in mind when putting together the constituents and designing a special classification schema for explicitation outside the metafunction shift analysis. The central aim is to describe how each explicitative works in the given semantic milieu. Next these factors will be exposed, and it will be considered how they can be treated in the proposed schema. The factors will be presented in descending order, from most general to most specific, i.e. the point of departure, the basic dichotomy, the main system of description, and the type and system of assessment.

1. The proposed schema has to define and justify the point of departure for the description, classification and assessment. The standpoint of the schema will be looking at the utterance from above, i.e. as an overall *proposition* or *proposal*. The basis of judgement will be mainly the proposition: the semantic function of language to exchange information and the proposal: the exchange of goods-&-services, i.e. offers and commands (Halliday and Matthiessen, 2014, p. 139). For further enlightenment, the explicitated utterance located beyond the reach of the metafunction shift analysis will be realised and described – the reference here is to description rather than to analysis – not as a single detailed functional constituent (which is the way adopted in the metafunction shift analysis), but rather as a group, a clause or even a clause complex. What matters most is the burden the explicitated utterance carries as an interactive event in the flow of the TT. Even though the utterance adds experiential meaning and structural layers

to the translated text, the major reference will be to the interpersonal effect of the utterance as an enactment of the speaker's opinion.

The difference between the ideational and interpersonal manifestations can be interestingly seen in SFL, and can be fruitfully mapped onto explicitation beyond the scope of metafunction shift analysis. The ideational (the experiential and logical) manifestations make explicit the orientation of the assessment, while the interpersonal manifestations leave the orientation implicit (ibid., p. 679). The description of the interpersonal role played by the explicitative is thus dominant in the schema because, as Eggins points out, the grammar of interaction in SFL terms is approached semantically (2004, p. 144). The interpersonal description is more dynamic and contains more instances of lexicogrammatical realisations concerning the speech functions of the explicitative: a statement, an offer, a command or a question (Halliday and Matthiessen, 2014, pp. 135-6; Bardi, 2008, p. 205). The significance of the other two metafunctional descriptions (experiential and textual) is mitigated under Halliday and Matthiessen's principle that: sometimes it is not necessary to analyse all the three lines representations of meaning; a single representation will suffice (2014, p. 387).

2. The basic distinction is deemed to give rise to the immediate influence of the explicitated utterance on the nearest or 'affected' clause. More specifically, a dichotomy is proposed between 'before' and 'after' the affected clause. If the explicitated utterance is located immediately before the affected clause, it is a frame (in the sense of House's concept and use); if it immediately follows the affected clause, it is an upgrade (in the sense of grammatical and interpersonal metaphor). Halliday and Matthiessen state: "Systemically, metaphor leads to an *expansion of the meaning potential*: by creating new patterns of structural realisation, it opens up new systemic domains of meaning (2014, p. 699, emphasis in the original). Grammatical metaphor expands the overall ideation base through expanding the semantic potential of the system (Halliday and Matthiessen, 1999, p. 46, p. 227), while interpersonal metaphor represents the

strategy for expanding the potential for negotiation (Halliday and Matthiessen, 2014, p. 710).

The upgrade concept is further subdivided into three explicitation forms: footnote, citation and commentary. The first two forms have been discussed above. The commentary form is adopted from Fraser's (1987) innovative analysis as a type of *pragmatic marker*⁵⁸ (Fraser, 1999). There are two fairly obvious reasons for this adoption. Firstly, the domain of pragmatics in general strictly belongs to the interpersonal metafunction – whether in linguistic terms in general, as emphasised for example by Brinton (1996, p. 38), or in explicitation terms, as pointed out by House (2004) above. Secondly, the concept and use of *commentary markers* can be seen to provide an adequate account of explicitation in this location. The working hypothesis here is that taking a position similar to a speaker or writer, a translator can explicitate in the form of a commentary that occurs finally, i.e. after the affected clause. In what follows, whatever applies to commentary markers can be seen to bear a resemblance to 'commentary explicitation'. Commentary markers, in simple terms, are expressions signalling a comment on the basic message (Fraser, 1997; 2009). Commentary markers, like all other types of pragmatic markers, occur typically in sentence-initial position, but they may also occur in medial or final positions (Fraser, 1996). A good example is provided by: "I don't know how you can stand him, **seriously speaking**" (Fraser, 1997, p. 121, emphasis in the original). Commentary markers form "additional explicit messages", and thereby add to the complexity of the utterance (Fraser, 1999, p. 941). Important to this is the argument that

⁵⁸ Brinton (1996, pp. 30-1) reviews several definitions of pragmatic markers, among which is Goldberg's (1980) definition: "marking devices which display the speaker's understanding of the contribution's sequential relationship or relevance to the information set as established by the immediately preceding contribution" (p. 30). Fundamentally, pragmatic markers are not associated with the meaning of the proposition; they are associated with signalling aspects of the message as intended by the speaker (Fraser, 2009). Brinton (1996) points out that the underlying idea in introducing the concept of pragmatic markers is to study the relevance of an utterance to the preceding utterance or to the context. She clearly states that "functions of pragmatic markers belong within Halliday's interpersonal component" (ibid., p. 38). Fraser (1996; 1997) argues that pragmatic markers can fall into four main types: basic markers, commentary markers, parallel markers and discourse markers (summarised also in Blakemore, 2006, p. 223).

"commentary markers (...) are **optional**" (Fraser, 1996, p. 169, emphasis added).

3. Taking into account the main SFL principle that meaning comes from lexicogrammar, or to quote Halliday and Matthiessen's statement: "Every lexicogrammatical system realises some semantic system" (2014, p. 66), the main lexicogrammatical system forming the heart of the interpersonal description in the schema is the Mood system along with its types (indicative and imperative). The Mood system is particularly useful to the schema because it realises the semantic system of speech functions, which are construed in the form of proposition or proposal added before or after the affected or relevant clause (ibid.). In Arabic, the same concept of realisation applies: "speech functions are realised by different Mood options, namely statement by the declarative, command by the imperative, offer by the interrogative (albeit polite interrogative) and asking for information by the interrogative too" (Bardi, 2008, p. 53).
4. The central interpersonal system of assessment in the schema is the system of Modal Assessment (See Halliday and Matthiessen, 2014, Table 10-6, pp. 680-5). Modal Assessment is not only taken as the basic scale between positive and negative (ibid. p. 316), but rather as a "semantic domain extending across more than one grammatical environment" (ibid., p. 686). The expansion of meaning potential in the schema, as discussed above, is treated metaphorically in the SFL sense, and this can give the Modal Assessment "the status of a proposition in its own right" (ibid., pp. 699-700). In this sense, a frame and an upgrade will be interpersonally described on the scale of Mood type of the Modal Assessment (covering the semantic domains of Temporality⁵⁹, Modality and Intensity⁶⁰) and on the scale of Comment type (covering the semantic domains of Propositional

⁵⁹ Temporality is the semantic domain related to interpersonal (deictic) time or to the speaker's expectation concerning the time at issue (Halliday and Matthiessen, 2014, p. 187). In the proposed schema, spatial elements will be included under temporal elements (or can be referred to as spatio-temporal elements). Deictic elements in general are "those that are interpreted by reference to the 'here-&-now' of the discourse" (ibid., p. 118).

⁶⁰ Intensity is the semantic domain related to the degree of intensity of the Process or to the speaker's limiting or exceeding what is to be expected (ibid., p. 188).

and Speech-functional). The gist of the argument here is to define the interpersonal role played by each explicitative in the TT. The writers – the translators in this case – use the metaphorical representations of Temporality, Modality and/or Intensity to explicitate and express their opinions (ibid., p. 689). The Comment type is restricted to indicative clause (ibid., p. 190). This means that explicitation of indicative type can be described according to both Modal Assessment types (Mood and Comment), but the imperative explicitated utterances can only be described in terms of Mood type. Halliday and Matthiessen aptly point out that the semantic domain of Modality is extensive to the extent that it can be mapped onto the clause as a whole; it is not bound to the verbal groups or modal adverbs (2014, p. 665). They go on to point out: "Since the modality is being dressed up as a proposition, it is natural for it to take over the burden of yes or no" (ibid., p. 689). In the case of ST production, Modality can be seen as a "way of introducing **additional** voices into a text" (Martin and Rose, 2003, p. 48, emphasis added). Eggins' definition of Modality can usefully be quoted in this context. Modality is "a complex area of English grammar which has to do with the different ways in which language user can intrude on her [or his] message, expressing attitudes and judgements of various kinds" (Eggins, 2004, p. 172). This principle can be mapped onto the work of a translator explicitating in this location. The description on the basis of these semantic domains will not be extended to the point of maximum delicacy, as argued by Halliday and Matthiessen (2014, Figures 4-25 and 4-26, pp. 189-90, and Table 10-6, pp. 680-5) because the description is fundamentally taken on the level of an explicitated utterance as a whole, not on the level of single Adjuncts.

Figure 5.8 schematises what can be referred to as: a multi-level schema of optional explicitation located beyond the scope of metafunction shift analysis. In application, the schema will be presented in table form. Only Ali's and Baalbaki's explicitatives will be presented and studied, simply because Alqasimi (in the selected mini-corpus) does not have any instances of explicitation beyond the metafunction shift analysis. The

explicitatives will be represented in two tables. The first table demonstrates the explicitated utterances, the closest or affected clause, the back-translation, the number of elements, form and type. The word 'elements' is purposefully used because, for example, the conjunction *و* (*and*) and *حروف الجر* (*prepositions*) are not referred to as words in Arabic; they are 'letters'. The location of the explicitative is represented by (...). The second table is an accessible applied network of the proposed schema in Figure 5.8 above. These tables will elucidate the trend towards explicitation in the two translations as this emerges beyond the metafunction shift analysis.

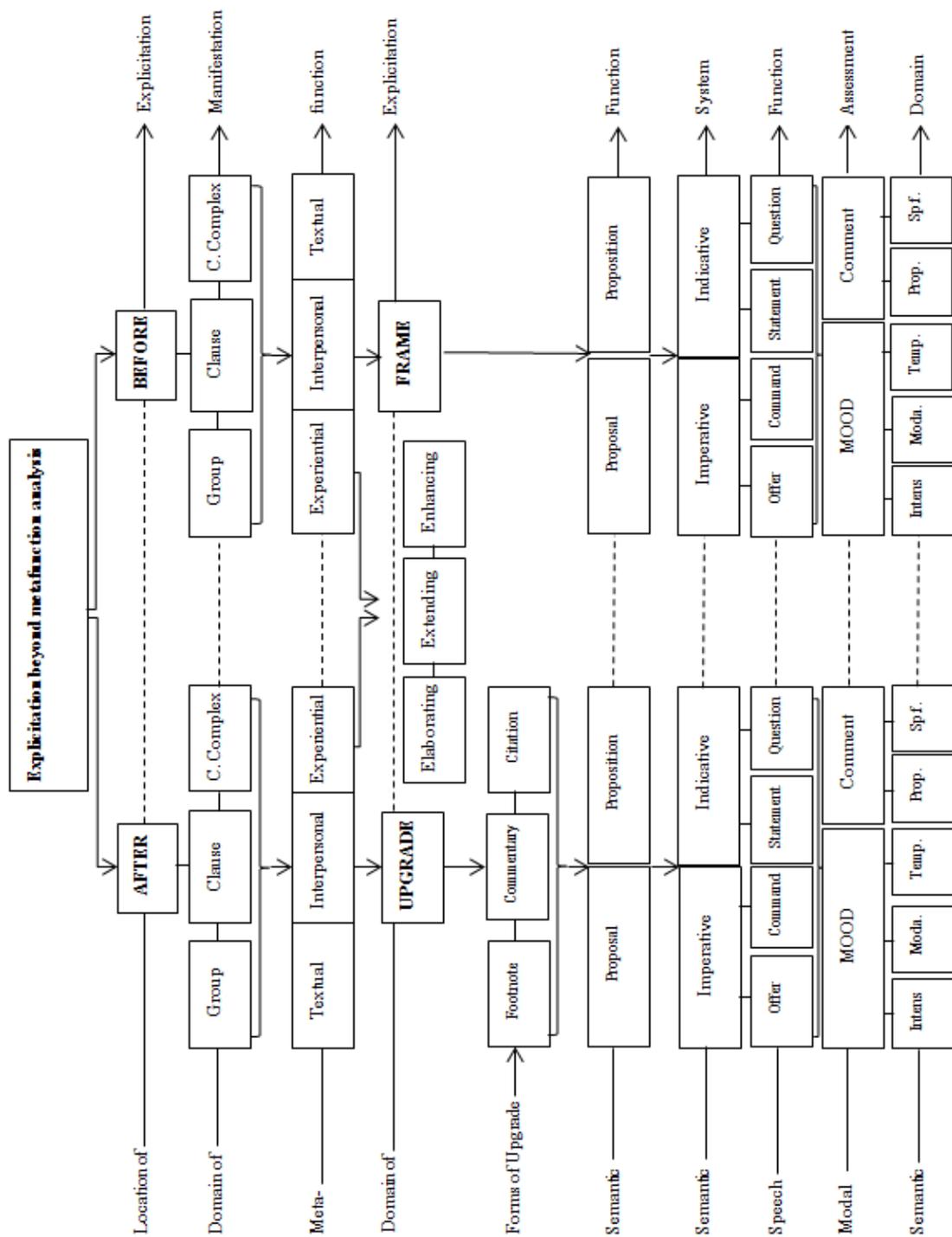


Figure 5.8: A multi-level schema of optional explicitation beyond the scope of metafunction shift analysis

No.	ST Closest Clause	Clause No.	Explicitated Utterance	Back-Translation	No. of Element(s)	Form	Type
1	In the first forty days a boy had been with him (...)	5	كان قد رافقه فتي خلال الأربعين يوماً الأولى، لكنه كان فيما تلاها وحيداً	he was after that alone	4	Addition	Optional
2	and the boy had gone at their orders (...) in another boat	9	فرضخ الفتى لأمر والديه، وهجر العجوز	and abandoned the old man	3	Addition	Optional
3	to see the old man come in each day with his skiff empty (...)	12	، حين يرى العجوز عائداً إلى الشاطئ كل يوم صفر اليدين. وكان جل ما يمكنه القيام به لأجله	and the most he could do for him was	8	Addition	Optional
4	The sail was patched with flour sacks (...)	16	كان كلما طوى هذا الشراع المرتوق بخرق الخيش في أكثر من مكان	in many places	4	Specification	Optional
5	the sun brings (...) from its reflection on the tropic sea	21	وبشرته التي أحرقتها الشمس دون رحمة،	with no mercy	2	Addition	Optional
6	(...) from where the skiff was hauled up	32	كان النهار في نهايته حين رسا الزورق،	it was the end of the day when	5	Addition	Optional
7	(...) We've made some money.	34	الآن ... بعد ان ادخرت بعض النقود،	now after	2	Addition	Optional
8	(...) The old man had taught the boy to fish	35	كانت كلمات الفتى وصوته، بنمان عن الكثير من الشكر والامتنان لهذا العجوز الذي لفته مبادئ الصيد.	the boy's words and voice announced a great deal of thanks and gratitude for this	13	Addition	Optional
9	(...) 'No,' the old man said.	37	إلا ان العجوز لم يطق هذه المنة فقال للفتى: ...	but the old man couldn't bear this favour	7	Addition	Optional
10	Stay with them. (...)	39	، فابق مع أصحابك ودعك مني.	and forget about me	3	Addition	Optional
11	(...) and then we caught big ones every day for three weeks	42	ثم تدخلت يد القدر على حين غرة، وأصبحنا نظفر بعدة سمكات كبيرات كل يوم، طوال ثلاثة أسابيع.	then suddenly a twist of fate intervened	7	Addition	Optional

Table 5.15: Ali's instances of optional explicitation beyond the scope of metafunction shift analysis

The tables above reveal a vast difference between Ali (scoring the highest number of metafunction shifts) and Baalbaki (scoring the medial number) in the extent of the optional explicitations involved. Baalbaki has three explicitatives located beyond the scope of metafunction shift analysis, while Ali, albeit in this small-scale sample, has 11 explicitatives belonging to the same type of explicitation. Two thirds of Baalbaki's explicitatives are basically driven by the translator's intention to explain cultural elements (a geographical location and a specific weapon for hunting), whereas Ali's translation is devoid of footnotes. Nord points out that the translator of a fictional text can sometimes be licensed to interrupt and explain the internal situation of the ST using explanatory translations or footnotes, but only if these pieces of information are hidden in certain cultural elements, such as proper names, regional or social dialect – corresponding to Klaudy's pragmatic explicitation – though such explanation or footnoting made to the TLRs can negatively affect the literary charm of the text (2005a, p. 108-9). From a different point of view, Saldanha (2008) argues that in translating culture-specific items, the translator does not need to be too informative and explain the meaning of every cultural item, but rather should provide a minimum amount of information that makes the TLRs perceive the function of the lexical item without a clear understanding of its semantic meaning (in this example *a stream in the sea*, such as Alqasimi's and Wehbe's translations 'مجرى الخليج').

Taking into account the exceptional significance of the *domain of explicitation* in the schema, Baalbaki, apart from the above footnotes, has one frame explicitative while Ali has five. A clear distinction can also be made between the two translators apropos of commentary upgrade explicitation. While Baalbaki does not have any instances of commentary explicitation, Ali has 6 explicitatives of this domain type. All Ali's explicitated utterances operate under the indicative semantic system except for one utterance (No. 10), which operates under the imperative semantic system. In fact, the reason for using the imperative system in that utterance is mostly textual; the imperative system suits the narrative flow and the dialogic part. Thus, it can be convincingly argued that most explicitatives, viewed in terms of the findings of text analysis, are neither justifiable nor motivated in literary works of this kind because both the SLRs

and the TLRs have the same capacity to make sense of such a version of reality. In this regard, Baker holds the view that the translator does not need to intrude and interpret what is implicit in as far as the reality between the two cultures is adequately signalled (2011, p. 259). In accordance with this, Nord argues that a fictional text, as distinguished from a non-fictional text, reflects a situation which is often made explicit, and therefore can be comprehended without drawing heavily on the shared knowledge between the sender and the receiver because the fictional text starts building up its own model of reality in one of two ways: either it explicitly refers to a realistic model or creates a fictitious one in the text (2005a, p. 108).

It is hardly surprising that the results of this qualitative/quantitative comparison accord well with and corroborate the findings of the metafunction shift analysis (see section 5.5), where Alqasimi makes 8 shifts, Baalbaki 42 and Ali 85. The present analysis lends support to the view that there is conclusive evidence of a direct positive correlation between the number of optional metafunction shifts and the number of optional explicitatives beyond the scope of metafunction shift analysis geared toward the experiential and interpersonal breadth of the TT. The order of the three translators within the previous metafunction shift analysis model is kept in the present explicitation analysis model. In summary, the results of the trend towards optional explicitation obtained here seem to tie in positively with the findings of the metafunction shift analysis. Though this is a small-scale study involving just three translators, the results suggest that an explicitation trend of both types seems to be in operation.

After this detailed SFL-based description of the explicated utterances found in Ali's and Baalbaki's mini-corpus translations, it is appropriate to shed some light (based entirely on text factors) on a possible interpretation of this type of optional explicitation. Discussion will focus on the level of process and the impact this type might have on the TT as prose fiction. On the level of process, the results obtained here have given an important insight into one of the common approaches in TS, to link the phenomenon of explicitation to the translator's own choices. In this particular case, such choices in the TT considerably weaken the dynamic interaction between the lexicogrammatical

stratum of the text and its wider stratum of context. It can thus be concluded that explicitation beyond the reach of the metafunction shift analysis is mostly tied to the individual translator's tendency to concretise her/his perception as a reader, reflecting this in the TT in order to enhance her/his role as a mediator, facilitator or even 'disambiguator' (whether consciously or subconsciously) rather than to a universally inherent translation strategy. In this regard, Pym's remark is very useful: "translators are basically nurturers, helpers, assistants, self-sacrificing mediators who tend to work in situations where receivers need added cognitive assistance" (2008, p. 323).

Apropos of the impact of this type of explicitation on the product as a piece of fiction, two closely related effects can be briefly discussed and exemplified. Firstly, such explicitation makes a major shift in the narrative structure as it adds a *voice* commenting on the actions and/or characters, which is not originally used by the ST author. The notion of translator's voice is traced back to Barbara Folkart, who argues that "a translation differs from an original because of the translator's voice or discursive presence in it" (1991, cited in Bosseaux, 2004, p. 259), and that translation is a 're-enunciation' process in which the translators make the original utterances their own during reception and 'put their stamp' on the discourse during the re-mediation (1991, cited in Bosseaux, 2007, pp. 59-60). Valle (1993) speaks of the impossibility of producing a TT without leaving an imprint on it (cited in Bosseaux, 2004). Hermans develops the notion further and proposes that "translated narrative discourse always contains a 'second' voice, to which I will refer as the Translator's voice" (1996, p. 27). Hermans (ibid.) classifies the scale of the translator's voice under three main areas: firstly, an area where the voice is entirely hidden behind the narrator (which can actualise in a metafunctionally equivalent TT); secondly, an area where the voice is obviously present, breaking through the surface of the text and speaking for itself (which can measure up to the second type of explicitation proposed in this work, being located beyond the metafunction shift analysis); and lastly, an area in between where the voice is less overtly present (which can exist in the first type of explicitation deduced within the metafunction shift analysis).

Adding this voice, using such 'authorial commentary' on the part of the translator will result in exposing the TLRs to conclusions which may not be intended by the original author. On this matter, Leech and Short clearly state: "The reader is thus invited, in a novel, to draw implicatures both from character speech and authorial commentary" (2007, p. 243). Puurtinen (1998) goes further to argue that situation can change in literary translation if the structure changes or if the author (in this case the translator) provides explanatory comments. In the ST, Hemingway's "external narratorial voice is genuinely present" (Simpson, 1993, p. 32). Hemingway does not use any authorial comments, getting nobody between the reader and the character or the scene (Hemingway, 1988, XV).

Secondly, this type of explicitation can be fairly associated with a shift in the narrative point of view. Simpson (1993, pp. 50-1, Figure 3.1) – also accessibly summarised by Ng (2009, Table 4.2, pp. 213-4) – proposes a nine-polarity model of narrative point of view, consisting of two main categories which ramify into other subcategories: the first person narrative (narrated by a participating character within the story) and the third person narrative (narrated by an invisible nonparticipating narrator). Simpson (1993, pp. 75-6) and Ng (2009, pp. 215-7) point out that the point of view in Hemingway's *The Old Man and the Sea* belongs to the third person neutral mode, where speech is presented directly using unmarked reporting verbs *said* and *asked*, or freely, where thought is freely and directly presented. Though this is a well-established area of investigation in TS, one example of Ali's explicitation (No 9, Table 5.15) is barely sufficient to illustrate the case of shift in the narrative point of view. The ST point of view in case 9 '*No, the old man said*' is a Direct Speech with *said* as an unmarked reporting verb, but Ali clearly adds his voice before the clause in the form of a third person Narrative Report of Action: *but the old man couldn't bear this favour*. The kind of choice made by Ali causes what Bosseaux calls "transfer of narratological structures" (2004, p. 259). Other example of shift in point of view can be found in Ali's cases No. 1, 4, 6, 7 and 11 in the same table. But this time the shift is spatio-temporal, not narrative. In No. 4 and 6, for example, the TT utterances are more clearly marked than the original from the spatial and temporal point of view respectively.

5.9 Summary

Chapter five constitutes the heart of the matter for the combined model of the research. It has covered the phase of applying Kim's SFG-centred model, which has been profoundly modified. The lengthy process of applying the model has involved six steps. Firstly, the clauses of the ST sample have been divided into four the different types of clauses. Secondly, the ST clauses have been metafunctionally analysed in their ideational, interpersonal and textual manifestations. Thirdly, the seven TTs have been analysed in detail (clause number and percentage) to locate the shifts and mismatches of ten metafunctional constituent categories involved in the model. Fourthly, three individual patterns of metafunction shift analysis have been discussed and compared with the help of data charts and diagrammatic representations. Fifthly, eleven selected examples pertaining to different analytical categories have been discussed at length, identifying different metafunctionally-inspired translation shifts with reference to Pérez's (2007) key work on SFG-oriented translation shifts. The discussion also has presented areas where non-shift instances can be deduced in English-to-Arabic translation, depending on the SFG operational framework. Finally, a brief complementary, qualitative/quantitative comparative study of explicitation has been appended to compensate for the 'shortcoming' of the model in accounting for the added elements beyond the scope of metafunction shift analysis. An SFL-oriented multi-level schema has been generated to describe the lexicogrammatical nature of the explicating shifts of this type and has been applied to three translations. The results have shown that the order of the three translations is maintained. This is to say, the translation taking the lead in the metafunction shift analysis model has been found to have the least number of explicitatives beyond the scope of metafunction shift analysis, and the median and the last have come in exactly the same order as the previous study.

Chapter 6

House's Model for Translation Quality Assessment

6.1 Introduction

The second phase of the research model is the implementation of House's (1997) model for translation quality assessment (TQA), which has enjoyed a remarkable reputation in TS in the last four decades. TQA models, argues Lauscher (2000), are models for practical evaluation or systematic procedures for evaluation. Chesterman, 1997, pp. 123-141) distinguishes five categories of TQA models or approaches: (i) *retrospective TQA*, which studies the relation between the TT and its ST, (ii) *prospective TQA*, which is TT-centred, i.e. it departs from the TT to see its effect on the TLRs without taking account of the ST, (iii) *lateral TQA*, which is a TT-oriented assessment type set out to compare the translated texts with original non-translated texts or *parallel texts* in the TL, as in "corpus linguistics approaches to translation" (Drugan, 2013, p. 47), (iv) *introspective TQA*, which studies the translator's decision-making process before applying any other TQA model, and finally (5) *pedagogical TQA*, which is designed to evaluate the performance of trained translators or provide feedback for future improvement. House's TQA model fits well into the retrospective TQA category. In fact, Chesterman himself classifies House's model under this category (*ibid.*, p. 124).

From another perspective, unlike Kim's model for metafunction shift analysis, which can be classified, as proposed by Williams (2004, p. 3), as *a model with a quantitative dimension*, House's model is categorised within *non-quantitative models* as a *descriptive-explanatory model* (*ibid.*, p. 13). Williams (2009) refers to TQA as a non-value-free type of evaluation grounded on some criteria of goodness. According to Williams (*ibid.*), three purpose-inspired types of TQA can be distinguished: "diagnostic (determining areas for improvement at the outset of a course of study), formative (measuring progress and giving feedback during a course of study) or summative (measuring the results of learning)". House's model mainly belongs to the first type. William (*ibid.*) stipulates that a TQA model has to fulfil the criteria of *validity* (the

extent to which a model measures what it is designed to measure) and *credibility* (the extent to which a model gives a similar result when repeated by other assessors on the same text(s) under the same conditions). These two criteria are meant to achieve a great deal of success in evaluation and the avoidance of impressionistic judgement, or subjectivity.

In reviewing House's (1997) book, Hatim clearly states: "The model's flexibility and hence explanatory power have also been appreciably enhanced and mismatches are now judged within a much more comprehensive framework" (1998, p. 99). Lauscher (2000) stresses that a good TQA model needs to be characterised by flexibility and precision. William, however, implies that no TQA model can be perfectly objective as it is the assessor who makes certain decisions on borderline cases; and this necessitates the model to be as clear and defined as possible. In this regard, House aptly points out that "it seems unlikely that translation quality assessment can ever be objectified in the manner of natural science" (1981, p. 64).

House's model basically adopts a discourse analysis approach to translation. Taylor and Baldry speak of House's model as exploring the similarities and differences between the ST and TT contexts of situation and matching the function of both texts (2001, p. 279). Beside the comparison of Kim's and House's models discussed earlier in section 4.2.2, another issue can be raised here. House's model works on four analytical levels: language/text, register (Field, Tenor and Mode), Genre and function of the individual text (House, 1997, p. 107). Kim's model, in comparison, is conducted exhaustively, as discussed in chapter 5, on the first level. In other words, Kim's model is a text-centred analysis, whereas House's model operates, as shown earlier in Figure 3.2, within wider strata; Genre which nestles register that, in its turn, nestles discourse semantics in which the text is actualised through the means of lexicogrammatical choices. Conforming with this SFL approach to translation in general, Matthiessen aptly points out that "the highest degree of equivalence is to be found in the widest environment – that of context" (2001, p. 78). Saying this, however, does not neglect the fact that an in-depth analysis of the text necessarily reveals, in different degrees, information about the

environment or situation in which it is produced. This concurs with one of the basic principles of the social semiotic approach and its SFL model, that the situation represents the environment that 'gives' life to and 'shapes' the text. Therefore, applying House's model responds clearly to the overall aim of the present research as it covers the levels or strata that are not addressed by Kim. In this chapter, the notions, the categorial system and the evaluation scheme will be reviewed, the ST will be profiled and analysed and three TTs will be analysed, matched, evaluated and then compared.

6.2 Reviewing the Basic Notions, Categorial System and Evaluation Scheme

A general review of House's model has been presented earlier in sections 3.3.2 and 4.2.2. This section will dwell at some length on more specific elements of the model, such as the basic notions, definitions and categories as well as the evaluation scheme. This will pave the way for applying the model and modifying its tools. As noted above, House's model is basically informed by SFL. However, she also makes use of some ideas adopted from several perspectives and approaches in the fields of language, linguistics and translation. Developed from House (2001b, p. 247), Figure 6.1 diagrammatically represents the basic sources of the notions, categorial system and evaluation scheme upon which the model is founded.

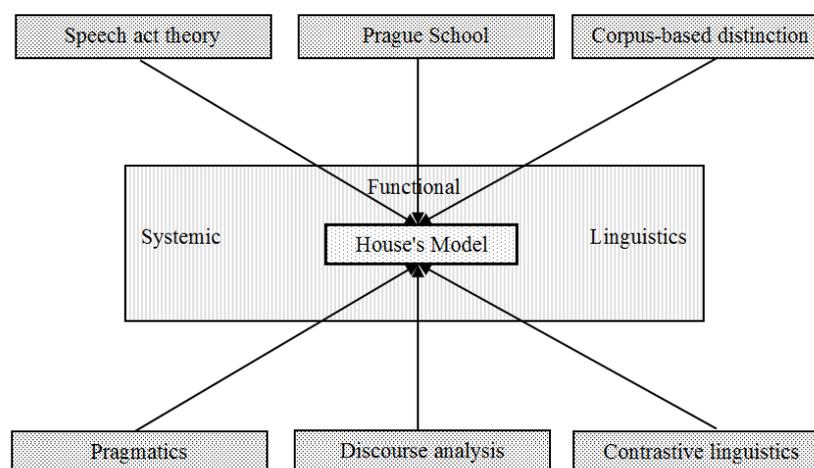


Figure 6.1: Areas, fields and approaches inspiring House's model for TQA

The majority of these sources are already introduced in chapters 3 and 4. There is, however, a need to shed some light on one source which has not been introduced yet. Granger (2003) speaks of *contrastive linguistics* as referring to the discipline charting similarities and differences between languages and grounding the possible teaching programmes on such contrastive findings.

As with Kim's model (see Figure 5.1), Figure 6.2 below represents the location of House's model of analysis. Unlike Kim's model, which permits rigorous analyses of the lexicogrammatical choices in relation to the ideational, interpersonal and textual metafunctions, House's model operates secondarily in the lexicogrammatical stratum. The red circles represent the outer strata which are intensely in operation: discourse semantics (other than the textual metafunction), register and Genre. As far as the exclusion of the textual metafunction is concerned, House clearly states: "Following Halliday, but dismissing his textual function as belonging to a different level of analysis, House distinguishes two basic functional components which are co-present in every text: the ideational and the interpersonal functional components" (2006b, p. 29).

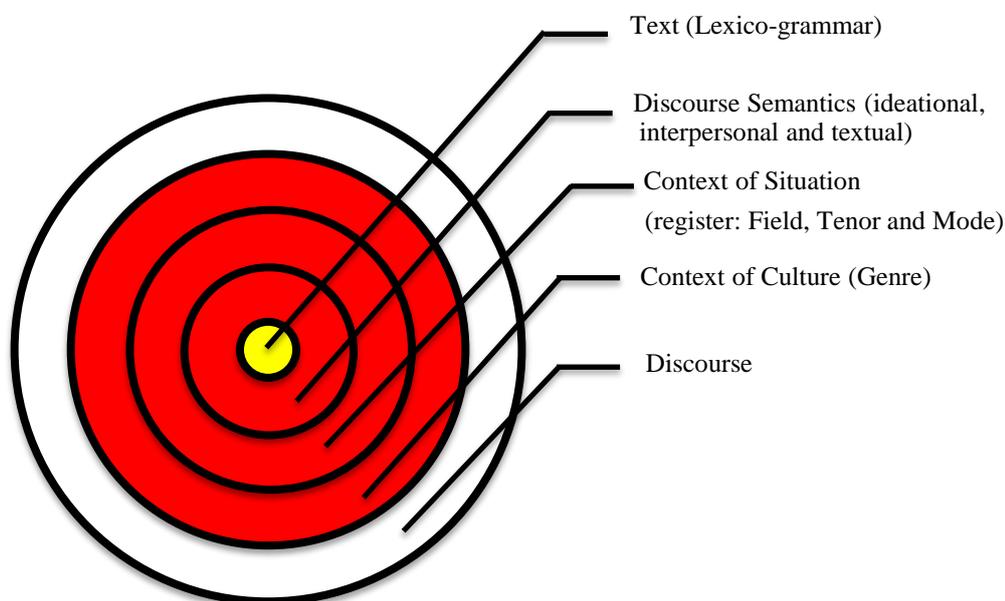


Figure 6.2: The location of House's model in the SFL stratal relations

In answering the important question: *how do we know when a translation is good?*, House grounds her model on the idea of exploring how far the ST and TT register features are related (House, 2001a). House's endpoint assessment is to decide whether the translation is overt or covert (the distinction between these two terms will be discussed in more detail later in this section). In fact, she approaches translation from the functional equivalence perspective, which represents the yardstick of her model (cf. section 3.2.4.3.2), and which she considers a fundamental criterion in translation that can only be achieved through the covert type of translation (Gutt, 2000, p. 47). In other words, the translation should conform to the original text in function (ibid.). What is meant here is not the function of language as suggested by many linguists, but rather the text function or the individual textual function, which can only be stated after a robust linguistic-textual analysis of the register dimensions (House, 2006a). On this matter, House clearly states: "And it is this type of equivalence which is used in the functional pragmatic model (...), where it is related to the preservation of 'meaning' across two different languages and cultures" (2001b, p. 247). She argues that the formal, syntactic and lexical levels cannot achieve equivalence between any two languages alone because each language has its way of cutting up reality (ibid.).

Functional equivalence in translation can be attained through preserving three aspects of meaning: semantic, pragmatic and textual (House, 1997, p. 30). The semantic aspect of meaning refers to the relationship of linguistic units to the 'concrete' or 'abstract' denotative references in any world that the human mind is capable of constructing (ibid.). In simplified terms, the semantic aspect designates the relationship between 'words' and 'things' (ibid.). The pragmatic aspect refers to "the correlation between linguistic units and the user(s) of these units in a given communicative situation" (ibid.). The textual aspect refers to how the ST is processed in terms of Theme-Rheme sequences and different cohesive devices, which should be kept equivalent in translation (ibid., p. 31). That is why House's model associates adequacy in translation, in particular, with the semantic and pragmatic replacement of a text in the TL (ibid.).

In the light of the above review of literature, insights can be gained about House's view of translation. In a broad sense, she sees translation as "a cross-linguistic cultural

practice involving recontextualization" (House, 2006b, p. 28). More specifically, she regards translation as the *recontextualisation* of a text in the SL by a semantically and pragmatically equivalent text in the TL (House, 2001b). This necessitates the translator considering the text and context as inseparable entities so that s/he can produce a TT having an equivalent text function to that of the ST (ibid.). Such a function is revealingly presented through the ideational and interpersonal metafunctions (ibid). The outcome of this recontextualisation theory is the formation of a text-context profile that realises a discourse and characterises the individual textual function of the ST against which the TT is measured (House, 2006a).

House builds the analysis and comparison scheme of her revisited model based on four analytical levels: text function, Genre, register and language/text (1997, p. 107). She refers to the level of Genre, which is added to the revisited model, as "a socially established category characterised in terms of occurrence of use, source and a communicative purpose or any combination of these" (1997, p. 107). The use of Genre is vital to the model as it indicates the class of texts with which a given text shares a common communicative purpose (House, 2001a). She argues that an assessor needs first to analyse the context in which the text unfolds, and to do so, s/he needs to "break down the broad notion of context into manageable parts or 'situational dimensions'" (House, 2006a, p. 345). To put it differently, since the success of a communication attempt is essentially bound up with using the right context, and any use of wrong contextual information yields a failure of this attempt (Gutt, 1998), then it is fairly logical that analysing the context has an overridingly important role in assessing the quality of translation and exploring context-related aspects. Figure 6.2 represents House's revisited dimensional scheme for analysis and comparison (or the categorial system). The analytical levels and dimensions are defined and discussed throughout this work, such as for instance Field, Tenor and Mode (see chapters 3), but some categories are not. These will be briefly reviewed hereinafter.

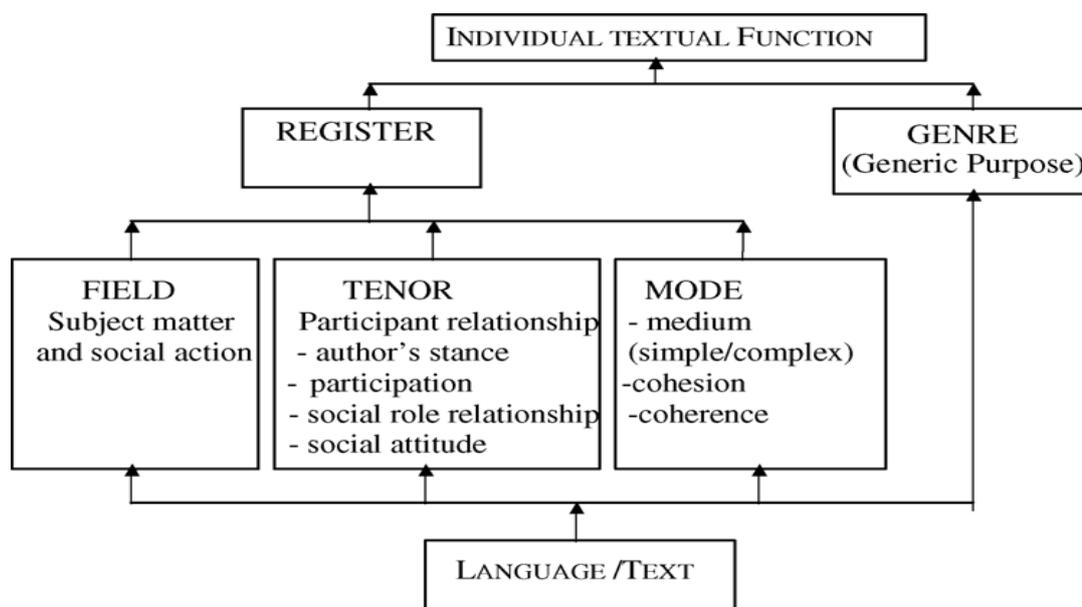


Figure 6.3: House's scheme for analysing and comparing ST and TTs, copied from House (2006a, p. 346).

It is posited that understanding the register of a text is achieved through analysing its three contextual concepts or dimensions: Field, Tenor and Mode. Analysing these three dimensions results in establishing the linguistic correlates and characterising the textual function of the ST against which the TT is measured (House 2009, p. 224). In general terms, Matthiessen supports the approach that successful translation, if translation is regarded as problem solving, is achieved once register is chosen as the frame for reference, because it provides "valuable information to the translation process by significantly reducing the space that has to be searched for appropriate translations and by offering a 'compilation' of those semantic strategies appropriate to the contextual task at hand" (2001, p. 93). Likewise, analysing the register of ST and TT(s) will help to locate these appropriate translations.

The dimension of Field includes "the field of activity, the topic, the content of the text or its subject matter" (House, 1997, p. 108). House (ibid., pp. 44-5) differentiates three main textual aspects to be investigated and itemised in the Field analysis: (i) *Themedynamics*, which describes the different patterns of semantic relationships by which

Themes are represented in the text, (ii) *clausal linkage*, which is described by the Logical Relations between clauses in the clause complex, as discussed in Kim's model in chapter 5; and (iii) *iconic linkage*⁶¹ or *structural parallelism*, which refers to the case in which two or more sentences cohere because they are, at the surface level, identical. With regard to Theme-dynamics aspect, two arrangements of word order can be differentiated: *objective position*, in which the Theme precedes the Rheme in normal unmarked speech, and *subjective position*, in which the Rheme precedes the Theme in emotive speech (ibid., p. 44). As regards clausal linkage, Thompson's (2004, pp. 197-204) Logical Relation typology (taxis or dependency) will be used in this study. Iconic linkage can be divided into two types of texts: *emic* texts, which are solely decided by text-immanent criteria, and *etic* texts, which are determined through text-transcending means (ibid., p. 45). Notwithstanding the subsumption of these two types of texts under the House model's explanation of iconic linkage (ibid.), they are in practice determined within the dimension of Mode (ibid., p. 134). Even though cohesion and coherence are subsumed under the dimension of Mode in Figure 6.2 above, they are practically analysed as textual means within the dimension of Field, as for example in House (1997, p. 122, p. 139) and House (2001a). The categories of cohesion and coherence are discussed in detail earlier in section 3.2.4.3.3.

The dimension of Tenor captures the relationship between the addresser and the receptors regarding social power and distance, the addresser's temporal, geographical, and social provenance, and her/his intellectual, emotional or effective stance or personal viewpoint concerning the content and communicative task in question (House, 1997, pp. 108-9). The category of *social role relationship* is interpreted as referring to "the role relationship between addresser and addressees, which may be either *symmetrical* (marked by the existence of solidarity or equality) or *asymmetrical* (marked by the presence of some kind of authority)" (ibid., p. 41, italics added). The distinction between solidarity and power is discussed at some length earlier (see section 3.2.4.3.2).

⁶¹ Byrne (2005) points out that iconic linkage is a writing strategy whereby expressing the same information every time it occurs in the text is done through identical wording or the same isomorphic constructions.

The *social attitude* category encompasses the degree of social distance between the addresser and the receptors in terms of formality. This has three main divisions of style: popular *formal* and *informal* and between them *consultative*, which is a neutral style characterised by the absence of formal and informal markers, occurring in conversations or letters between strangers where the social relationship does not allow for much prior understanding or prediction of the message (ibid.).

In general terms, analysing the Mode is attained through the analysis of the textual aspect of the text as realised by the lexicogrammatical resources. In practice, two main categories are subsumed under the dimension of Mode: *medium* and *participation*. Analysing the medium, be it spoken or written, means specifying whether it is simple or complex, as well as classifying it according to the lexicogrammatical choices against three subcategory dimensions: involved or informational text production, explicit or situation-dependent reference and abstract or non-abstract presentation of information (ibid., 109). The participation category specifies whether the text is simple or complex depending on the dominant choices of the grammatical structure, such as sentence patterns or the use of contact parentheses and exclamation (ibid., p. 40). If they apply, other features are considered in the analysis: the overall logical structure, the presence or absence of narrative and redundancy (ibid., p. 45). As shown in Figure 6.3 above, participation is included in theory within the dimension of Tenor, while in practice; it is affiliated with the dimension of Mode (see House, 1997, chapter 5). In House (1997, Figure 2, p. 108), however, participation is categorised under the dimension of Mode.

On this view, the top-down sequence of the analysis and comparison scheme of the model is: levels-dimensions-categories-subcategories. In practice, **lexical** (choice and patterns of lexical items, collocations, co-occurrence, etc.), **syntactic** (parataxis, hypotaxis, nature of the verb phrase, Mood, tenses, etc.) and **textual** means (cohesion and coherence, Theme dynamics, clausal and iconic linkage) are subsumed under the dimensions of Field, Tenor and Mode (House, 2001a). The above review does not encompass all the details of the analysis as it is the text type or the length of the selected sample which indicates the extent of the applicability of many analytical elements

available in the model. Before putting this scheme into action, it is important to mention that House aptly points out that "it might not always be the case that all categories are found to be operative on a particular dimension" (ibid., p. 145). House (1997, pp. 40-5, pp. 108-110) provides more details about the analytical elements or subcategories of the model.

Due to the marginal differences noted above between the theoretical description of House's model and her application of the analysis, and because of the manifold and intricate nature of the analysis and comparison, a ST Profile Template is developed (a copy of the Template is given in appendix 13). The particular impetus for introducing the ST Profile Template is to add a touch of clarity and accessibility to the analysis as well a clear numerical reference for tracing the matching status between the ST and TT. The dimensions, categories and subcategories are drawn from House (1997, chapters 2, 4 and 5) and House (2001a).

House conceptually finds her evaluation scheme of the model on how far a TT corresponds to the functional matching of a ST in respect of each analytical dimension. If there is a functional mismatch, then it is regarded as a dimensional mismatch or a *covertly erroneous error* (ibid., p. 45). Covertly erroneous errors are those pragmatic errors related to language users and language use (House, 2001a). On the other hand, non-dimensional mismatches are referred to as *overtly erroneous errors*, which are dependent on the denotative meanings of source and target elements or breaches of the TL system at various levels (ibid.). More specifically, overtly erroneous errors are divided, as conceived by House (1997, p. 45), into two main cases of errors: (1) cases resulting from the denotative meanings of source and target elements, which in turn, are subdivided into cases of *omissions*, *additions* and *substitutions* consisting of either wrong selections or wrong combinations of elements, and (2) cases resulting from breaches of the TL system, which are further subdivided into two cases of errors: cases of *ungrammaticality* (cases of clear violation of the language system which forms the potentialities of language), and cases of *dubious acceptability* (cases of violation of the

norms of usage – a set of linguistic rules forming the actual use of language). Figure 6.4 concisely illustrates the overt error taxonomy of House's model.

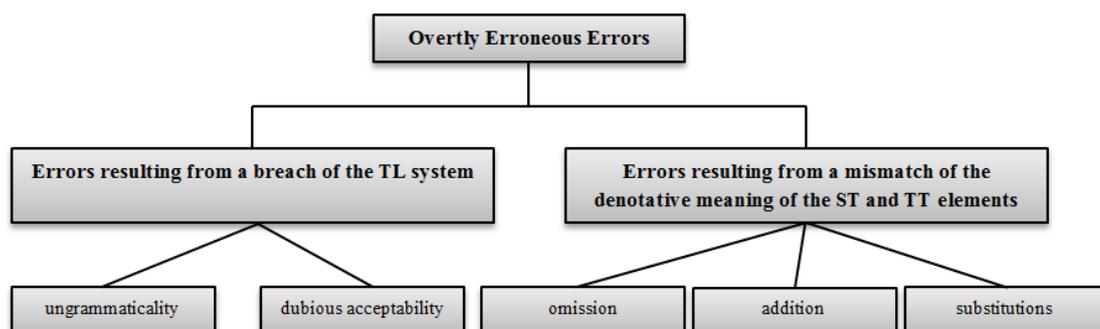


Figure 6.4: House's evaluation scheme of overtly erroneous errors

The endpoint of House's model is to assess the TT as being overt or covert. Table 6.1 below spells out the main differences between overt and covert translations. These differences are compiled and drawn up from the information given in House (1981, pp. 204-5), House (1997, p. 30, pp. 66-70), Gutt (2000, pp. 47-8), House (2001a, pp. 139-42), House (2001b, pp. 250-1), House (2006a, pp. 347-8, p. 356), Munday (2012a, pp. 142-3) and Kallia (2014, p. 62).

Parameter	Overt Translation	Covert Translation
Definition	An overt translation is one in which the TLRs are quite 'overtly' not being directly addressed; i.e. it is not a 'second original'. Texts that call for overt translations have an established worth or status in the SL community and its culture or those which have a general human interest.	A covert translation is one which enjoys the status of a ST in the target culture. It is a translation of a ST that is not tied to the SL and its culture. It is not marked pragmatically as a translation, but rather conceived to be created in its own right; like a TL original.
Orientation	It is an SL-oriented translation.	It is a TL-oriented translation.
A case of	Language mention.	Language use.
TLRs' Awareness	The translator makes the TLRs aware that the ST is intended for some other audience, members of a different culture, usually at some different point in time.	The translator does not let the TLRs realise that they are dealing with a translation.

Parameter	Overt Translation	Covert Translation
Function	Its function is to enable the TLRs to access the function of the ST in its original linguacultural setting through another language (TL). This being the case, the individual function of the two texts does not match.	Its function is to imitate the original's function in a different discourse. In other words, the function is attained in the TT without taking the TLRs into the discourse world of the ST. In this way, the function which the ST has in its linguacultural setting is achieved through TL devices and potentials.
Functional Equivalence	No simple functional equivalence can be achieved in an overt translation. Rather, a 'second level' function is achieved which allows the TLRs a view of the ST through the TL.	With covert translation, it is possible to achieve functional equivalence. Functional equivalence can be maintained through the employment of a <i>cultural filter</i> ⁶² with which shifts and changes along various pragmatic parameters (e.g. the marking of the social role relationship between author and reader) are conducted.
Culture Transfer	Culture transfer is possible.	Culture transfer is not possible. There is, however, a sort of 'cultural compensation' for SL cultural phenomena in the TL using TL means.
The ST	The ST calling for overt translation tends to have an established value in the SL community, such as works of art, political speeches and religious sermons.	The ST calling for covert translation is one that is not specifically addressed to a particular SL audience, nor is it tied to the SL culture context, such as tourist booklets and computer manuals.
The TT	The TT is equivalent to the ST at the levels of language/text, register and Genre.	Along with achieving the functional equivalent, the TT is equivalent to the ST only at the level of Genre.
Psycholinguistically	More complex and less deceptive.	Less complex and more deceptive.
Locus of Operation	An overt translation is differently framed and contextualised, i.e., it operates in its own frame, context and <i>discourse world</i> ⁶³ . More specifically, the ST's frame and discourse world are co-activated in the minds of the translator and the TLRs in the new context.	A covert translation operates in the context, frame and discourse world provided by the target culture, without any attempt to co-activate the discourse world in which the ST unfolds.
Re-contextualisation Task	The re-contextualisation task is achieved through reactivating the ST context alongside the TT context.	It is achieved through employing a cultural filter to cope with the TLRs context-derived communicative norms.

⁶² The technical definition of a cultural filter is as follows: "a means of capturing socio-cultural differences in expectation norms and stylistic conventions between source and target linguistic-cultural communities" (House, 2001a, p. 142). It is used to legitimately manipulate the ST at the levels language/text and register (ibid., p. 141). Chesterman views the cultural filter (which can also be referred to as *naturalisation*, *domestication* or *adaptation*) as a pragmatic strategy by which a SL cultural-specific item is translated as a TL cultural or functional equivalent (1997, p. 108).

⁶³ A discourse world is "a superordinate structure for interpreting meaning in a certain way" (House, 2006a, p. 347).

Parameter	Overt Translation	Covert Translation
The Translator's Work	In overt translation, the work of the translator is visible since her/his task is to give the TLRs access to the original text and its cultural impact on the SLRs, and so s/he puts the TLRs in a position to observe and/or judge the text 'from outside'. In this way, the overt translation is embedded in a new speech event.	In covert translation, the translator's work is invisible since s/he should attempt to re-create an equivalent speech event, and reproduce in the TT the function the ST has in its frame and discourse world.
The Major Difficulty	The major difficulty in overt translation is finding linguistic-cultural equivalents particularly along the dimension of Tenor and its characterisations of the author's temporal, social and geographical provenance.	The major difficulty in covert translation is achieving functional equivalence, which is not an easy task to accomplish because the field of TS is still short of adequate empirical research in the area of language-pair specific contrastive pragmatic analysis. Functional equivalence is particularly difficult to achieve because the SLRs and TLRs differ in their sociocultural backgrounds.
Demand on Criticism	An overt translation is more straightforward, and thus easier to judge and differentiate between an overt translation and an <i>overt version</i> (one produced whenever a special text is overtly added to a translation text)	A covert translation is more difficult to assess since the assessor has to consider the application of the cultural filter to differentiate between a translation and a <i>covert version</i> (one which results whenever the translator, when preserving the function of the ST, has applied a cultural filter non-objectively and consequently made changes on the situational dimensions).

Table 6.1: The main differences between overt and covert translations

6.3 Analysis of the ST: Hemingway's *The Old Man and the Sea*

The first step in applying House's model is to produce a profile of a selected mini-corpus of the ST analysed chiefly according to House's model of register analysis. This selection of course has to be principally justified both in locus and length. In general terms, any part of the novel can serve the purpose of this linguistically-motivated study. However, since register and Genre are heavily targeted by this model of analysis, it is sufficient to select the first few pages. These pages will successfully serve two purposes at once. Firstly, as argued by Biber and Conrad, they can define the pervasive linguistic features (which are clearly functional) characterising the register, and secondly they represent the Genre features which are not pervasive, which "might occur only one time in a complete text, often at the beginning or ending boundary" (2009, pp.

6-7). In fact, the selected excerpt starts right from the beginning of the novel including the 48-clause sample used for Kim's model in chapter 5. This is potentially useful in maintaining the semantic unity of the two samples, and testing the validity of the 48-clause metafunction analysis model in order to produce more reliable results. As regards the length of the excerpt, several pages are selected so that the linguistic means characterising the register and the Genre can be adequately covered, and thus measured with the required degree of confidence. The excerpts selected by House (1997; 2001a) range between 2 and 7 pages long. This excerpt is about 10 pages long (see appendix 9 for the excerpt; numbers refer to paragraphs in the text).

Analysis of the ST

1. General Description: The ST is a part of prose fiction (a novella) in which the author tells the story of an old Cuban fisherman, Santiago, who, after a long period of a bad luck in his fishing, struggles to catch a big fish, which is considered the greatest catch in his life (Hemingway, 1988, XII). But when he at last succeeds in hooking a giant marlin, which pulls his boat away for two days, the sharks come and eat his marlin (ibid.). When he returns back to the beach, there is nothing left except for the marlin's head, skeleton and tail (ibid.). The second main character is the boy, Manolin, who loves Santiago (his fishing teacher) and helps him, though his parents order him not to work with this unlucky man anymore (ibid., XIII). It is a story to be read by ordinary people.

2. Lexical Means

a. General description

Means	Effect	Examples
Everyday lexical items, so economical in the use of words.	Demonstrating how common people (especially fishermen) communicate and speak in everyday action.	and, but, can, yes, no, made fun, make the fire, lines, cheerful, pleasant, politely

b. Degree of generality, specificity or granularity

Rubric	Ava.	Extent	Examples
Specialised			
General	•	Extensive	coiled lines, harpoon, gaff, benevolent, sardines, marlin
Popular	•	Moderate	Famous baseball teams, some Spanish loan words (salao, guano, bodega)

3. Syntactic Means

Means	Effect	Examples
Short simple clauses, a number of clause complexes made up of no more than 5 short clauses.	Suitable for simple and natural language and friendly conversations. Such simple clauses "express things the way they really are" (Jobs, 1968, p. 7).	Short clauses: paragraphs 8, 9, 11 and 12. Clause complex: paragraphs 1, 4, 7 and 15.

4. Textual Means

a. Coherence and Cohesion

Coherence	Cohesion	Cohesive Device	Extent	Examples
Strong	Strong	Conjunction	Extensive	<i>and</i> : paragraphs 1, 2, 3, 5 and 24. <i>but</i> : paragraphs 1, 2, 7, 12, 15 and 28. <i>then</i> : paragraphs 7, 13, 16, 40 and 78. <i>or</i> : paragraphs 25, 56 and 70.
		Reference	Extensive	Pronouns: <i>he, it, they, we</i> demonstratives: <i>this, that, these</i> (also <i>there</i>) comparatives: <i>as long as, as old as, as, such as</i>
		Ellipsis	Occasional	Paragraphs 3, 15 and 35.
		Substitution	Frequent	<i>one(s)</i> : paragraphs 7, 31, 60 and 75. <i>mine</i> : paragraphs 30 and 65 (and <i>yours</i>). <i>too</i> : paragraphs 29, 59, 63 and 78. <i>so</i> : paragraph 49, <i>some</i> : par. 54, <i>that</i> : par. 73.

b. Textual Aspects

I. Theme-dynamics

Position	Ava.	Extent	Function/Effect	Examples
Objective (unmarked)	•	Extensive	Given-new structure, suitable for describing characters, actions and things.	Paragraphs 1, 2, 3, 7, 34 and 48.
Subjective (marked)	•	Extensive	New-given structure, mostly used for marked focus of information in quoting direct speech.	Paragraphs 4, 8, 10, 12, 13, 21 and 32.

I. FIELD

II. Clausal Linkage (Logical Relation)				
Relation	Ava.	Extent	Function/Effect	Examples
Parataxis	•	Extensive	Equal status relations, suitable for the heavy use of the conjunction <i>and</i> .	Paragraphs 1, 2, 3, 15, 24 and 51.
Hypotaxis	•	Extensive	Unequal status relations, suitable for assigning people or things within a sequence of time, especially in the past.	Paragraphs 16, 22, 23, 28, 32, 39, 40, 51, 59 and 65.
Embedded	•	Occasional	The extensive use of the conjunction <i>and</i> is not in line with using embedded relations. Further, the structure is mostly simple; there is no presence of embedded clause in a marked variant as Subject or anticipatory <i>it</i> .	Paragraphs 1, 4, 15 and 24.

III. Iconic Linkage		
Ava.	Extent	Examples
•	Extensive	<i>the old man said:</i> paragraphs 6, 8, 10, 12, 14, 17, 21, 32 and 36 <i>the boy said:</i> paragraphs 4, 13, 16, 33, 35, 40, 42, 50, 73 and 79 <i>lucky boat:</i> paragraphs 6, 28 <i>do you want?</i> paragraphs 54 and 55 <i>do you think?</i> paragraphs 72 and 74 <i>I would like to:</i> paragraph 20 <i>No. I will:</i> paragraphs 55 and 56 <i>I can remember:</i> paragraph 24 <i>Can I:</i> paragraphs 13 and 18.

II. TENOR

1. Author's Temporal, Geographical and Social Provenance:		
Unmarked	Marked	Description
•		Contemporary middle-class standard American English.

2. Author's Personal (Emotional and Intellectual) Stance:
 Hemingway treats his main character Santiago in this excerpt in a realistic and natural manner which is evident in lexicogrammatical choices, i.e. using short, uncomplicated structures that reveal the simplicity as a fisherman as well as his pride, courage and determination as an old man. The relationship between Santiago and the boy is treated with a great deal of passion, care and respect. In this regard, Rosenfield points out: "No critic would debate the spiritual kinship between man and boy; the latter inherits not the blood but the knowledge of the former" (1986, p. 43).

3. Lexical Means		
Means	Effect	Examples
Vivid description and factual details.	These serve to capture the attention as if the readers were experiencing the place, things and events of the story.	Paragraphs 1, 2, 3, 51, 52 and 59.
Using different interpersonal semantic systems or speech functions: declarative, interrogative, imperative, etc.	Such diversity will attract attention and break the monotony.	Paragraphs 12, 14, 18, 22, 31, 71, 73 and 79.

4. Social Role Relationship				
Role Relationship	Ava.	Position	Description	Examples
Symmetrical	•	Author-reader	Respect, detached from actions, no authorial comments, which means no power or authority is exercised by the author.	The entire excerpt
Asymmetrical		Author-characters	Respect and sympathy.	Paragraphs 2, 3, 5 and 15.
		The old man-the boy	Intimate and sympathetic relationship, using names, no titles.	Paragraphs 4, 6, 9, 19 and 28.

a. Lexical Means		
Means	Effect	Examples
Using names	To create more intimacy.	Paragraphs 4 and 16.
using the vocative <i>son</i>	To create more intimacy.	Paragraph 68
b. Syntactic Means		
Means	Effect	Examples
Heavy use of modalised and modulated structures with <i>can</i> , having the function of (ability/potentiality/permission).	Low value of probability, used for polite declarative and interrogative offers.	Paragraphs 19, 24, 29, 50, 65, 73, 74, 75, 78 and 80. Paragraphs 13, 18, 23 and 25.
Frequent use of modulated and modalised structures with <i>may</i> (permission/possibility) and polite offers with <i>let</i> .	Polite request for permission and offers, on the part of the boy, expressing his great gratitude to his master, Santiago.	Paragraphs 29, 56 57, 31 and 50.
c. Textual Means		
Means	Effect	Examples
Presence of iconic linkage	This creates emotive effect on readers.	See iconic linkage above
The use of one-word short answers <i>Yes</i> and <i>No</i> .	This involves ellipsis of the whole clause, which is elided as part of Hemingway's "elementary sentence structures" (Jobes, 1968, p. 7). Such short straightforward answers create close involvement and intimacy between the two main characters.	Paragraphs 6, 13, 19, 55, 56 and 62
5. Social Attitude		
Style Level	Description	Suitability/Effect
Informal	Conversational and detailed factual descriptive style made up from simple lexicogrammatical choices.	Such choices are in line with the author's journalistic prose style and his way of depicting people and things in a more natural and realistic way.
a. Lexical Means		
Means	Effect	Examples
Limited range of elementary vocabulary items.	This enhances realistic and intimate relationship.	<i>can, said, remember, like</i>
Heavy use of concrete nouns	They provide more realistic description of people and things.	Paragraphs 1, 2, 15, 24, 51 and 52.
b. Syntactic Means		
Means	Effect	Examples
Short clauses and simple lexicogrammatical choices.	They conform to the author's general style and the simple background of the characters.	Most clauses and clause clauses in the excerpt.
Frequent of the unmarked present-in-present tense in Material clauses.	This serves to narrow down the occurrence to the event being described and creates more vividness to the narrative scenes.	<i>staggering, holding, slapping, banging, breaking, clubbing, chopping, freshening</i>
c. Textual Means		
Means	Effect	Examples
Presence of iconic linkage	This creates more emotive effect on readers.	See iconic linkage above

1. Medium			
a. General View			
Channel	Degree	Oral-literate Dimensions	
		Text Production	Reference
Written to be read	Simple	Informational	Explicit
			Presentation of Information
			Non-abstract
b. Lexical Means			
Means	Effect		Examples
The lexical items range between general and popular. There is no presence of vague, ambiguous or colloquial items.	They are suitable for the describing and depicting the real simple life of fishermen, and their type of conversational interaction.		The entire excerpt
c. Syntactic Means			
Means	Effect	Examples	
Heavy use of the coordinators <i>and</i> and <i>but</i> to form relatively short close complexes demonstrating the paratactic and logico-semantic Logical Relations.	These create cohesion and continuity and reflect simplicity of the structure.	See coherence and cohesion above.	
The use of some conjunctions to form mainly short close complexes demonstrating hypotactic and logico-semantic Logical Relations.	Suitable for both descriptive and dialogic parts.	<i>when</i> , paragraphs 16, 22, 23, 26, 32, 36, 39, 51, 59 and 65. <i>because</i> , paragraphs 8, 16 and 52. <i>if</i> , paragraphs 20, 28 and 40. <i>so</i> , paragraph 50. before, paragraph 39. <i>after</i> , paragraph 1.	
d. Textual Means			
Means	Effect	Examples	
Ample use of cohesive devices	They make the text strongly cohesive.	See coherence and cohesion above.	
2. Participation			
a. General View			
Level	Type	Description	
simple	Mixture of monologue and built in fictional dialogic parts.	Like most fictional prose, the readers are not addressed; there is no sign of direct participation devices, like speech acts.	
b. Lexical Means			
Means	Effect	Examples	
The text does not have any clear sign of participation.			
c. Syntactic Means			
Means	Effect	Examples	
The text does not have any clear sign of participation.			
d. Textual Means			
Means	Effect	Examples	
The text does not have any clear sign of participation.			
Text Type	Ava.	Description	
Emic	•	There is no explicit reference or voice of the author and his readers (see section 5.8.2 for more details).	
Etic			

IV. GENRE	1. Type	A piece of fictional prose.
	2. Communicative Purpose/Goal	The communicative purpose is to entertain readers.
	3. Feature(s)	<ul style="list-style-type: none"> • The author keeps himself away from the characters and the scenes. He does not involve any authorial comments. • The narration type is a third person (an invisible nonparticipating narrator). • The excerpt can be regarded as an introduction in which the scene is set and characters are introduced through descriptive and dialogic parts.

V. Statement of Function	1. Genre	The original text is a part of prose fiction (a novella). It is written to entertain ordinary readers.
	2. Field	On Field, the author uses unmarked ideational component by involving simple and uncomplicated lexicogrammatical choices and Logical Relations reflecting directness, naturalness and clarity in setting the scene, introducing the characters, describing people and places and reporting the dialogic parts. Some choices can be interpersonally marked, such as the word <i>luck</i> (with its derivatives and antonym) which is associated with a negative connotation since the old man's fortune does not seem to be happy. Another example of the markedness of the interpersonal metafunction on Field is the presence of some iconic linkage.
	3. Tenor	On Tenor, the author uses the technique of the third person narrator. He does not intrude into the actions, conversations or thoughts nor does he provide any authorial comments to the readers. The lexicogrammatical choices reflecting the social role relationships and the social attitude typically mark the interpersonal metafunction in this genre. Further, the informal style feeds into the interpersonal metafunction by boosting the simplicity, directness and naturalness of the text.
	4. Mode	On Mode, the medium is characterised as <i>written to be read</i> and marked as informationally explicit and non-abstract. The mixture of monologue and built in fictional dialogic parts enhances the interpersonal metafunction creating the emotive effect of simplicity, directness and naturalness.

Figure 6.5: The ST Profile Template (analysing the excerpt of Hemingway's *The Old Man and the Sea*)

6.4 Comparison of the ST and the Three TTs

The second step in applying House's model in this research is to compare the profile of the mini-corpus of the ST and the correspondent translations of Ali, Alqasimi and Baalbaki (see appendices 10, 11 and 12 for their translations). The comparison will be presented in a Match Tracer (see appendix 14). Following the same order and numbering system of the ST Profile Template above (Figure 6.5), the Tracer is accessibly generated to specify the register dimension, the category of analysis, the availability of match, mismatch or in-between parameters and a brief explanation if any degree of discrepancy is perceived. In this case, it traces the dimensional adequacy or functional match both qualitatively and quantitatively. Moreover, it highlights and quantifies the overtly erroneous errors which will not be as detailed and specific as in

Kim's model for metafunction shift analysis. This is due, for one thing, to the broader analysis domain of House's model, and for another, to the extensive coverage of metafunction equivalence in Kim's model. Further, the quantification of errors will not include those errors mentioned and discussed in some parts of the match comparison, such as cohesive devices, iconic linkage, and syntactic means. To illustrate this approach, finer mismatches or errors like punctuation marks will be overlooked. This is mainly because punctuation marks in Arabic are far less systematic and standardised than those of English (Dickins, Hervey and Higgins, 2002, p. 115). Greater emphasis will then be placed on quantifying the number of major unrepeated overt errors from paragraph 9 onwards. An SFL-oriented description will be provided for each overt error along with particular attention given to the impact of the error on translating this work of prose fiction as an instance of a genre.

Category	Assessment			Brief Explanation	Examples
	Match	Mismatch	In-between		
I. Field	1.	•		The TT is a part of prose fiction.	The entire excerpt.
	2a.			• The lexical items mostly belong to Modern Standard Arabic. However, the TT fails on many occasions to match the economic use of words in the ST.	- Many instances of explicitation taking place within and beyond the metafunction matching analysis, e.g. par. 9, 10, 11, 20, 21, 28, 37, 47, 60, 67, 75, 76, 90, 91, 96 and 100.
	2b.	•		Most vocabulary items range between general and popular.	One exception can be found: the deletion of the popular word <i>guano</i> (par. 52) in the TT.
	3.	•		Most clauses are short, and most clause complexes are made up of short clauses.	Par.: 1, 2, 14, 15, 34, 35, etc.
	4a.			• Extensive use of conjunctions in the TT. Frequent use of references in the TT. Occasional use of ellipsis in the TT. Rare use of substitution in the TT.	- Use of conjunctions like <i>كما، ثم، لكن، أما، و</i> , etc. (<i>and, or, but, then, as, as if</i>). - pronouns: نحن، هم، هما، هي، هو (<i>he, she, they, we</i>) demonstratives: أولئك، تلك، ذلك (<i>this, that, these</i>). comparatives: أشبه، أكثر، أقل، مثل (<i>like, less, more, similar</i>). - Ellipsis is reproduced in par. 3 (TT, par. 5) and 15 (TT, par. 20) using the Arabic system of anaphoric reference pronouns to compensate for the elliptical Participants. In par. 35 (TT, par. 45), the translator, however, does not use the same technique available in Arabic and reproduces the whole elliptical clause from par. 34, instead. - The use of the substitution element <i>one(s)</i> in Arabic is not frequent. For example, producing <i>ones</i> in par. 7 is not possible in Arabic since it is modified by the adjective <i>big</i> , and thus the explicitation of the noun <i>سمك</i> (<i>fish</i>) is

				obligatory. The same thing applies to <i>ones</i> in par.31 and <i>one</i> in par. 60. However, the substitution of <i>one</i> in par. 75 is possible in Arabic as it is not preceded by an adjective: واحدة, which is found in par. 92. The translator does not reproduce the substitution of <i>mine</i> and <i>yours</i> in par. 30 and 65. The translator uses كذلك (<i>so</i>) in par. 16 and 75 and أيضاً (<i>too</i>) in par. 38, 51 and 87. The translator does not reproduce the substitution in par. 54 (TT, par. 70) and par. 73 (TT, par. 90). In par. 49 (TT, par. 60), the substitution كذلك (<i>so</i>) is translated in a whole clause (longer than it should be).	
4bI.			•	The objective (unmarked) position is used predominantly for describing characters, actions and things and for quoting direct speech. In fact, the subjective (marked) position, which is extensively used in the ST for marked focus of information in quoting direct speech, is rarely used in Arabic as a thematic stylistic option.	All the clauses in the excerpt.
4bII.	•			Extensive use of paratactic relations in the TT. Extensive use of hypotactic relations in the TT. Frequent use of embedded relations in the TT.	- Use of conjunctions like: و، أم، لكن، كما، ثم، كما، لو (<i>and, or, but, then, as, as if</i>). - Using conjunctions to form clause complexes: عندما, par. 88. بينما, par. 33 and 63. لو, par. 37 and 77. إذا, par. 51. حين, par. 3, 6, 11, 23, 31, 32, and 50. قبل, par. 17 and 50. بعد, par. 8. أما... فقد, par. 20, 22, 64, 65 لأن, par. 12. رغم, par. 36 and 64. حتى, par. 51 and 64 (<i>when, while, if, once, even so, after, before, because, although, even</i>). الذي, par. 2, 5, 9, 51, 65, 90 and 99. التي, par. 4, 20, 21, 63 and 65. الذين, par. 21 (<i>who, which, that, etc.</i>).
4bIII.			•	As indicated in Figure 6.5, the ST is strongly linked by iconic linkage. In contrast to the ST, very weak iconic linkage can be obviously recognised in the TT. Such weakness or inconsistency brings about loss of cohesion and aesthetic pleasure (House, 1997, p. 127).	- The verb <i>said</i> in the ST appears 25 times while in the TT, the verb قال (<i>said</i>) appears 3 times, the verb خاطب (<i>address</i>) 2 times, the verb يقول (<i>say</i>) once, and the adverb قائلا (<i>saying</i>) 2 times. Ali mostly uses the dash (-) instead. - In the same paragraph (par. 20), the phrase <i>I would like to</i> is translated differently in par. 29 لا بد لي (<i>I should</i>) and فكيف لي (<i>how I could</i>). - In the two successive short paragraphs (55 and 56) the modal <i>will</i> (expressing the future tense and performing the function of determination/willingness) in the phrase <i>No, I will</i> , is translated differently in par.71 and 72 لا سأتناول (<i>No, I will ...</i>) and لا داعي... (No need for ...). - The modulated structure <i>do you think...?</i> in paragraphs 72 and 74 is translated differently: أتري أنه...؟ (Is it right...?) par. 89 and أتري أنه...؟ (Do you think ...?) par. 91. Another modulated structure <i>do you want...?</i> in par. 54 and 55 is also translated with omission of the verb <i>want</i> in both structures: أتناكل...؟ (Do you eat ...?) and هل أوقد...؟ (Should I make the fire?) in par. 70 and 71 respectively. - The modalised structure <i>Can I</i> (par. 13 and 18) is also altered and replaced in the TT by different direct requests. In par. 17, it is

					translated as أتقبل (Do you accept that ...?) whereas in par. 27, it is translated as أتحب (Do you like me to ...?). - The translation of the nominal group <i>lucky boat</i> in par. 6 and 28 differ greatly زورق صيد ... حالفه (a fishing boat with luck) par. 2 and زورق الحظ (a boat which is lucky enough) par. 37. - One exception can be seen in translating the two modalised phrases <i>I can remember</i> (par. 24). They are translated as ... أنكر أن (I remember) par. 33.
II. Tenor	1.	•		The TT is an unmarked text of Modern Standard Arabic.	The entire excerpt.
	2.		•	Unlike the ST, the TT sometimes involves longer and more complicated structures. This can be seen in several instances of explicitation, which do not match the simplicity that should feature the relationship between the old man and the boy. Further, they sometimes provide authorial or explanatory comments unintended by the original author.	Par. 37, 60, 75, 76, 80, 86 and 90.
	3.	•		Like the ST, the TT is full of vivid description and factual details. The TT, as in the case of the ST, involves different speech functions.	- Par. 1, 2, 4, 20, etc. - Par. 10, 14, 17, 29, 34, etc.
	4.	•		Like the ST, the TT plays a symmetrical role relationship in all three positions: - author-reader - author-characters - the old man-the boy	- The entire excerpt. - Par. 4, 5, 20, etc. - Par. 8, 9, 13, 27, 28, etc.
	4a.		•	The number of names (Santiago) in the TT is just like that in the ST. Using the vocative ولدي 5 times (unlike the ST, just twice: <i>my boy</i> , par. 28 and <i>my son</i> , par. 68) makes, in SFL terms, the <i>affective involvement</i> ⁶⁴ higher than the ST.	- Par. 8 and 23. - Par. 10, 14, 28, 58 and 85.
	4b.		•	The rendition of the modalised structure with <i>can</i> differs widely in the TT, ranging between successfulness, omission and shifting. The modulated structure with <i>can</i> is omitted and the structure is confined to the main verbs أتقبل؟، أتحب؟، أنكر؟ in par. 17, 27, 32 and 34. The translation of the polite request for permission with <i>may</i> varies considerably. The translator reproduces the same meaning and function of <i>let</i> structure.	- The meaning is successfully translated in par. 28, 90, 95 and 99 (أستطيع، بإمكاننا، قادرا)، which is referred to as a modal verbal group nexus realising ability (Bardi, 2008, p. 145). Omission occurs in par. 33, 38 and 61. A shift of meaning takes place in par. 91 من السهل (It is easy to ...). - While the structure is successfully translated as هل؟ (أتأذن لي؟) in par. 73, it is omitted in par. 37 هل؟ (Do you ...?). - دعنا in par. 40 and دعني in par. 61.
	4c.		•	There is loss of iconic linkage in the TT. Like the ST author, the translator uses one-word short answers: لا، نعم.	- See category 4bIII above. - نعم: par. 14, 17 and 53 (although it is <i>no</i> in the ST), لا: par. 10, 28 and 71.
	5.	•		The TT is just like the ST in terms of the informality of style, suitable for describing people and things and narrating events in a more natural and realistic way.	The entire excerpt.
	5a.	•		The TT tracks the same elementary level	- Use of lexical items such as: أنكر (tell), أخير

⁶⁴ Referencing Poynton (1985), Eggins (2004, pp. 99-100), points out that Tenor can be divided into three continua: *power* (identifying whether the role played by the language users in a given situation is of equal or unequal power), *contact* (identifying whether the role played in a given situation brings the language users into frequent or infrequent contact) and *affective involvement* (identifying whether the role played in a given situation makes the affective involvement between the language users low or high).

				of vocabulary of the ST. The TT follows the ST in the use of concrete nouns.	(mention), عمل (work), etc. - Par. 3, 4, 21, 66, 67, etc.
	5b.	•		The TT is largely like the ST; it is made up from short clauses and simple <i>lexicogrammatical</i> choices. Presence of the present form of the verb المضارع, which can reproduce the present-in-present tense in Material clauses.	- Par.: 1, 2, 14, 15, 34, 3, 59, etc. - The verbs <i>staggering</i> and <i>holding</i> are omitted in the TT. The present-in-present can be seen in verbs like تصارع (<i>struggle</i>), يطرحها (<i>fling</i>), تطعنها (<i>stab</i>), تتعش (<i>freshen</i>).
	5c.		•	There is loss of <i>iconic linkage</i> in the TT.	See category 4bIII above.
III. Mode	1a.	•		The TT is also a written text to be read. It is a simple, non-abstract, explicit informational text.	The entire excerpt.
	1b.	•		The lexical items belong to Modern Standard Arabic.	The entire excerpt. One exception is found; see category 2a in the Field above.
	1c.	•		Like the ST, the TT is characterised by extensive use of coordinators. The TT is similar to the ST in using some conjunctions to construe hypotactic relations.	- See conjunctions in category 4a in the Field above. - See hypotactic relation in category 4bII in the Field above.
	1d.	•		Like the ST, the TT is largely coherent using different cohesive devices.	- See category 4a in the Field above for coherence and cohesion in the TT.
	2a.	•		The TT is also a simple text made up from a combination of monologue and built-in fictional dialogic parts. Like the ST, there is no sign of direct participation devices.	The entire excerpt.
	2b.	•		Like the ST, the TT does not have any clear sign of participation.	The entire excerpt.
	2c.	•		Like the ST, the TT does not have any clear sign of participation.	The entire excerpt.
	2d.	•		Like the ST, the TT does not have any clear sign of participation. As in the case of the ST, the TT is certainly an <i>emic</i> text.	The entire excerpt.
IV. Genre	1.	•		Like the ST, the TT is a piece of fiction.	The entire excerpt.
	2.	•		Both the ST and TT have the same communicative purpose of entertaining the readers.	The entire excerpt.
	3.		•	The narration type (the invisible nonparticipating narrator) is kept in the TT. The translated excerpt plays the same introductory role of the original excerpt. The translator, however, does not keep himself away from the characters and the scenes. He uses many explanatory comments in the form of explicitation before or after the relevant clauses. These comments increase his voice in the text.	- The entire excerpt. - The entire excerpt. - Par. 7, 9, 11, 20, 28, 33, 41, 47, 75, 76, 80 and 96.
Overtly Erroneous Errors					
No.	ST	TT	BT	Description	Subtype
1.	Can I offer you...? (per. 13)	انقبل دعوتي...؟ (par. 17)	Do you accept my invitation ...?	The modalised structure with <i>can</i> is changed to a yes/no question.	substit.
2. 3.	They sat on the Terrace (...) and many of the fishermen made fun of the old man and he was not angry. Others, of the older fishermen... (par. 15)	وصلا "الشرفة" ... وما ان دخلها، حتى اتجهت انظار جماعة من الصيادين الشباب إلى العجوز، وأخذوا يسخرون منه ويتندرون، لكنه لم يغضب. أما العجائز من الصيادين... (par. 19 and 20)	They arrived at the Terrace. Once they entered, the eyes of some young fishermen turned towards the old man.	The Process <i>sat</i> is substituted by the Process دخل <i>enter</i> . The TT here involves explicitation taking place in the form of a Frame. The underlined adjective الشباب <i>the young</i> is added maybe because the translator wants to draw a comparison between two groups of fishermen: the first group is <i>many of the fishermen</i> (which he explicates and refers to as الشباب, <i>the young</i>) and the other is <i>the older fishermen</i> (which he refers to as العجائز, <i>the old</i>). Obviously,	substit. + addition

				the reading of the second clause makes the translator conclude this and he interprets rather than translates. This addition or explicitation can be seen through the eyes of efferent reading (see section 5.8.1).	
4. 5.	The successful fishermen of that day were already in and had butchered their marlin out... (par. 15)	كانوا قد جمعوا ما منحهم إياه البحر ذاك اليوم... (par. 21).	They had gathered what the sea had given to them that day.	The Process <i>butcher out</i> is replaced by the Process جمع (<i>gather</i>). The clause ما إياه البحر منحهم (<i>what the sea had given to them</i>) is unjustifiably added (perhaps as an attempt to reproduce the meaning of <i>successful</i>).	substit. + addition
6. 7.	, with two men staggering at the end of each plank , (par. 15)	حمله أربعة رجال منهم (par. 21)	...carried by four men of them.	The translator provides four as the total of two plus two, and lets the TLRs logically infer that each end is carried by two men. This leads to the omission of the Circumstance <i>at the end of each plank</i> . Further, the translator does not reproduce the present-in-present verb <i>staggering</i> , which is indubitably heavily weighted in the overall scene.	substit. + omission
8.	, but today there was only... (par. 16)	أما ذاك اليوم، فقد ... (par. 22)	, but on that day...	The change from <i>today</i> to <i>that day</i> is a change in the temporal setting of the event, leading to a distancing shift in the temporal point of view.	substit.
9.	He was holding his glass and thinking of many years ago. (par. 17)	أفاق العجوز من رحلته البعيدة في ذكريات المنين. (par. 25)	(...)	The clause is omitted, leading to decreasing the effect of the description of the old man's status in the scene.	omission
10. 11.	...when I brought the fish in too green and he nearly tore the boat to pieces. (par. 23)	... حين عقلت بحوالي سمكة هائلة كادت تكسر الزورق بمقاومتها. (par. 32)	...when the lines caught huge fish which nearly broke the skiff.	There are two issues in this error. Firstly, there is a shift in the Process <i>brought</i> , leading to a change in the scene: the old man brought the fish alongside the skiff or on the skiff, and that could make the fish break the skiff. The translated utterance does not depict the same scene. Secondly, the adjective <i>huge</i> is added, and adds more intensity to the interpersonal meaning.	substit. + addition
12. 13. 14.	I can remember the tail slapping and banging and the thwart breaking and the noise of the clubbing. (par. 24)	أذكر أنها ضربت بعنف على خشب الزورق. (par. 33)	I remember you hit violently at the wood of the skiff.	The TT undergoes three errors affecting the overall scene the TLRs can share with the SLRs. Firstly, the Participant in the ST is the tail of the fish, but not the old man. Secondly, the breaking of the thwart is omitted. Finally, the noise of the clubbing is not reproduced.	substit. + omission + omission
15. 16.	... and feeling the whole boat shiver ... (par. 24)	... بينما كان الزورق يرتج ويرتعش كالمحموم. (par. 33)	... while the skiff was shivering like someone with a fever.	The adjective <i>whole</i> is omitted in the TT whereas the simile <i>like someone with a fever</i> is added. Such meaning shifts will affect the interpersonal metafunction.	omission + addition
17. 18.	... and the sweet blood smell all over me. (par. 24)	وكان دمها يتفجر حولي في كل مكان. (par. 33)	... and its blood was bursting around me everywhere.	Two errors are sufficient to achieve a change in the 'image' in the TT. Firstly, the adjective <i>sweet</i> (which holds a special functional meaning) is omitted. Secondly, the Behavioural Process, <i>smell</i> is substituted by the Material Process <i>burst</i> .	omission + substit.
19. 20.	The old man looked at him with his sun-burned, confident loving eyes. (par. 31)	نظر العجوز إليه بعينيه العميقتين الوائقتين، رغم ما أحرقته الشمس من جفونهما، (par. 36)	The old man looked at him with his deep, confident eyes despite their lids being burned by the sun.	The highly weighted adjective featuring the old man's character <i>loving</i> is substituted by <i>deep</i> . The use of the conjunction رغم (<i>despite</i>) reveals a meaning which does not exist in the ST – that having such loving, confident eyes is not usually actualised in sun-	substit. + addition

				burnt eyes.	
21. 22. 23.	His hope and his confidence had never gone. But now they were freshening as when the breeze rises. (par. 32)	... كما لو كانت كلمات الفتى تتعش روحه، وتهز كيانه... (par. 41)	... as if the boy's words were freshening his soul and shaking his body.	In this error, there is a Participant's substitution. In the ST, it is not the boy's words that make the old man freshened; actually what is being freshened is the old man's hope and confidence mentioned in the preceding clause. It is likely that such a substitution motivates the translator to add تهز كيانه (<i>shaking his body</i>) to intensify the claimed impact of the boy's words on the old man. Further, the meaning is distorted by omitting the rising of the breeze.	substit. + addition + omission
24. 25.	He was too simple to wonder when he had attained humility. But he knew he had attained it and he knew it was not disgraceful and it carried no loss of true pride. (par. 36)	أخذ يتأمل البحر، ثم خاطب الفتى مجدداً: (par. 47)	He paused to contemplate the sea, and then said to the boy again:	This error involves omitting almost a whole paragraph. The translator impedes the narrative structure, making his voice rather prominent by adding this explanatory comment. This comment can also be seen as a shift in the temporal point of view.	omission + addition
26. 27.	Then if you hook something truly big we can come to your aid. (par. 40)	حتى إذا اصطدت سمكة كبيرة نأتيك ونساعدك عليها. (par. 51)	Then if you hook a big fish, we come to help you in that.	This error involves two cases of omission. Firstly, the effectual 'degree, manner Circumstance' <i>truly</i> is omitted. Secondly, the modalised structure with <i>can</i> is overlooked and substituted by a simple declarative structure. This type of structure bears a heavier weight in dialogic parts as they are interpersonally more dynamic than describing the scenes or narrating events.	omission + omission
28.	It is strange," the old man said. "He never went turtle-ing . That is what kills the eyes. But you went turtle-ing for years off the Mosquito Coast and your eyes are good. (par. 45 and 46)	- غريب...! مع أنه يسير مستقيماً، ولا ينعرج خلال إبحاره، مما يصيب الملاحين بالعمى. - لكنك طالما انعرجت أثناء سيرك في البحر، موغلاً في شاطئ الإعوض، سنوات طوال، ومازالت عينك على ما يرام. (par. 56 and 57)	This is strange! Though he sails straightforward and does not yaw when sailing, and that is what causes blindness in sailors. But you have been yawing for long years, sailing away into the Mosquito Coast, and your eyes are still okay.	This error manifests with certainty the translator's misunderstanding of the word <i>turtle-ing</i> . As a result, the meaning is totally lost and substituted by a completely different meaning.	substit.
29.	But are you strong enough now for a truly big fish? (par. 48)	أما زلت تتمتع بالصبر على صيد الأسماك الكبيرة حتى الآن؟ (par. 59)	Do you still have patience to hook big fish until now?	The key word <i>strong</i> is substituted by <i>patience</i> , which by all means tones down the effect of the adjective on the overall picture of the old man. Put differently, having patience is far different from having strength, especially if the latter is rightly attributed to the old man's character. Again, the Circumstance <i>truly</i> is omitted in the TT, as in the case of 14 above.	substit.
30.	the boy carried the wooden box with the coiled, hard-braided brown lines, the gaff and the harpoon with its shaft. (par. 51)	حمل الفتى الصندوق الخشبي والحيال والرمح... (par. 63)	The boy carried the wooden box, the lines and the harpoon.	The bolded Goals and Circumstances are omitted in the TT.	omission
31.	No one would	رغم أن أحداً من أهل	Although no one	It is enough to point out two main issues	omission

32.	steal from the old man but it was better to take the sail and the heavy lines home as the dew was bad for them... (par. 51)	القرية، لم يكن ليطمع في سرقة معدات العجوز. إلا أنه كان يؤثر أن يأخذ معه إلى بيته حتى لا يتضرر الشراع والحبال من الرطوبة. (par. 64)	from the village sought to steal the old man's stuff, he preferred to take it home so that the sail and lines would not be affected by the moisture.	in this error. Firstly, the <i>sail</i> and <i>lines</i> are deleted in the TT and substituted by a lexical cohesive device (superordinate/hyperonym, the word <i>المعدات</i> , <i>the stuff</i>). Using this word will include all the stuff, which is not intended in the ST. Secondly, there is a breach error in the ungrammatical construction of the anaphoric reference pronoun. If the pronoun is to refer to <i>المعدات</i> (<i>the stuff</i>), the reference must be feminised: يأخذها.	ungram.
33. 34.	..., the old man thought that a gaff and a harpoon were needless temptations to leave in a boat. (par. 51)	أما الصنائير والحربة، فقد كانت أقل إغراءً من أن تحمل أهدأ على مد يده إليها. (par. 64)	But the gaffs and the harpoon were not tempting enough for anyone to think of stealing them [literally: less tempting that no-one could think of stealing them].	Two major points can be illustrated. Firstly, the Mental Process in the ST is substituted by a Relational Process in the TT and the projection relation is not reproduced. This causes ambiguity as to whose opinion it is. The ST author purposefully ties up this thought to the old man to reveal a feature of his character. Secondly, the meaning of the Value or Identifier in the TT is not interwoven with the context, where the old man thinks that leaving the gaff and harpoon in the boat might have tempted someone to steal.	substit. + substit .
35. 36.	The old man leaned the mast with its wrapped sail against the wall... (par. 52)	...وضع العجوز الصارية على الأرض... (par. 65)	The old man put the mast on the ground.	Two types of errors can be detected in the TT. The Circumstance <i>with its wrapped sail</i> is omitted. The Process <i>lean</i> is replaced by <i>put</i> , and the Circumstance <i>against the wall</i> is substituted by <i>the ground</i> . Again, these changes give a different meaning to the TLRs.	omission + substit.
37. 38.	The shack was made of the tough budshields of the royal palm which are called guano. (par. 52)	كان الكوخ مبنياً من جذوع النخيل... (par. 65)	The shack was made of the palm tree trunks.	This time, the substitution and the omission extend to include culture-specific elements (<i>budshields</i> , <i>royal</i> and <i>guano</i>) that contribute greatly to the place where the story takes place.	omission + substit.
39.	...and in it there was a bed, a table, one chair , and a place on the dirt floor to cook with charcoal. On the brown walls of the flattened, overlapping leaves of the sturdy fibered guano... (par. 52).	وكان كل ما فيه من متاع الدنيا عبارة عن فراش ومائدة، ورقعة خاوية من التراب، يخصصها العجوز لطهو طعامه على الفحم. (par. 66)	Not applicable (henceforth NA).	The bolded details describing the shack are completely deleted.	omission
40. 41.	...and it was on the shelf in the corner under his clean shirt. (par. 52)	... ويضعها على رف في ركن الكوخ، خلف قميصه النظيف اليتيم. (par. 67)	...and put it on the shelf in the corner of the shack behind his only clean shirt.	Like many cases of Circumstance substitutions above, substituting <i>under</i> by <i>behind</i> has major ideational impact on the meaning. Similarly, most addition cases have an interpersonal effect on the text. In this error, adding the adjective <i>only</i> intensifies the interpersonal meaning.	substit. + addition
42.	There was no cast net and the boy remembered when they had sold it (...). (par. 59)	كان الفتى يعلم أن لا وجود لتلك الشبكة الصغيرة، وهو يذكر متى باعها ليستعينا بئمنها على القوت... (par. 75)	... in order to use the money from it on food ...	The major issue here is the explicative, which provides an explanatory comment on why the cast was sold. In doing this, the voice of the translator can be clearly heard.	addition
43.	(...) Eighty-five	تذكر العجوز أن اليوم	The old man	This error comprises two cases of	addition

44.	is a lucky number ... (par. 60)	التالي هو يومه الخامس والثمانون في البحر، وقد مضى ما مضى من الأيام دون صيد فقال للفتى: خمسة وثمانون يوماً؟ لعل هذا الرقم حامل للحظ... (par. 76, 77)	remembered that the next day was his eighty-fifth day in the sea, and many days passed with no catching. He said to the boy: "Eighty-five days? This can bring luck."	addition. An explanatory comment is added (in the form of a Frame). The Circumstance يوما (<i>days</i>) is added, and consequently shifts the focus from the number 85 in the ST to the number of days in the TT.	+ addition
45. 46.	"I'll be back when I have the sardines. I'll keep yours and mine together on ice and we can share them in the morning. When I come back you can tell me about the baseball." (par. 65)	(...) هم الفتى بالانصراف، والعجوز يقول: 82)	As the boy was about to leave, the old man said: ...	Paragraph 65 is completely omitted, and an explanatory frame is added. Subsequently, the translator breaks into the narrative structure of the story and makes his voice prominent by interjecting a new narrative unit. On another level, this addition in the form of a frame affects the temporal point of view.	omission + addition
47.	The boy did not know whether yesterday's paper was a fiction too (...). (par. 63)	لم يكن الفتى يدري أهى حقا جريدة الأمس، أم أنها مجرد خيال كبقية ما يتحدثان عنه ويفترضان وجوده. (par. 80)	..., or it is just a fantasy, as the rest of things they talk about and imagine their existence.	This TT also involves adding an explanatory comment (in the form of an upgrade). Again, the voice of the translator is amplified.	addition
48.	...and the White Sox of Chicago. (par. 70)	...وبيض سوكنس أوف شيكاغو. (par. 87)	...and the eggs of 'Sox of Chicago'.	The utterance is not acceptable nor is it understandable in the TL unless the ST is available at once for the TLRs (which basically eliminates the need for translation).	dub.acc.
49.	"First you borrow. Then you beg". (...) "Keep warm old man," the boy said.	فمن يبدأ بالاقراض ينتهي بالتسول. ومرت لحظة من الصمت، خرج منها الفتى بقوله: تزود بالدفء أيها العجوز... (par. 96, 97)	... a moment of silence passed before the boy broke this silence saying: ...	By adding this explanatory commentary Frame, the translator adds a narrative unit which is not included in the chronological chain of events of the ST. The translator impedes the TLRs creative imagination and lets them have access to his voice. Because of this, the TT is clearly more marked than the ST from the temporal point of view.	addition
Statement of Quality					
<p>On Field: As the Tracer shows, the TT matches the ST to some extent in some categories concerning the lexical, syntactic and textual means. However, the TT fails to match the ST in many dimensional areas of Field. The TT differs from the ST in economy of words and in the extent of some cohesive devices. The iconic linkage is almost lost in the TT, and this makes the text incapable of eliciting the aesthetic pleasure of this piece of fiction. Furthermore, the TT, as revealed by many overt errors above, involves a great deal of explicitation, taking many forms, and thus affecting many ideational, interpersonal and narrative functions. Cohesion is substantially affected by many cases of omission. The accuracy and transmission of information, for the most part, change on account of the numerous substitution and omission errors, particularly those related to the Circumstantial and Participant elements.</p> <p>On Tenor: As indicated above, many Tenor-related categories between the ST and TT match. However, a good number of omission, substitution and addition errors affect the matching of the interpersonal functional components in many ways. A large number of explicitatives and explanatory comments amplify the voice of the translator. The TLRs are deprived of imaginative processing of the temporal and spatial relations between events. The TLRs are invited to follow the impeded access provided by the translator to the narrative structure and sequence of events, which differ in many places from the original. Further, the particular features of the characters are not totally respected in view of these omission, substitution and addition errors. The dimension of Tenor, in the main, is altered in the TT.</p> <p>On Mode: As shown in this Tracer, the TT matches the ST in almost all categories. This is understandable as long as the TT shares with the ST the basic feature of genre.</p> <p>On Genre: Both the TT and ST reflect similar realisations of genre, except for the high voice of the translator, which seriously detracts from the interpersonal matching component.</p> <p>Statement: That being so, Ali's translation is a covert translation without applying a cultural filter. Although fiction as a text type is a typical candidate for an overt translation given the established value it has in the SL community, the translator, on grounds of many addition, omission and substitution mismatches, could not produce an overt translation that matches both the enjoyment of the TLRs and the preservation of the same functions as intended by the ST author. Apparently, this translation is functionally less subservient to the ST. The only level of the TT that can well match the ST is the level of Genre.</p>					

Figure 6.6: The Match Tracer of ST and Ali's translation and statement of translation quality

				direct speech, is rarely used in Arabic as a thematic stylistic option.	
	4bII.	•		Extensive use of paratactic relations in the TT. Extensive use of hypotactic relations in the TT. Frequent use of embedded relations in the TT.	- Use of conjunctions like: أو، و، لكن، ثم، كما، لو، كما لو، أما، أم، بما إذا (and, or, but, then, as, as if, if 'be'). - Using conjunctions to form clause complexes: عندما، par. 1, 24, 34, 35, 60, 92 and 98. لو، par. 40. إذا، par. 62 and 87. قبل، par. 62. بعد، par. 1, 55 and 76. فقد...أما...، par. 3, 5, 23 and 42. لأن، par. 24, 76 and 77.. على الرغم، par. 76. حتى، par. 62 and 75 (when, even if, if, after, before, because, although, even). الذي، par. 2, 4, 12, 76 and 110. التي، par. 22, 52, 76 and 77. الذين، par. 23. اللتين، par. 39 (who, which, that, etc.).
	4bIII.	•		Like the ST, the TT is characterised by strong iconic linkage which makes the text more cohesive.	- The verb <i>said</i> appears 25 times in the ST, and in the TT, the verb قال (<i>said</i>) appears 26 times (the verb <i>told</i> in par. 1 is translated as قال <i>said</i> in par. 1). Thus, this iconic linkage in terms of both structure and number is precisely reproduced in the TT. - The nominal group <i>lucky boat</i> in par. 6 and 28 is equally translated by the nominal group مركب محظوظ in par. 8 and 40. - The modulated structure <i>do you want ...?</i> in par. 54 and 55 is translated using the same verb هل تريد؟، par. 80 and أتريدين؟، par. 81. Another example of the consistency of translating the same modulated structure is seen in translating the question <i>what do you think?</i> in par. 72 and 74, by similar structures in Arabic: أتظن؟، par. 99 and هل تظن؟، par. 102. - The modal <i>will</i> (expressing the future tense and preserving the function of determination/willingness in English) in the phrase <i>I will</i> (par. 55 and 56), is translated by the same future marker في...، which at the same time performs the same function in Arabic (par. 81 and 82). - Consistency is also maintained in translating the two structures involving <i>I would like to ...</i> in par. 20. In par. 31, the translator uses two synonymous verbs in Arabic that preserve the same function: أحب (<i>I would love to ...</i>) and أود (<i>I would like to ...</i>). - The modalised structure <i>Can I</i> (par. 13 and 18) is respected in the TT. It is translated by two synonymous asking-permission modalised structures in Arabic: هل لي؟، par. 19 and هل أستطيع؟، par. 29. - Similarly, the modalised phrase <i>I can remember</i> (par. 24) is translated in two positions by the same structure in Arabic: أستطيع أن أتذكر (par. 37).
II. Tenor	1.	•		The TT is an unmarked text of Modern Standard Arabic.	The entire excerpt.
	2.	•		Using short uncomplicated lexicogrammatical choices in Arabic, the translator keeps the original author's emotional and intellectual stance whose manner is evidently characterised by realism and naturalness. Notably, the translator does not also intervene in the	The entire excerpt.

				actions nor does he add any explanatory comments or new narrative units. His voice is kept to the least possible level.	
	3.	•		Like the ST, the TT is full of vivid description and facts. The TT, like the ST, involves different speech functions.	- Par. 1, 2, 23, 36, etc. - Par. 8, 9, 17, 21, 28, etc.
	4.	•		Like the ST, the TT plays a symmetrical role relationship in all three positions: - author-reader - author-characters - the old man-the boy	- The entire excerpt. - Par. 1, 2, 36, etc. - Par. 1, 5, 9, 19, 21, 29, 30, 33, etc.
	4a.	•		The number of names (Santiago) in the TT is just like that in the ST. The vocative <i>ولدي</i> is used twice in the TT (just like the ST; <i>my boy</i> , par. 28 and <i>my son</i> , par. 68). This makes the affective involvement of the TT similar to that of the ST.	- Par. 5 and 26. - Par. 40 and 95.
	4b.	•		The modalised structure with <i>can</i> is reproduced in the TT to fulfil the same functions as in the TT. The number of structures is precisely kept in the TT. Likewise, the modulated structures with <i>may</i> and polite offers with <i>let</i> are successfully reproduced in the TT.	- Par. 19, 29, 30, 36, 37, 41, 75, 92, 101, 102, 103, 105, 106 and 110. - Par. 41, 83, 43 and 75.
	4c.	•		There is a tangible presence of <i>iconic linkage</i> in the TT. Like the ST author, the translator uses short one-word answers: <i>لا، نعم</i> .	- See category 4bIII above. - <i>نعم</i> : par. 19, 28 and 89, <i>لا</i> : par. 8, 30, 81 and 82.
	5.	•		The TT is just like the ST in terms of the informality of <i>style</i> suitable for describing people and things and narrating events in a natural and realistic way.	The entire excerpt.
	5a.	•		The TT adopts the same elementary level of vocabulary as the ST. The TT follows the ST in the use of concrete nouns.	- Using lexical items such as: <i>أطاع (obey)</i> , <i>ترك (leave)</i> , <i>خدم (serve)</i> , etc. - Par. 1, 2, 4, 23, 36, etc.
	5b.	•		Just like the ST, the TT is characterised by short clauses and simple lexicogrammatical choices. Presence of the present form of the verb <i>المضارع</i> , which can reproduce the present-in-present tense in Material clauses.	- Par. 1, 2, 3, 8, 12, etc. - Using verbs like <i>يترنح (stagger)</i> , <i>يَهزأ (make fun)</i> , <i>يخبِط (club)</i> and <i>يَتعَشَّن (freshen)</i> .
	5c.	•		There is strong presence of iconic linkage in the TT.	See category 4bIII above.
III. Mode	1a.	•		The TT is also a written text to be read. It is a simple, non-abstract, explicit informational text.	The entire excerpt.
	1b.	•		The lexical items belong to Modern Standard Arabic.	The entire excerpt.
	1c.	•		Like the ST, the TT is characterised by extensive use of coordinators. The TT is similar to the ST in using some conjunctions to construe hypotactic relations.	- See conjunctions in category 4a in the Field above. - See hypotactic relation in category 4bII in the Field above.
	1d.	•		Like the ST, the TT is strongly connected by cohesive devices.	- See category 4a in the Field above for coherence and cohesion in the TT.
	2a.	•		Like the ST, the TT is a simple text made up from a combination of monologue and built-in fictional dialogic parts. Both the ST and TT do not have any sign of direct participation devices.	The entire excerpt.
	2b.	•		Like the ST, the TT does not have any clear sign of participation.	The entire excerpt.

	2c.	•		Like the ST, the TT does not have any clear sign of participation.	The entire excerpt.
	2d.	•		Like the ST, the TT does not have any clear sign of participation. As in the case of the ST, the TT is certainly an <i>emic</i> text.	The entire excerpt.
IV. Genre	1.	•		Like the ST, the TT is a piece of fiction.	The entire excerpt.
	2.	•		Both the ST and TT have the same communicative purpose of entertaining the readers.	The entire excerpt.
	3.	•		The narration type (the invisible nonparticipating narrator) is kept in the TT. The translated excerpt plays the same introductory role as the original excerpt. The translator keeps himself away from the characters and the scenes and does not basically provide major explanatory comments nor does he add narrative units or events to the narrative structure.	- The entire excerpt. - The entire excerpt. - The entire excerpt.
Overtly Erroneous Errors					
No.	ST	TT	BT	Description	Subtype
1.	..., with two men staggering at the end of each plank... (par. 15).	...، وتحت طرف كل لوح يترنج رجلان... (par. 23)	...and under the end of each plank, two men were staggering ...	The Circumstance تحت (<i>under</i>) is unjustifiably added, leading to a misunderstanding of the scene. The two men were carrying the planks with their hand, but not placing the planks over their heads.	addition
2.	I can still row and Rogelio will throw the net. (par. 19)	فما زال بإمكانني أن أجذف القارب وسيرمي رخليو الشبكة (للحصول على السردين). (par. 30)	I can still row and Rogelio will throw the net (to get the sardines).	This is an explanatory comment added by the translator to explain why the net is to be thrown. Interestingly enough, using the parenthesis definitely indicates that the translator consciously interjects this explicative to facilitate the meaning for the TLRs, and at the same time invites them to take or ignore his explanation.	addition
3.	...and the thwart breaking ... (par. 24).	... والمقاومة العنيفة... (par. 36)	...and the rough resistance ...	The breaking of the thwart, which is a visual image, is substituted by a rather general image which can be a sound and/or a visual one (rough resistance). This substitution can affect the accuracy of describing the scene.	substit.
4.	He was too simple to wonder when he had attained humility . (par. 36)	وكان أبسط من أن يتساءل بعد أن وصلت به الحال إلى المهانة. (par. 55)	He was too simple to wonder after he has reached the case of contempt .	The first issue in this error has to do with substituting a point of time by which the old man acquired the virtue of being 'humble', but not to wonder after acquiring it. The second issue is a central one. The translator misses the meaning of the word <i>humility</i> , which is a virtue or quality the old man has cultivated or acquired with the passage of time, but not a drawback he suffers from. Being humble is one of the key themes in the story: amazingly, the old man is characterised by humility and pride at the same time. Correspondingly, a key characteristic of the old man is negatively affected in the TT.	substit.
5.	..., the old man thought that a gaff and a harpoon were needless temptations to leave in a boat. (par. 51)	...، فإنه كان يرى في ترك الخطاف والحرية في القارب إغراءات لا داعي لها. (par. 76)	NA.	This error is in the construction of the anaphoric reference pronoun. If the pronoun is to refer to the إغراءات (<i>temptations</i>), the form must be لا داعي لها.	ungram.

6.	Will you sit in the sun in the doorway? (par. 61)	رجاء اجلس في الشمس عند المدخل. (par. 88)	Please, sit in the sun in the doorway?	In this error, the modulated structure is not properly reproduced. It is substituted by the Modal Adjunct <i>please</i> . Although they have a similar function of gentle request, they vary in degree and, most importantly, in the kind of expected response. The old man replies in the next paragraph by saying "Yes." One of the possible translations could be: <i>هلا جلست في الشمس عند المدخل؟</i> (Will you sit in the sun in the doorway?, the researcher's translation).	substit.
Statement of Quality					
<p>On Field: The Tracer has undeniably revealed a great deal of match between the ST and Alqasimi's translation. All the categories of the ST correspond closely to those of the TT, except for the marked position which is rarely used in Arabic as a thematic stylistic option. Using many different cohesive devices makes the TT as coherent as the ST. Further, the TT is clearly marked by consistent iconic linkage, which is an unimpeachable source of aesthetic pleasure required for a piece of literature. With the exception of finer distinctions concerning explicitation, omission and substitution, the TT preserves the details, accuracy and transmission of information of the ST, which make the ideational metafunction successfully reproduced.</p> <p>On Tenor: Supported by quantitative data, the comparison, as facilitated by this Tracer, between the ST and TT along the Tenor categories reveals that the ST and TT match in all these categories. Such correspondence gives pride of place to the interpersonal markedness which is found to be almost equal between the ST and TT.</p> <p>On Mode: With the exception of one instance of the use of parenthesis in Error 2 above, which can be considered a means of participation with the readers, this Tracer clearly indicates how the TT matches the ST in all categories. This is understandable as long as the TT unquestionably shares with the ST the basic feature of genre.</p> <p>On Genre: The TT reflects realisations of genre which are the same as those of the ST.</p> <p>Statement: As a consequence, Alqasimi's translation is an overt translation without applying a cultural filter. Undeniably, Alqasimi's translation is functionally subservient to the ST. This is a classic case of translating a piece of prose fiction on account of the status of the author and the text in the SL. The limited number of errors makes the TT successful in preserving the same functions as the ST and at the same time enjoying success in entertaining the TLRs.</p>					

Figure 6.7: The Match Tracer of ST and Alqasimi's translation and statement of translation quality

Category	Assessment			Brief Explanation	Examples
	Match	Mismatch	In-between		
I. Field	1.	•		The TT is a part of prose fiction.	The entire excerpt.
	2a.			<p>The lexical items mostly belong to Modern Standard Arabic.</p> <p>The TT fails on some occasions to match the economic use of words in the ST.</p>	<p>- There are some anomalous lexical items, such as سطيحة for <i>terrace</i> in par. 19, 22 and 23 and نوار to translate the month of May in par. 108. In arabiCorpus (2011), the word سطيحة occurs only 6 times with a percentage of 0.01/100,000 words, while the suitable word شرفة occurs 1,377 times with a percentage of 0.79/100,000 words). Moreover, the word سطيحة is not used under the root سطح according to Buckwalter and Parkinson's dictionary of the 5,000 most frequently used words in Arabic (2011, p. 465), while the word شرفة is frequently used in Arabic, with a rank frequency of 3,850 (ibid., p. 469). The word نوار occurs only 2 times to mean the month of May, while the suitable word in Arabic مايو occurs 12,753 times, with a percentage of 7.35/100,000 words, the string of في مايو (<i>in May</i>) occurs 1,500 times: 0.86/100,000 and the string of شهر مايو (<i>the month of May</i>) occurs 528 times: 0.3/100,000 words (arabiCorpus, 2011). Equally anomalous, there are some odd or archaic uses of words, like أفراش for <i>sharks</i> par. 22 and 23, which occurs in arabiCorpus (2011) only once and سلع (<i>to skin</i>) par. 1, 9 and 68, which occurs 3 times only in the meaning of <i>to spend time</i> out of 685 occurrences (arabiCorpus, 2011). Furthermore, the use of the verb أنشأ in par. 22 to mean <i>to start</i> (instead of بدأ or راح) is not common in this context.</p> <p>- There are some instances of explicitation taking place within and beyond the metafunction matching analysis, such as par. 28, 44, 49, 73 and 75.</p>
	2b.	•		Most vocabulary items range between general and popular.	The entire excerpt.
	3.	•		Most clauses are short, and most clause complexes are made up of short clauses.	Par. 1, 2, 21, 22, 42, etc.
	4a.	•		<p>Extensive use of conjunctions in the TT.</p> <p>Frequent use of references in the TT.</p> <p>Occasional use of ellipsis in the TT.</p> <p>Frequent use of substitution in the TT.</p>	<p>- Use of conjunctions like و, أم, لكن, إنما, كما, ثم, etc. (<i>and, but, then, as, if 'be'</i>).</p> <p>- pronouns: نحن, هم, هو, هما, هي, etc. (<i>we, he, she, etc.</i>).</p> <p>- demonstratives: ذلك, تلك (<i>this, that</i>)</p> <p>- comparatives: أشبهه, مثل, أكثر (<i>more, like, similar</i>)</p> <p>- Ellipsis is successfully reproduced in par. 3 and 35 (TT, par. 3 and 50 respectively). However, the ellipsis in par. 15 is substituted by a clause in par. 22.</p> <p>- The use of the substitution element <i>one(s)</i> in Arabic is not frequent. For example, producing <i>ones</i> in par. 7 becomes possible in the TT when the translator uses in par. 9 the anaphoric reference pronoun منها and explicitates the quantifier عدداً. The substitution in par. 31, 65 and 75 is</p>

					successfully reproduced in par. 42, 91 and 102 respectively. The substitution in par. 60 is impossible to reproduce; thus the Participant سمكة (<i>fish</i>), due to the systemic nature of Arabic, is obligatory supplied in par. 85. The substitution of <i>mine</i> in par. 30 (TT, par. 41) cannot be reproduced in the same system used in English; the Participant أطعام (<i>bait</i> s) must be reproduced in Arabic in this case. In par. 49, the substitution <i>so</i> is successfully reproduced as ذلك in par. 71.
4bI.			•	The objective (unmarked) position is used predominantly for describing characters, actions and things and for quoting direct speech. In fact, the subjective (marked) position, which is extensively used in the ST for marked focus of information in quoting direct speech, is rarely used in Arabic as a thematic stylistic option.	All the clauses in the excerpt.
4bII.	•			Extensive use of paratactic relations in the TT. Frequent use of hypotactic relations in the TT. Frequent use of embedded relations in the TT.	- Use of conjunctions like: و، ثم، لكن، أو، أما، أم، (or, if 'be', as, then, but, and) - Using conjunctions to form clause complexes: عندما، par. 33, 34, 91 and 97. لو، par. 39 and 85. إذا، par. 30 and 60. حتى إذا par. 1. بعد، par. 4 and 74. قبل par. 58. فقد... أما... par. 50. لأن، par. 23. على الرغم، par. 74 (<i>when, even, if, even so, after, before, because, although</i>). الذي، par. 2, 12, 35, 36 and 75. التي، par. 2, 22, 74, 75 and 100. الذين، par. 22 (<i>who, which, that, etc.</i>).
4bIII.			•	As indicated in Figure 6.5, the ST is strongly linked by iconic linkage. In the TT, by contrast, the iconic linkage is not fully respected.	- The verb <i>said</i> in the ST appears 25 times. In the TT, the verb قال appears 20 times, and the adverb قاتلا appears once. - In the same paragraph (par. 20), the phrase <i>I would like to</i> is translated differently in par. 30 (فليس يمتعني ذلك من أن and كم أحب أن). - In the two successive short paragraphs (55 and 56) the modal <i>will</i> (expressing the future tense and performing the function of determination/willingness) in the phrase <i>No, I will</i> , is similarly translated in par. 79 and 80 (لا سـ... and لا سوف...). - The modulated structure <i>do you think...?</i> in par. 72 and 74 is translated in slightly different structures in Arabic: ألا ترى...؟ par. 98, which is a negative (<i>Don't you think?</i>) and هل تظن...؟ par. 101, which is, on the contrary, a positive. - The modulated structure <i>do you want...?</i> in par. 54 and 55 is also translated differently. The verb <i>want</i> is preserved and reproduced in par. 78, but is omitted in par. 79. - The modalised structure <i>Can I</i> (par. 13 and 18) is translated differently. While the same function is preserved in par. 19 (هل أستطيع...؟)، it is substituted by a more direct request in par. 28 (هل تريد أن أذهب...؟... (Do you want me to go...?). - The translation of the nominal group <i>lucky</i>

						<p><i>boat</i> in par. 6 and 28 is the same in par. 8 and 39 (قارب محظوظ). In contrast, the nominal group <i>a beer</i> (par. 13 and 21) is translated differently: شينياً من الجعة (<i>some beer</i>) in par. 19 and كأساً من الجعة (<i>a glass of beer</i>) in par. 32.</p> <p>- There is a considerable inconsistency in translating the central Participant in the story <i>the old man</i>. It is translated as الشيخ (<i>the sheikh</i>) 23 times, as الرجل العجوز (<i>the old man</i>) 4 times and as الشيخ العجوز (<i>the old sheikh</i>) once. Similarly, the other central character <i>the boy</i> is rendered 15 times as الغلام and 6 times as الصبي. Although they are sometimes used interchangeably in Arabic, الصبي might better suit the context as it primarily refers to an age younger than غلام.</p> <p>- The two modalised phrases <i>I can remember</i> (par. 24) are equally translated as أستطيع أن أنكر (par. 35).</p>
II. Tenor	1.	•			The TT is an unmarked text of Modern Standard Arabic.	The entire excerpt.
	2.			•	Unlike the ST, the TT occasionally involves some longer and more complicated structures. This can be seen in instances of explicitation and a few gratuitous footnotes. Explicitatives do not match the simplicity that should feature the relationship between the old man and the boy. In a few cases, they provide authorial or explanatory comments which are not intended by the original author.	Par. 18, 22, 28, 32, 40, 44, 75 and 108.
	3.	•			Like the ST, the TT is full of vivid description and factual details. The TT, as in the case of the ST, involves different speech functions.	- Par. 1, 2, 22, 35, etc. - Par. 5, 8, 19, 21, 40, etc.
	4.	•			Like the ST, the TT plays a symmetrical role relationship in all three positions: - author-reader - author-characters - the old man-the boy	- The entire excerpt. - Par. 1, 3, 21, etc. - Par. 5, 6, 12, 19, 28, etc.
	4a.	•			The number of names (Santiago) in the TT is just like that in the ST. The vocative يا بُني is used in the TT (just like the ST <i>my son</i> (par. 68)). This makes the affective involvement of the TT similar to that of the ST.	- Par. 5 and 25. - Par. 94.
	4b.			•	80% of the modalised structures with <i>can</i> are successfully reproduced. However, only one modulated structure with <i>can</i> (25%) is successfully reproduced. The translation of the polite request for permission with <i>may</i> is translated successfully in one position and unsuccessfully in another. The only modalised structure with <i>may</i> functioning as possibility is successfully reproduced. The polite offers with <i>let</i> are successfully reproduced in the TT.	- Par. 29, 35, 40, 73, 101, 102, 104 and 108. Par. 91 and 100. - Par. 19. Par. 28, 34 and 36. - Par. 40. Par. 81. Par. 80. - Par. 42 and 73.
	4c.			•	There is some loss of iconic linkage in the TT. Like the ST author, the translator uses one-word short answers: yes/no: نعم/لا.	- See category 4bIII above. - نعم: par. 19 and 27, لا: par. 17, 29, 79 and 80.
	5.	•			The TT is just like the ST in terms of the informality of style suitable for describing people and things and narrating events in a	The entire excerpt.

					more natural and realistic way.	
	5a.			•	The TT tracks mostly the same elementary level of vocabulary of the ST, except for those elements mentioned above in 2a. The TT follows the ST in the use of concrete nouns.	- Use of lexical items such as: عمل، ذكر، ذهب، etc. - Par. 1, 22, 35, etc.
	5b.	•			The TT is largely like the ST; it is made up of short clauses and simple lexicogrammatical choices. Presence of the present form of the verb المضارع، which can reproduce the present-in-present tense in Material clauses.	- Par. 1, 5, 6, 14, 22, etc. The present-in-present can be seen in verbs like يترنج (stagger)، يفكر (think)، يضرب (slap)، يخطب (club)، ينكسر (break)، يرتجف (shiver) and ينتعش (freshen).
	5c.			•	There is some loss of iconic linkage in the TT.	See category 4bIII above.
III. Mode	1a.	•			Like the ST, The TT is a written text to be read. It is a simple, non-abstract, explicit informational text.	The entire excerpt.
	1b.			•	The lexical items belong mostly to Modern Standard Arabic, except for those mentioned above in 2a.	Most lexical items in the excerpt.
	1c.	•			Like the ST, the TT is characterised by extensive use of coordinators. The TT is similar to the ST in using some conjunctions to construe hypotactic relations.	- See <i>conjunctions</i> in category 4a in the Field above. - See <i>hypotactic</i> relation in category 4bII in the Field above.
	1d.	•			Like the ST, the TT is largely coherent using different cohesive devices.	- See category 4a in the Field above for coherence and cohesion in the TT.
	2a.	•			Like the ST, the TT is a simple text made up of a combination of monologue and built-in fictional dialogic parts. Like the ST, there is no sign of direct participation devices.	The entire excerpt.
	2b.	•			Like the ST, the TT does not have any clear sign of participation.	The entire excerpt.
	2c.	•			Like the ST, the TT does not have any clear sign of participation.	The entire excerpt.
	2d.	•			Like the ST, the TT does not have any clear sign of participation. As in the case of the ST, the TT is certainly an <i>emic</i> text.	The entire excerpt.
IV. Genre	1.	•			Like the ST, the TT is a piece of fiction.	The entire excerpt.
	2.	•			Both the ST and TT have the same communicative purpose of entertaining the readers.	The entire excerpt.
	3.	•			The narration type (the invisible nonparticipating narrator) is kept in the TT. The translated excerpt plays the same introductory role as the original excerpt. The translator keeps himself away from the characters and the scenes and mostly does not provide major explanatory comments; nor does he add narrative units or events to the narrative structure.	- The entire excerpt. - The entire excerpt. - The entire excerpt.
Overtly Erroneous Errors						
No.	ST	TT	BT	Description	Subtype	
1.	...and then we'll take the stuff home? (par. 13)	...ثم تحمل هذه الأدوات كلها إلى البيت؟ (par. 19)	...and then we take all this stuff home?	A determiner and a demonstrative are optionally added.	addition	
2.	...and he was not angry. (par. 15)	...ولكن ذلك لم يستتر غضبه قط. (par. 22)	...but that did not arouse his anger.	The Circumstance <i>قط</i> in Arabic is used to negate the continuity in the past (Ibn Mandhoor, 2014). Using this Circumstance gives the meaning	addition	

				that the old man is used to the fishermen's making fun of him, but this is not intended in the ST.	
3.	The successful fishermen of that day were already in... (par. 15)	وكان الصيادون الذين فازوا برزقهم ذلك النهار قد دخلوا، (par. 22)	The fishermen who won their livelihood that day entered.	The translator mistranslates the Relational Process <i>in</i> , and substitutes it by the Material Process <i>entered</i> . It is not an enclosed place to enter, it is rather a place to show up in or return to.	substit.
4. 5.	...where they waited for the ice truck to carry them to the market in Havana. (par. 15)	...حيث انتظرت سيارة الثلج الكبيرة لنقلها إلى السوق في هافانا. (par. 22)	...where the big ice car waited to carry them to the market in Havana.	Two errors can be discussed here. Firstly, the Actor <i>they</i> in the ST is unnecessarily replaced with <i>the big ice car</i> in the TT. This will affect the intended meaning. Secondly, the economy of words featuring the ST is not respected when using <i>the big car</i> instead of <i>the truck</i> الشاحنة.	substit. + substit.
6.	...and their flesh cut into strips for salting. (par. 15)	، ويقطع لحمها قديدا يصار بعد إلى تمليحها. (par. 22)	...and their flesh is cut into strips, and then they are salted.	This error is an example of optional explicitation and an unnecessary longer structure	addition
7.	He was holding his glass and thinking of many years ago. (par. 17)	كان حاملاً كأسه يفكر في الأيام الخالية. (par. 27)	He was holding his glass, thinking of the past days.	The Circumstance <i>many years ago</i> is substituted by <i>the past days</i> . This apparently causes a shift in the temporal point of view.	substit.
8. 9.	"Can I go out to get sardines for you for tomorrow?" (par. 18)	"هل تريد أن أذهب وأتبعك بشيء من السردين تستعين به على الصيد غدا؟" (par. 28)	"Do you want me to go and bring some sardines that help you with fishing tomorrow?"	In this error, two points can be pointed out. Firstly, the modulated structure <i>Can I...?</i> is optionally replaced with another modulated structure <i>Do you want...?</i> . Secondly, the clause <i>that helps you with fishing</i> is an explanatory comment added to the TT.	substit. + addition
10.	...and Rogelio will throw the net. (par. 19)	ولسوف يلقي روجليو الشبكة. (par. 29)	And Rogelio will certainly throw the net.	The letter ل in Arabic is used to add more emphasis to the Process. This emphasis is added to the TT; it is not meant in the ST.	addition
11.	I can remember the tail slapping and banging and the thwart breaking and the noise of the clubbing. (par. 24)	استطيع أن أذكر ذنبها يضرب ويخبط، ومقعد التجديف ينكسر، والدوي الذي أحدثه ذلك التضريب. (par. 35)	I remember its tail slapping and banging and the thwart breaking and the sound caused by that slap.	The noise caused by the old man's clubbing of the fish in the ST is substituted by the sound caused by the slapping of the fish's tail.	substit.
12.	But now they were freshening as... (par. 32)	ولكن الانتعاش دب فيهما كما... (par. 45)	But they were freshening as ...	The Circumstance <i>now</i> is deleted. Such deletion will affect the temporal point of view.	omission
13.	"Two," the boy said. (par. 33)	فأصر الصبي: - "بل باثنين." (par. 46-7)	The boy insists: "But two."	The addition of <i>أصر</i> and <i>بل</i> adds interpersonal meaning to the utterance. This can be seen as an explanatory explicative comment.	addition
14.	I want to be out before it is light. (par. 39)	يجب أن أنطلق قبل أن يبرغ الفجر. (par. 58)	I have to set out before dawn.	The modalised structure <i>want to</i> in the ST is replaced with another modalised structure <i>have to</i> in the TT. This unquestionably causes a shift in the Mood.	substit.
15.	"Then if you hook something truly big we can come to your aid." (par. 40)	وهكذا يكون في استطاعتي أن أسارع لمساعدتك إذا اصطدت شيئاً كبيراً حقاً. (par. 60)	...so that I can rush to help you if you hook something truly big.	The Actor <i>we</i> is substituted by <i>I</i> .	substit.
16.	"So I can get the cast net and go after the sardines." (par. 50)	وهكذا أستطيع أن أخذ الشبكة الخاصة بصيد السردين واصطاد منه شيئاً كثيراً. (par. 73)	So I can take the cast and get a lot of sardines.	The addition of the indefinite quantifier <i>a lot of</i> in the TT is by no means intended in the ST. It certainly intensifies the amount to be brought by the boy.	addition
17.	...a picture in colour of the Sacred Heart	...إحداهما تمثل قلب يسوع الأقدس والأخرى تمثل	... one of which represents the most	The adjective <i>Sacred</i> in the ST is substituted, and thus intensified by	substit.

	of Jesus and another of the Virgin of Cobre. (par. 52)	عذراء كوبر، (par. 75)	Sacred Heart of Jesus and another represents the Virgin of Cobre.	the superlative <i>the most Sacred</i> in the TT. This can be seen and interpreted within the domain of the cultural and religious background of the translator.	
18.	A pot of yellow rice with fish. (par. 54)	قدر من الرز المزعفر مع السمك. (par. 78)	A pot of rice with saffron with fish.	The rice in the TT could be made yellow by a substance rather than the saffron. This can be seen through the eyes of <i>localisation</i> .	addition
19. 20.	...and the boy remembered when they had sold it. (par. 59)	...وكان الغلام يذكر أنه قد باعها. (par. 83)	And the boy remembered that he had sold it.	Two cases of substitution can be noticed here. Firstly, the Actor they is substituted by I. Secondly, the boy in the ST remembered not only that they sold it but also the time when it had been sold. In the TT, however, the reference to time is never mentioned.	substit. + substit.
21.	There was no pot of yellow rice and fish... (par. 59)	ولم تكن ثمة قدر من الأرز المزعفر مع السمك. (par. 83)	NA.	The use of the feminine pronoun <i>تكن</i> in Arabic does not go grammatically with the masculine noun of <i>pot</i> . It could have been done inadvertently by the translator. It must be <i>يكن</i> .	ungram.
22.	We can do that... (par. 73)	هذه فكرة. (par. 100)	This is an idea.	It can be said that this translation is not successful. Simply speaking, it does not give the same ability function of the ST.	substit.
23. 24.	One sheet. (par. 76)	عشر ورقة فقط. (par. 103)	One tenth sheet only.	The number is mistranslated in the TT. Moreover, the Circumstance <i>only</i> is added to give more emphasis to this small number.	substit. + addition

Statement of Quality

On Field: As the Tracer indicates, the TT matches the ST in many categories concerning the lexical, syntactic and textual means. However, the TT fails to match the ST in a few dimensional areas of Field. The TT differs to some extent from the ST in using some anomalous lexical items and in not showing greater respect for iconic linkage, which decreases the elicitation of the aesthetic pleasure of this piece of fiction. The TT, as revealed by the overt addition errors above, involves a few instances of explicitation, taking many forms, and thus affecting the related ideational and interpersonal metafunctions. The accuracy and transmission of information in the TT is somehow affected. This can be seen in the substitution errors, particularly those related to the Circumstantial and Participant elements.

On Tenor: As indicated above, many Tenor-related categories between the ST and TT match. However, there are some substitution and addition errors which affect the matching of the interpersonal functional components in many ways. Despite involving a few explicitatives and explanatory comments, they do not generally amplify the voice of the translator. As a result, the TLRs are not seriously deprived of imaginative processing of the temporal and spatial relations between events. The TLRs are invited to follow almost the access provided by the translator to the narrative structure and sequence of events, which does not differ in many places from the original. The dimension of Tenor, in the main, is basically respected in the TT.

On Mode: As shown in this Tracer, the TT matches the ST in almost all categories. This is highly expected as long as the TT shares with the ST the basic feature of genre.

On Genre: The TT reflects realisations of genre which are almost the same as those of the ST.

Statement: As a consequence, Baalbaki's translation is an overt translation with no evidence of applying a cultural filter. This is a classic case of translating a piece of prose fiction on account of the status of the author and the text in the SL. Although there are a considerable number of addition and substitution overt errors, the ideational and interpersonal functional components are kept up to a satisfactory extent. This is mainly because the voice of the translator is hardly heard, and this keeps the TT still preserving most functions of the ST and at the same time enjoying success in entertaining the TLRs.

Figure 6.8: The Match Tracer of ST and Baalbaki's translation and statement of translation quality

6.5 Comparison of the Three Match Tracers

The three Tracers analyse meticulously how far the three translations of Ali, Alqasimi and Baalbaki match the ST in accordance with House's TQA model. The following table illustrates the main differences between the three translations as revealed by the three Match Tracers.

Translator	Ali			Alqasimi			Baalbaki		
Register Parameters and Genre	Match	Mismatch	In-between	Match	Mismatch	In-between	Match	Mismatch	In-between
Match of the Field	50%	12.5%	37.5%	87.5%	0%	12.5%	62.5%	0%	37.5%
Match of the Tenor	54.5%	0.9%	36.4%	100%	0%	0%	54.5%	0%	45.5%
Match of the Mode	100%	0%	0%	100%	0%	0%	87.5%	0%	12.5%
Match of the Genre	66.7%	0%	33.3%	100%	0%	0%	100%	0%	0%
Other Parameters	Ali			Alqasimi			Baalbaki		
Errors of a denotative nature	47			5			23		
Of Which Addition	14			2			9		
Of Which Omission	16			0			1		
Of Which Substitution	17			3			13		
No. of a breach of the TL system	2			1			1		
Of Which Ungrammaticality	1			1			1		
Of Which Dubious Acceptability	1			0			0		
Total Number of Overt Errors	49			6			24		
Final TQA	Covert			Overt			Overt		

Table 6.2: Summary of the differences between the three Match Tracers

As shown in Table 6.2, Ali has the highest number of errors at 62%, Alqasimi the lowest at 7.6% and Baalbaki occupies the middle ground between them with 30.4% of total errors. The substitution error constitutes the major kind of overt error in all three Tracers. This can be attributed to the tendency to tell the story in general terms without paying too much attention to the need to maintain the functions intended in the ST. There are infrequent breach errors in the translations. This affirms the translators' high linguistic competence in their native TL (Arabic). Within the dimensions of register,

the Mode records the most successful match, basically because the TTs and the ST share many features of genre. Ali's and Baalbaki's Match Tracers record the same percentage of match for Tenor (54.5%), while in contrast Alqasimi has a 100% success in preserving the Tenor of the ST in his translation. Besides having the small number of errors, Alqasimi achieves the largest percentage of match in all dimensions of register. In conclusion, the results of this phase of the research conform to and verify the validity of the findings of the previous two studies in chapter 5 (the metafunction shift analysis and the analysis of the optional explicitation shifts located beyond the metafunction shift analysis). The order of the successfulness or match of translation according to SFL-based criteria is found to be the same: Alqasimi gets the highest, Baalbaki achieves the median and Ali occupies the lowest rank in the list.

6.6 Summary

The main reason why House's model is particularly deserving of application in the present research is ascribed to the inextricable connection between the model and SFL. It is defensible then to test the applicability of her model to English-to-Arabic translation of fiction. Another particular impetus for applying House's model is to develop the model itself in a way which can provide a perspicuous analysis, and more convenient SFL-related processing of the original. It is believed that the ST Profile Template and the Match Tracer supplemented in this work yield the desired result. They make the match analysis easily accessible and directly traceable. Certainly, such a development throws an extra burden on the work of prospective assessors and translators because of the highly critical analysis provided by this development which has greatly advanced the adaptability of the model.

It should be said at this stage that this phase was completed before the researcher was able to get access to the recent publication on the model: House (2015). In this book, she calls for an integrative model involving, in the main, more quantitative data and some suitable corpus statistics (see for example House, 2015, Figure 12.2, p. 127). This

is to a remarkable extent the thing achieved here. In this regard, House argues that "the results of corpus driven translation research are (...) immediately relevant for lifting evaluation of an individual text as an exemplar onto a more general level" (2015, pp. 125-6). Further, she points out that the new model suggests some modifications to the different categories of the register dimensions to reduce an unnecessary overlap that might occur between them (ibid., p. 126). Again, similar types of modifications have been made in this work to make the model more insightful and accessible. In a sense then, this development of House's model can be subsumed under mini-corpus translation studies of TQA. House argues that corpora in TQA can "act as a link between qualitative and quantitative work" (ibid., p. 108). The use of some corpus-based statistics and the effective integration of the ST Profile Template and the Match Tracer can orchestrate qualitative and quantitative data in House's model and allow it to reach new horizons of effectiveness and accessibility.

Chapter 7

The Translator Training Experiment

7.1 Introduction

The last phase of the combined research model is carrying out an empirical translation training study on final-year students (majoring in English) at Taif University, Saudi Arabia. In fact, there is a dearth of research in using SFL-based knowledge to train English-to-Arabic translators. The general aim of carrying out this experiment is to show how SFL-based theoretical knowledge can be put to work in mobilising a translator training model for university level. Operationally, this empirical study will measure through initial and final exams the quantitative and qualitative differences between a control group (which takes an ordinary module in English-to-Arabic translation according to the English department plan) and an experimental group (which takes the same ordinary module but will gain also an SFL-based 20-hour translation training course). These differences will lead to examining the possible progress of the experimental group in the assessment skill using the metafunction analysis as well as the SFL-informed translation performance.

The aim is not to investigate or assess the effectiveness of the current translation modules being taught in the department, but rather to test the validity of a new linguistically-informed approach to translation. Such an experiment can give a solid scientific justification for introducing an SFL module in the BA or even in the MA academic programmes in the future. The investigation will be inspired by Matthiessen's (2001) key hypothesis that languages are metafunctionally congruent, and thus, there is a need in translation to preserve the metafunctional effect as much as possible even if the SL and TL are systemically different in realisation. The specific research questions, methodology and procedural steps are discussed earlier in chapters 1 and 4 (see sections 1.3 and 4.2.3).

Conducting this translator training experiment can be clearly justified. In general, it will put into effect the well-established principle in the literature that translation is not a simple transcoding process of SL into TL, nor for that matter is it an erratic pattern of comprehension of the ST. The present experiment situates the concept of linguistically theoretical background in the context of an applied domain of education and training. Halliday argues that "my interest in linguistic questions is ultimately an 'applied' one, a concern with language in relation to the process and experience of education" (1978, p. 5). Baker holds a similar view on translation, arguing that modern linguistic theory can provide the field of translator training with a guide to decisions required in the course of translation to perform effectively (2011, p. 4).

The same concept can also hold for the ordering of the research phases. The training study is carried out to yield the desired result after SFL proves useful in translation assessment. This view is found in Wilss' (2004) argument that in order to eliminate the danger of subjectivity in TS, the researcher should not do what s/he thinks right in her/his eyes unless her/his research yields established results on which the next generation of researchers and students can build. Doing this experiment in a university environment is perfectly understandable. Malmkjær, to this effect, points out that "the position of translation programmes in universities implies a strong emphasis on education as well as on training and on research application as well as professional practice" (2004, p. 2).

The question arises here as to what relation this training phase might have to the previous phases of the research model. According to Holmes' map (see Figure 2.1), this phase is located within Applied Translation Studies (henceforth ATS). This means that the research respectively touches upon the two main branches of TS: the pure and then the applied. Accordingly, this phase largely falls within the discipline conventions and literature. Holmes points out that the TS branches are plainly distinct, the importance of one branch to another being unidirectional, i.e. "translation description supplying the basic data upon which translation theory is to be built, and the two of them providing the scholarly findings which are to be put to use in applied translation studies"

(1972/2000, p. 183). For example, TQA models, argues Hönig (1998a), are important if they are properly chosen, as they establish the authority of the trainer, motivate the trainees, implicitly define the didactic approach and set the standards for good translation. In brief, this phase of the combined research model can map the interface between assessment and training in the interest of examining the viability of applying SFL to English-to-Arabic translation of fiction.

Approaching these studies theoretically, Holmes argues that four kinds of translation theories are required: three *non-normative* theories (theory of process, product and function) which provide models by which existing situations are analysed, and a *normative* theory, that of translation didactics, which attempts to decide how to train translators as they have to be trained (1988, p. 95). Lambert in this regard argues: "The moment the pedagogics is situated somewhere in a model for (the applied branch of) the discipline, the traditional binary relationship between theory and practice become outdated: there is a need for inter-action between **research, theory and teaching**" (1996, p. 271, emphasis added). He believes that the field of language teaching and research needs "new models for observation, analysis, action – and teaching" (*ibid.*, p. 275). Similarly, Cheung (1996) argues that one effective way of enriching the discussion on translation is testing the usefulness of theory through incorporating DTS in translation teaching.

Approaching translation from an educational perspective is of paramount importance. There is a common argument that translators continue to translate the way they are taught to translate (Anderman, 2007, p. 53). Targeting the academic field will increase the worth and usefulness of the research findings. In other words, if the research were limited to the assessment purpose, the validity and utility of SFL in English-to-Arabic translation would not be rightfully questioned and enhanced unless it were applied in the real situation of teaching and training. This marriage between the two desired purposes of assessment and training should raise the value of the research contribution to the field of TS. Another justification has to do with the enlargement of the participation in the research. The students taking part in the empirical study, the rater,

the double-checker and the model translation provider all contribute to the possible findings and enhance the reliability of the research findings.

7.2 A Concise Review of Literature

Before continuing with the analysis of this translator training experiment, the literature on translation training with its schools and approaches will be briefly reviewed. This review of literature is marked by brevity as the research does not exclusively investigate translation training; the translator training experiment constitutes only one phase of a three-phase combined research model. This section will first shed some light on the concept of translation training and teaching. It will then briefly consider the different translation training approaches. It will finally go on to review some Arabic-English-Arabic translator training experiments.

7.2.1 Translator Training

Training, in its broadest sense, is a specific-oriented process that aims at "preparing people to cope with problems anticipated in advance and amenable to solution by the application of formulae" (Widdowson, 1984, p. 207). Translation training as an applied field of study brings together features from TS and education. Certainly, translation is an ancient human activity, but translation training is not. Kelly points out that translation training began to be a phenomenon in the mid-twentieth century (2005, p. 8). Since then, the interest in translator training has gathered a great deal of momentum in TS. This is expected as long as Lederer's approach: "translation not only *can* but *should* be taught" (2007, p. 17, italics in original) is widely adopted. In keeping with this view, Kussmaul argues that "the training of translators should be institutionalised and given a sound methodological basis" (1995, p. 2).

At this point, a distinction should be made between two notions related to the teaching of translation. Kiraly (2000, p. 13) distinguishes 'translation competence' and 'translator

competence' whereas Bernardini (2004) differentiates, in general terms, between 'training' and 'education' as parallel terms. Both draw extensively on the factors of pedagogy and purpose to frame their distinction. Kiraly points out that *translation competence* involves learning specific skills to produce acceptable TTs, while *translator competence* involves acquiring the ability to understand specialised STs and produce acceptable translations for special TLRs and joining specialised and technical communities of educated users of several languages (2000, p. 13). Referencing Widdowson (1984), Bernardini (2004), states that training, in general terms, aims to prepare the trainees to solve problems through applying pre-set procedures. Bernardini (ibid.) points out that education, in translation-related terms, aims to acquaint the translators with the cognitive capacities to develop three different abilities: critical ability (awareness), the ability to practice, store and use different translation procedures (reflectiveness) and the ability to utilise different resources as the need arises (resourcefulness). Pym effectively summarises the distinctions between them:

‘Training’ is thus associated with the mostly linguistic) skills needed to produce an acceptable translation (‘translation competence’), the acquisition of which will always be a combination of instruction and practice. (...) ‘Translator education’, on the other hand, recognises the need for students to acquire a wide range of interpersonal skills and attitudes (‘translator competence’), in addition to the purely technical skills. (2009, pp. 6-7, emphasis in the original)

The discussion about such a distinction is particularly important. Bernardini (2004) argues that this distinction helps trainers or teachers to set their priorities according to the trainees' or students' level, be it undergraduate or graduate. She calls for "a reasoned, timely and thought-out balance of education and training" (ibid., p. 27). She goes on to argue that undergraduate courses should provide the students with translation theory and practice, linguistics and language, supplying them with the required translation-related capacities of *awareness*, *reflectiveness* and *resourcefulness* (ibid.).

At this point, the distinction will be taken a stage further to look at the difference between translator competence and professional translator competence. In translation-didactic respects, Beeby (2004) situates the concept of professional translator competence in the context of the degree programme designed to train professional translators. Professional translators can be identified in relation to different capacities they may or should have (PACTE, 2000). PACTE (*ibid.*), standing for Process of Acquisition of Translation Competence and Evaluation, is a research group that defines, measures the acquisition of and sets teaching proposals to teach six different *translation competences* of professional translators: (1) *communicative competence in two languages* (the underlying linguistic knowledge of both languages), (2) *extra-linguistic competence* (general world, cultural and specific knowledge), (3) *instrumental-professional competence* (the knowledge and skills related to the tools of the trade and the profession), (4) *psycho-physical competence* (the ability to use all kinds of cognitive, attitudinal and psychomotor resources), (5) *transfer competence* (the ability to understand or decode the ST and produce or encode the TT) and (6) *strategic competence* (the individual procedures used to solve the problems during the translating process).

Kelly (2005, pp. 38-9; 2008, pp. 73-5) proposes another set of competences, which she refers to as translator competences. These are, according to Kelly (2008), *communicative and textual competence* (active and passive skills in both languages and awareness of *textuality*⁶⁵ and discourse conventions in both languages) *cultural and intercultural competence* (knowledge of values, myths, perceptions, beliefs, behaviours and how they are textually represented), *subject area competence* (basic knowledge of subject areas the students will work on in the future), *professional and instrumental competence* (the use of documentary resources and various related technologies involved in the career of translation), *attitudinal competence* (self-concept, self-confidence, attention, memory and initiatives) *interpersonal competence* (ability to work jointly with professional translators, researchers, clients, authors and alike) and

⁶⁵ Textuality refers to the complex linguistic set of features available in any text that reflects certain social and communicative constraints (Neubert and Shreve, 1992, p. 70). With reference to translation, "Textuality integrates translation procedure and world knowledge with the text as a product" (*ibid.*, p. 69).

strategic competence (organisational, planning, problem-solving, monitoring, self-assessment and revision skills). These competences, however, are not considered in designing the present translator training experiment, which targets an English language degree programme offering courses in English language skills, linguistics, literature and translation, not a long-term degree programme basically designed for professional translators.

Resting on the assumption underlying the above argument, the current experiment more likely involves translation training rather than education, though the training programme (see appendices 15 and 16 for the training course) embeds one notion inside the other. As training, it is entirely based on SFL as fully-fledged theoretical knowledge exploited to analyse English STs and produce functionally successful Arabic translations. As education, the students of the experimental group were provided with heightened awareness of assessment issues through presenting them with some translation shift analyses drawn from real English-to-Arabic translations of fiction. They were able to assess simple translated extracts and locate, in simple systemic functional terms, the possible shifts. In this respect, Pym points out that students "do not simply absorb linguistic information; they have to be taught how to locate and evaluate information for themselves" (2009, p. 7). In terms of reflectiveness, the students were able to practice and use the more specific strategy of analysing the ST metafunctionally and produce TTs through applying the SFL-informed knowledge, such as dividing the text into different types of clauses and defining the Logical Relations between them. In terms of resourcefulness, the students were able to use their newly-learned SFL competence in analysing, assessing and translating.

7.2.2 Translator Training Approaches

Before setting the scene for the translator training experiment and the approach adopted, translation training approaches and theories in the literature will be reviewed. Kelly (2005, pp. 11-8) smartly presents some major approaches to translator training. In what follows, the major translation training approaches will be sketched and chronologically ordered. The first date (if it exists) represents the first occurrence of the approach.

These are: Nord's (1991; 2005a; 2005b) profession-based and learner-centred approach, Vienne's (1994) situational approach, Gile's (1995/2009) process-oriented approach, Kiraly's (1995) theoretical-based multidisciplinary-informed approach, Kussmaul's (1995) psychological-pragmatic and process-oriented approach, Hatim and Mason's (1997) text-type approach, Kiraly's (2000) social constructivist approach, Hurtado's (2007) and Kelly's (2005) competence-based approach and Lederer's (2003/2007) interpretive approach.

1. Nord (2005b) adopts a profession-based, functional-inspired translator training approach. She opts for the validity of applying text analysis not only in translation but also in teaching translation (2005a, p. 155). In addition, she assumes that linguistic and cultural competence should be perfect and taught to the translator before engaging in translation training programmes; what is really required to be a professional or functional translator is not only a series of communicative functions, but notably *metacommunicative competence*⁶⁶ (ibid.).
2. The situational approach to translator training basically demands that translation teachers do a series of translation tasks themselves and discuss them in the classroom to present the translation process in a more realistic way (Kelly, 2005, p. 14).
3. Gile's approach to translator training is process-oriented. He clearly states that "in the classroom, trainers should focus on the Translation process, not on the end product" (2009, p. 14). He goes on to argue that instead of testing students, commenting on their products as being right or wrong and suggesting suitable solutions, trainers should identify the possible problems in the process and suggest good translation principles, methods and procedures to overcome these problems (ibid.).

⁶⁶ According to Nord, metacommunicative competence in translation refers to "the knowledge about how the two languages and cultures work and where the differences lie that make it impossible just to 'switch codes' in translation" (2005b, p. 212, emphasis in the original).

4. Kiraly favours a multidisciplinary theoretical-based and cognitive-informed approach to translator training (1995, p. 37). Kiraly carries out his empirical work using a talk-aloud or think-aloud protocol (ibid., 39). He reckons his work an attempt in the effort to delve into translation behaviour globally (ibid., p. 52). He calls for "a descriptive translation pedagogy, a pedagogy based on the accurate theoretical description of translation practice" (ibid., p. 3). He points out that training classes should develop the trainee's ability to associate SL and TL elements and harness suitable translation strategies to overcome the potential problems (ibid., p. 97). Therefore, he places special emphasis on error analysis as "a significant teaching resource" (ibid., p. 111). He goes on to argue that translator training should aim at developing the translator's self-concept and a functioning translation monitor (ibid.).
5. Kussmaul's prime concern in his error-inspired research is "to find out more about what goes on our students' minds" (1995, p. 5). This is why he develops a process-oriented approach to translation training, employing a psycholinguistic (or think-aloud protocols) method for the collection of data (ibid., p. 7) and adopting pragmatic analysis (textlinguistics, situation, communicative function, culture, text type and text function) as a didactic approach (ibid., chapter 3). Didactic process-oriented implications in translation training, argues Kussmaul, should involve: (i) making the students fully aware of the analysis of the pragmatic dimensions as this helps the students produce a 'functioning' translation (ibid., p. 82) and (ii) emphasising the dynamicity of the process of comprehending the ST; it is "an interplay between our knowledge, our experience and our expectations on the one hand and the linguistic utterances we hear or read on the other" (ibid., p. 92).
6. Inspired by *textlinguistic theory*⁶⁷, Hatim and Mason call for designing a text-type translator training curriculum (1997, p. 179). The type of text is either characterised by its rhetorical purpose, such as *to argue* or by its form that

⁶⁷ Textlinguistics is "the study of text as a communicative event rather than as a shapeless string of words and structures" (Baker, 2011, p. 4).

demonstrates different register variables, such as technical/non-technical, spoken/written (ibid.). Any text captures a classification of a certain type depending on its dominant rhetorical purpose, Hatim and Mason, however, make it clear that all texts are hybrids⁶⁸ (ibid.). Their main justification for employing the text-type approach in translator training lies in their working hypothesis that text type is inextricably linked with the actual process of translation (ibid., p. 181). In translator training, they place special demands not only on the translators' basic lexical and grammatical knowledge of both languages, but more crucially on their "awareness of the socio-cultural issues in the two languages" (ibid., p. 180). Hatim and Mason argue that these issues appropriately inhabit the noted notion of language in use whereby text meets context, and thus, translator training programmes should address text type "which provides the essential link between text and context" (ibid., p. 181). In her explanation of the different theories adopted in translator training, Lederer (2007) argues that the text-type approach is basically devised to shift the attention from translating languages to translating texts whereby words take their meaning from the context. For example, translating a literary work can prove useful after it is completely read, but not if the words are only looked up in dictionaries out of context (ibid.).

7. Kiraly (2000) builds on a social constructivist viewpoint in designing his translator educational approach. The basic idea of this approach lies in participation and classroom interaction which create meanings and construct knowledge (ibid., p. 4). The overriding goal in educating the translation students using this approach is "raising students' awareness of the factors involved in translation, helping them develop their translator's self-concept" (ibid., p. 49). The teacher's role here is confined to facilitating the process of translation and creating a collaborative learning environment (ibid., p. 35). This approach provides an incentive for raising translator competence, defined here as "a

⁶⁸ Referencing Beaugrande and Dressler (1981), Hatim and Mason look at the nature of texts as having different dominances in given purposes or contextual focuses (1990, p. 146). Nevertheless, they emphasise the hybrid nature of text, in that "a perceptible dominant focus is always present while other purposes remain subsidiary" (ibid., p. 147).

creative, largely intuitive, socially-constructed, and multi-faceted complex of skills and abilities" (ibid., p. 49). The social constructivist approach hosts and reconciles the following key principles (ibid., pp. 36-47):

- a. **Collaborative learning:** This refers to the joint accomplishment of task that subserves learning in two directions: making-meaning on the part of the group and professional knowledge on the part of individuals.
- b. **Appropriation:** This, in general terms, is a learning process which involves internalising socio-cultural knowledge. More technically, learning should follow an interactive rather than a transfer construction of knowledge.
- c. **Zone of proximal development:** This is fundamentally based on the idea that learning only actualises through interacting with people in the environment and cooperating with peers. The yardstick here, however, is the adequacy of help and guidance provided by the teacher; neither too little nor too much.
- d. **Learning through authentic action:** This means that learning knowledge of truth will effectuate greater success if extracted through applying a dynamic process of meaning-making rather than passing on the teacher's own experience.
- e. **Viability:** This, in its widest sense, refers to the individuals' continuous process to maintain constructions of reality and experiences in their minds so long as they work for them. More precisely, *viability* is a dynamic process of creating plausible ways of functioning efficiently regarding physical reality and the socio-cultural environment.
- f. **Scaffolding:** This refers to the support provided by the teacher (in the form of hints or exemplary completion, for example) to help learners in constructing their mental models. In this case, the teacher plays a supportive role marked by guidance.

8. Competence-based training (henceforth CBT) is an integrated teaching, learning and formative assessment approach (Hurtado, 2007). It can be traced back to cognitive-constructivist and socioconstructivist learning theories, and this unquestionably influences the learning techniques involved, such as cooperative, problem-based and task-based learning techniques (ibid.). Referencing Lasnier (2000), Hurtado (ibid.) points out that the definition of competence in the CBT perspective is associated firstly with knowing the capabilities and skills of how to act integrally in the cognitive, affective and psycho-motor domains of learning and secondly with how *declarative and operative knowledge*⁶⁹ of translation competence is used efficiently in similar situations. This approach adopts the PACTE (2000) categorisation of translation competence (see section 7.2.1). Hurtado (2007) proposes a profile covering in further detail the methods of teaching and assessing the six translation competences.

Closely related is Kelly's (2005) approach for translator competence training. This model is basically inspired, argues Kelly, by the progressive trend with student-centred learning as a replacement for the traditional teacher-centred learning (ibid., p. 33). This model is essentially valid for general higher education institutions, and designed for full undergraduate training programmes (ibid., p. 38). The set of seven translator competences are listed above (see section 7.2.1). Way (2008) adopts Kelly's (2005) approach to translator competence and notes that competence-oriented training has become widely accepted as this agrees with the gradual move to replace outdated teacher-centred approaches to training with student-centred approaches, fitting technically with the concept of translator competence. Way incorporates Kelly's seven translator competences in a self-assessment record sheet given to students to complete and discuss with their teacher at the beginning of each translation course, throughout the course and prior to the final exam (see Way, 2008, pp.96-9). In Kelly (2008),

⁶⁹ Declarative knowledge is a *know-what* controlled process acquired through exposition, while operative or conceptual knowledge is a *know-how* automatic process acquired through practice (Hurtado, 2007).

she suggests her set of translator competences to assess the students' progress during the *mobility programme*⁷⁰ for training translation students.

9. Lederer (2007) founds her translator training approach on the translated-oriented interpretive theory of translation, which is based on the psychological motivation of understanding the ST and producing the TT on the basis of their discourse and function. This theory, as its name suggests, is more obvious in case of interpreting than in translation as translation and interpreting vary in the environment of production and reception (Lederer, 2003, p. 12). However, the principle remains the same: "Competent interpreters are capable of grasping the whole sense of a discourse and of transmitting it" (ibid., p. 10). This view can also be seen in Eco's statement: "translation is a species of the *genus* interpretation, governed by certain principles proper to translation" (2001, p. 80, italics in the original). Obviously, the text is seen in light of this theory as the unit of translation. The two main principles featuring the interpretive theory of translation are *cognitive inputs* and *sense* (Lederer, 2007). Cognitive inputs unconsciously shape the way native listeners and readers understand not only the linguistic knowledge of the text, but also the extralinguistic knowledge or background information, such as situation, context and world knowledge (ibid.). Sense is the representation of signs in a text (Lederer, 2007). It is "what an author deliberately wants to communicate" (Seleskovitch 1984, cited in Lederer, 2003, p. 16). Lederer highlights Sartre's (1985) statement that "sense is not the sum of words, it is their organic whole" (2003, p. 14).

The translator, argues Lederer (2007), should use her/his cognitive ability as a reader to understand the intention of the ST and at the same time enable the TLRs discover and interpret the concepts, facts, arguments and emotions of the TT according to their own relevant knowledge and motivation the same way as SLRs. The translator-to-be, argues Lederer (ibid.), should play the role of

⁷⁰ The mobility programme (referred to the Tamcu project) was coordinated by Kelly and others from 2003 to 2006, involving both students and staff of modern languages and culture studies from some European countries in study-abroad contexts (Kelly, 2008).

reformulating the sense as the original in the TT. This reformulation, argues Lederer (2003, p. 44), is made at the level of *equivalence* (between texts), not at the level of *correspondence* (between linguistic elements). Lederer (2007) argues that producing sense in translation can be maintained through the strategy of *idiomatic translation*. She references three main views in the literature supporting this strategy in translation. Nida states that two languages differ in the meanings associated to symbols and the way these symbols are structured, and consequently "it stands to reason that there can be no absolute correspondence between languages" (1964/2000, p. 126). Delisle, as referenced by Lederer (2007), argues that the reproduction of meanings of the ST can be accomplished through applying equivalent ways of conveying these meanings using the expressive resources available in the TL. Chesterman (in Chesterman and Wagner, 2002, pp. 9-10) upholds the use of the technique of *deverbalisation*⁷¹ to arrive at idiomatic translation. Using this technique, argues Chesterman (ibid.), professional translators need to grasp the intended meaning of the ST and then process it in their own words in the TT without paying attention to manipulating the ST structures. Lederer does not look at this as a technique but as a cognitive process (in this case a part of translation process) by which modes of expression in the TL are not influenced by the SL (2003, p. 13; 2007). It should be clear that understanding the sense of the ST and reformulating it in the TT should not be confused with explaining or commenting on the text as these will transgress the boundaries of *sense* (Seleskovitch 1984, cited in Lederer, 2003, p. 16). Another objection to adopting the reproduction of sense in translation is the possibility of misusing this technique or overstepping its boundaries on the part of the translator through ignoring the limitations of the ST language meanings (Lederer, 2003, p. 15).

According to Lederer (2007), the implications of the interpretive theory in translator training centre around the following principles:

⁷¹ Deverbalisation simply means reformulating the discourse in different words (Lederer, 2007).

- a. Interpreting sense can be mapped onto translator training by selecting incontestably clear texts which pose no difficulty in understanding their sense. Such a rational selection accelerates the didactic progression.
- b. Reading and analysing the ST is necessary to grasp its sense. This can be done through discussion exercises after reading aloud using the technique of deverbalisation. In addition, the reading and analysing stage summons up the relevant knowledge about the text via a consideration of all the extralinguistic factors. This stage should raise issues pertaining to the text type structures and strategies (intratextual analysis).
- c. The interpretive approach to translator training can be applied in three fields: teaching translation methodology, selecting teaching material and assessing trainees' work.
- d. The assessment is made on the basis of comprehending the ST, applying the interpretive methods of translation and reformulating the TT.

7.2.3 The Current Approach to Translator Training

After reviewing the major translator training approaches in the literature, discussion will now turn to outlining the theoretical concepts purposely adopted and eclectically employed in the present translator training experiment. Keeping in mind the central aim of introducing the students to SFL and how effectively it applies to English-to-Arabic translation of fiction, considering the short period of time permissible to carry out this training experiment (12 weeks), and taking into account the limited availability of the targeted sample of the final-year Arab university students (majoring in English), the training experiment necessarily takes on an eclectic task-oriented approach. In addition to the operational conceptual framework (see section 4.2.3.1), the present approach draws predominantly on three main broader concepts: the importance of theory, the usefulness of linguistics and textlinguistics and the development of translational self-awareness and responsibility. In what follows, each concept will be briefly discussed and traced in the literature.

Throughout this work, theory has been emphasised in several circumstances, discussed at various places, defined from various points of view and approached from different angles (see, for example, sections 3.1, 3.2.5, 3.3.2, 3.3.3 and 5.8). The new angle from which theory is concerned here is related to translator training. The theoretical concepts in question are not translation-oriented in their own right. In other words, the point not to be overlooked here is that no claims are being made about teaching topics like translation strategies, techniques, schools, problems, solutions, etc. in this experiment. Rather, the SFL-based theoretical knowledge along with its application in translation is the crux of the matter for the experiment. Baker clearly points out that theoretical knowledge should not be sought after per se unless it is plausibly applied in a practice-motivated environment (2011, p. 2). In the most general terms, theory in training, argues Bartrina (2005, p. 177), is not a desired outcome itself, but it is taken as "a starting point for the adoption of the methods required to ensure continuous learning". The experiment merits the use of SFL knowledge as a standpoint from which a better understanding of the English text (in this case fiction) can be gained and a better Arabic translation can be produced. Theory for university students should foster their enthusiasm for learning and practice because it increases their awareness of methodology in translation and enables them to defend and justify their translation decisions (Bartrina, 2005).

It is a widely held view that linguistics provides basic practical aids required in the practice of translation. The feasibility of SFL in translation has been previously discussed at greater length (see, for example, sections 3.3.2 and 3.3.3). Baker, with reference to training, states that "modern linguistic theory can provide a basis for training translators and can inform and guide the decisions they have to make in the course of performing their work" (2011, p. 4). She goes on to argue that linguistics, along with its sub-disciplines such as textlinguistics and pragmatics, has a great deal to offer to TS as well as valuable insights for the translators in relation to the nature and the function of language (ibid.). Taking a slightly different view, Snell-Hornby (1992) accentuates the essentiality of language competence in translator training over modern linguistic knowledge, which she sees only in part relevant for translator training. In

discussing the contribution of linguistic methodology in translation, Levý supports the use of the functional approach in the theory and practice of translation because it mainly deals with the informative-communicative functions of SL elements and the corresponding means performing the same function in the TL (2011, p. 10). The present approach to training concurs with Hatim and Mason's textlinguistic and text type approach, which emphasises the importance of register variables and text type as providers for language in use. Consistent with this view, Snell-Hornby (1992) emphasises the importance of translating not languages but texts which are realised within a situational and socio-cultural environment. The importance of the linguistics-oriented theoretical background can be also seen in Ingo's (1992) fundamental aspects of translator training. He emphasises that translation students need to learn how to solve translation problems regarding four fundamental aspects: grammatical structures, linguistic variety (especially style), semantics and pragmatics.

The SFL model inhabits most of these areas where meaning choices reside immediately in lexicogrammar and operate broadly in wider strata (see Figure 3.2). In fact, most approaches reviewed above, which are mostly applied in long-term programmes, discuss competences, methods, process, cultural factors and so on; however they do not place special demands on linguistic or lexicogrammatical competence in translator training. A good example is Nord (1991; 2005a; 2005b) who assumes that linguistic competence should be perfect before joining any training programme. But the argument here is that acquainting the final-year Arab university students (majoring in English) with new linguistic knowledge of SFL within a short period of time (12 weeks) will make them aspire towards a more effective understanding of the English STs and more productive metafunctional Arabic translations.

The concept of self-awareness and responsibility in translator training refers to "the development of students' attitudes towards other translations and, accordingly, to their own translations as well" (Orel, 1996, p. 131). Orel (*ibid.*) makes it clear that

responsibility here does not match Nord's *loyalty*⁷²; it is rather a responsibility of students towards themselves. This can be achieved, argues Orel (ibid.), through using existing translations into the students' mother tongue (especially literary translations) to stimulate discussions working in two directions: (i) psychologically, in moving from known (the existing translations) to unknown (the production of new translations), students will be depressurised by existing knowledge, and (ii) textually, such discussion will create an empathetic response with the translator's choices as well as the TLRs. In conformity to this view, Hönig firmly states that "translator training must sharpen self-awareness while at the same time building up students' self-confidence" (1998b, p. 8). Students, argues Pym (2009), should learn how to evaluate information for themselves. In this particular experiment, this concept is mirrored through engaging the students in assessment tasks of ascending difficulty (see the appendices from 15 to 18 for the tentative training course and the initial and final exams). In this respect, Mason stresses the concept of "standardisation and consistency of grading in translation testing" (1987, cited in Bnini, 2007, p. 4).

7.2.4 A Review of Some Translator Training Experiments

On the face of it, the coverage of the previous studies in the area of translator training cannot be exhaustive, essentially because research in English-to-Arabic translation in this field is still sparse. The intention, however, is to give an idea of the accessible orientations of translator training between these languages. To this effect, three doctoral studies are found to address the field of translator training empirically. The common thread running throughout these three studies is examining the feasibility and effectiveness of well-established theoretical models in the translation literature in training translators. The discussion in what follows will outline these three PhD studies, drawing a comparison between them and the present training experiment.

⁷² Loyalty is generally defined from Nord's functionalist perspective as a "moral principle indispensable in the relationship between human beings, who are partners in a communication process" (2005, p. 32). More specifically, Nord argues that translators are bound to keep themselves responsible for and loyal to the ST and its author as well as the TT situation and its readers (ibid.).

Bnini conducted his 2007 PhD research to examine the effectiveness of the general approach of textlinguistics in teaching translation. More specifically, he designed his experiment to explore the viability of incorporating context, discourse, register and Genre insights into translator training (ibid., iii). The theoretical framework, translation criticism and translation practice based on these notions in textlinguistics were taught to final-year undergraduate students of English language and literature in Morocco, and the awareness and the assimilation of the same notions were measured through a series of pre- and post-tests, followed each by individual interviews with both those who successfully and unsuccessfully translated the translation point in question (ibid., iii, pp. 143-6 and pp. 149-50). The experiment was presented officially as a translation course in the students' study plan, using teaching materials compiled from Hatim and Mason (1990; 1997) and House (1997), and following, in the main, three procedural stages in designing the lessons: preparation, which included pre-translation activities, development, which included developing the students' rational and more conscious translational competence, and independent application, which included studying translated texts and practising translating texts (ibid., pp. 143-6). The study came to the conclusion that text and discourse analyses were useful in understanding the ST more deeply, and thus toning down the presence of unjustifiable literal translations (ibid., pp. 208-9).

Motivated by some principles and tools drawn from *critical linguistics*⁷³ and discourse analysis (such as corpora), Najjar set out in his PhD research to design and examine a curriculum for training Arab translators (2008, ii). The overall hypothesis was simply that TS-based theoretical translator training programmes yield better results than do the classical non theory-based programmes (ibid., p. 10). Twenty-five Arabic-speaking undergraduate students from al-Quds University of Jerusalem (majoring in English) participated in the training experiment (ibid., pp. 116-7). The experiment was divided into three phases each involving 10 text exercises taken from Fowler's 'Linguistic

⁷³ Critical linguistics or critical discourse analysis is defined as: "The analysis of language use with the aim of discovering concealed ideological bias, and underlying power structures" (Hatim and Munday, 2004, p. 337).

Criticism' (1996), and each covering one central issue in critical linguistics and discourse analysis, such as text type, context of situation, CDA, Genre, ideology, pragmatics. The experiment involved two consecutive 16-week-course terms (3 classes a week), and it followed the order: (i) translating a text as pre-theory activity (mainly literary texts), (ii) discussing some translations (during which TAPs were used), (iii) conducting interviews with some students, (iv) teaching the theoretical point, (v) translating a text as a post-theory activity (during which TAPs were used), (vi) conducting interviews with some students (*ibid.*, pp. 107-24). The study concluded that "the more the translator is aware of the grammatical, linguistic, stylistic, situational, and cultural backgrounds the better the performance" (*ibid.*, p. 137).

In her translator training programme which was run over a shorter period than the above studies, Manna (2011, pp. 88-90) carried out her experiment using the effective method of drawing a comparison between a control group and an experimental (or trained) group of Arabic-speaking translation masters students in two different institutions in Syria and Jordan. The general aim was to test the effectiveness of a composite translator training model (consisting from Dickins, Hervey and Higgins' (2002) textual matrices and Bolaños' (2002) dynamic translation model) to improve the performance of English/Arabic/English translation of journalistic texts (*ibid.*, p. 6, 91). The teaching material was selected from Dickins, Hervey and Higgins (2002), mainly the first eight chapters, and taught to the Syrian trained group within a period of 20 hours over one month (*ibid.*, p. 4, 102). Two exams were carried out (initial and final exam) to collect the data about the performance of each group (*ibid.*, pp. 94-5). The errors were categorised according to a seven-category classification model: lexical, cohesion, grapheme, morphological, phrasal, punctuation and syntactic errors (*ibid.*, pp. 118-9). Manna concluded that the performance of the experimental group improved significantly in English-to-Arabic translation as compared with the control group (*ibid.*, p. 243).

Returning now to the present empirical study with new eyes, the above review of the previous studies in the field will contribute a wealth of hands-on comparative material.

In agreement with the above studies, the present study is triggered by the general aim of examining whether the English-to-Arabic translation performance of university students improves after carrying out a training programme based on theory of some kind. Central to the collection of data in an academic context is the indispensable guide of pre- and post-tests to the measurement of the impact of the training material on the students' translation performance. On the operational level, significant differences obviously arise. Firstly, the previous studies make use of some theoretical points drawn from the literature on translation theory, addressing mainly ways to analyse the status of the ST and the environment in which it is produced, and the strategies suggested to cope with the difficulties found in the ST or solutions proposed to alleviate such difficulties in translation. The present translator training study, by contrast, takes a more robust linguistic approach to achieve a better metafunctional understanding of the English text and a better production of a metafunctionally equivalent Arabic translation. The immense importance of SFL, (especially the metafunctions) in the analysis of the English ST, and thus in the synthesis of the Arabic TT is largely demonstrated on various occasions (see, for example, sections 3.2.4.5, 3.3.4, 5.4 and 5.5). Secondly, the text type in the current study is prose fiction while none of the above studies concentrates solely on this text type. The importance of considering a specific text type in translation and in training, in particular, is discussed several times in this work (see, for example, sections 3.2.4.1 and 7.2.3). Thirdly, and perhaps more obviously, the above studies concentrate entirely on translator training as the only topic of research whereas in the present study training constitutes only one phase of a three-phase research model. This presents another serious challenge to this large-scale research, and therefore, formidable demands of integration and connection have to be met.

7.3 Data Collection

To collect the data of the translator training experiment, a set of three tools are employed: a pilot exam study, an initial exam and a final exam. The pilot exam was carried out on two volunteer students studying on the translation MA programme in the

School of Languages, Cultures and Societies, The University of Leeds. One student was given a copy of the initial exam and the other a copy of the final exam (for the results, see appendix 19). The pilot exam study was conducted to achieve three purposes related to the test validity and reliability, suggested by Angelelli (2009, p. 18). The first purpose was to check the test setting and the physical conditions under which the experiment exams were to be administered. This was intended to help to eliminate any problems in reliability and neutralise any possible variations in performance related to environmental factors. To this effect, the pilot exam was carried out in the library of the University of Leeds where the participants did the exam in a quiet place. The second purpose was to check the efficiency of the exam presentation guidelines and instructions given to the participants. The two students were easily able to understand these instructions. The way the questions are presented is logically smooth, i.e. moving from the easiest to the most challenging, which is the translation exercise. This helps to avoid "unanticipated difficulty for candidates" (ibid., p. 20). Further, the participants were provided with bilingual dictionaries and they were told that they were free to use their own. The third purpose had to do with observing the time devoted by each participant to each question as well as checking the adequacy of the time allotted for completing the entire exam. The 75 minutes assigned to completing the exam was found to be adequate; one participant finished in an hour and the other took about 65 minutes to complete the exam.

The initial and final exams constitute the main sources of the empirical data of the study. The present exam basically meets three qualities of a good test mentioned in Angelelli (2009); validity, reliability and task authenticity. The test is valid when it examines how far test users can collect data and infer about the participants' abilities based on the test results (ibid.). This can be achieved through "the clarity and appropriateness of the test construct" (ibid., p. 16). In this respect, both exams scores truly reflect the intention of the exam, which is to measure the competency of the abilities of assessing and translating English fiction according to the SFL-based knowledge. Reliability, in its simplest sense, refers to "the amount of consistency of test measurement" (ibid., p. 17). This means that the test is reliable if, as argued by

Bachman and Palmer (1996, p. 20), two forms of the test are employed interchangeably and still do not make any significant difference to a particular participant. In fact, each participant in the control group takes both tests (the initial and final) in this training experiment, and the scores, as will be presented shortly in this chapter, show a great deal of similarity. Task authenticity refers to "the degree to which tasks on a test are similar to, and reflective of a real world situation towards which the test is targeted" (Angelelli, 2009, p. 20). The exams in question measures two main abilities required by each provisional translator at the university level: assessing and commenting on short translated extracts and translating a longer extract into the participant's mother tongue. Therefore, there is a need to define the operational construct that captures the sub-components of the abilities examined by this experiment.

7.4 The Scoring Rubric

In order to score an exam in the most objective way possible, a researcher or exam designer needs a tool assessing the construct of the intended competency. As opposed to the *norm-referenced* test, which is developed to assess professional translators or those who have graduated from translation programmes, and provides a broad indication of a comparison nature, this exam is *criterion-referenced*. It thus produces information describing how far the participants meet the skills and behaviours determined in advance (Angelelli, 2009, pp. 15-6). The exam is neither certification-based nor is it a comparison-oriented; it is rather a training-governed exam. There is a need then to define those criteria forming the sub-competences sought after in this translator training experiment. This can be ideally accomplished through a rubric specially designed to define accurately the framework of the operational assessment construct capturing and measuring the different levels of the SFL-based translation knowledge, abilities and skills involved in the experiment. A rubric is a "document that articulates the expectations for an assignment by listing the criteria or what counts and describing levels of quality from excellent to poor" (Reddy and Andrade, 2010, p. 435). A rubric involves three features: evaluation criteria, quality definitions and scoring

strategy (ibid.). Accordingly, the current rubric will be divided into different SFL-based aspects contributing to the main competences in the experiment: assessing short English-to-Arabic translated fiction extracts and translating a longer extract of English fiction into Arabic.

Before proceeding to the design of the assessment rubric, it is useful to review some empirical research studies on the use of rubrics in TS. Angelelli (2009) proposes a scoring rubric for developing a guide for translation research and developing assessment for certifying translators. Focussing primarily on overall communicative competence, Angelelli divides translation competence into four sub-competences: linguistic-level competence, textual competence, pragmatic competence and strategic competence. The certification exam for ATA (American Translators Association) emphasises in its publication "Translation: Getting It Right" the inclusion of three translation sub-competences: comprehension of the ST, translation strategies or techniques (including the cultural and pragmatic aspects) and the writing technique (or the style) in the TL (Durban, 2011). Khanmohammad and Osanloo (2009) conveniently review some important studies on the use of rubrics for translation assessment. The most important rubrics reviewed in their article will be summarised in the following table.

The Initiator	The Year	The Central Focus	The Assessment Criteria
Farahzad	1992	The product (at the text and sentence and clause levels).	<ul style="list-style-type: none"> - A text-based rubric includes the criteria of: accuracy, appropriateness, naturalness, cohesion and style of discourse/choice of words. - A sentence and clause-based rubric includes: accuracy and appropriateness (which capture the sub elements of: sentences, main clauses and sub clauses) and cohesion and style (which capture transitional, appropriate use of pronouns, linkages, choice of words and grammatical structures).
Sainz	1992	A student-centred correction of translation (the students' translations will be used only as feedback for discussion).	<p>The correction of translations includes five stages:</p> <ol style="list-style-type: none"> 1. Development: understanding and anticipating students' needs. 2. Implementation: providing the students with the correction chart, which includes: mistake, possible correction, source and type of mistake. 3. Monitoring: monitoring the process by the teachers to make adjustments as the course unfolds. 4. Integration: filling in the chart by the teachers. 5. Self-monitoring: checking the progress in the course by the students themselves in order to develop their critical skills about their learning.

The Initiator	The Year	The Central Focus	The Assessment Criteria
Beeby	1996 and 1997	Competence-based translation	Beeby's rubric for marking a translation exam comprises nine translation elements: headlines, typography, transfer competence, discourse competence, syntactic differences, relevance, lexical errors, cultural transfer and extra-linguistic knowledge.
Waddington	2001	<ul style="list-style-type: none"> - TQA (establishing the criteria for a good translation. - The nature of translation errors. 	<p>Four methods of assessment:</p> <p>I. Classifying Translation errors into: inappropriate rendering affecting the ST, inappropriate rendering affecting expression in the TL and inappropriate rendering affecting the function of the ST.</p> <p>II. Differentiating between translation errors and language errors.</p> <p>III. Assessing the task of translation as a whole based on a 5-point scale: successful, almost completely successful, adequate, inadequate and totally inadequate.</p> <p>IV. Combining method B (which accounts for 70% of the total result) and method C (which accounts for the remaining 30%).</p>

Table 7.1: Khanmohammad and Osanloo's (2009) review of translation scoring rubrics

The rubric proposed in this study will be purposely divided into four sub-competences corresponding to the different SFL-based assessment and translation abilities covered by the three questions of the test. Stating these linguistic, assessment and translation sub-competences clearly makes them easier to measure. One main step in this direction can be seen in analysing the different abilities manifested repeatedly in different parts of the test. These abilities are adequately covered in the training course. The first sub-competence is the **metafunction-based comprehension of the ST**. This sub-competence involves analysing and understanding the metafunctional components of the ST, identifying the different lexicogrammatical resources used by the ST author to convey the intended meaning and dividing the ST into its constituent clause complexes and clauses in order to assign the unit of translation and define the Logical Relations between clauses. This sub-competence is present in all three questions, particularly question 1 - part 2, as well as questions 2 and 3. The second is the **SFL-based assessment of translation**. This mainly involves finding out the correspondence between the lexicogrammatical resources of both texts, taking into account the way these resources are expressed in the TL system. This sub-competence is reflected by questions 1 and 2 (part 1). The third is **providing a specific functional-oriented justification for choosing the most accurate translation**. This involves using specific

functional analysis and terms, in simple wording, to give a reason for choosing the most accurate translation. This sub-competence is particularly mirrored in question 2 (part 2). The last sub-competence, which carries the highest burden of the assessment construct, as will be seen proximately, is **producing a metafunctionally equivalent TT in the TL system**. This implies using the TL structuring system and stylistic choices to produce a TT which preserves the functions intended by the original novelist. This sub-competence is exclusively covered by question 3. In this respect, Angelelli (2009) points out that linguistic competence, which involves four main aspects – control of vocabulary, morphology, syntax and graphemic knowledge – plays a vital role in communicating meaning in the TL because any breakdown in any aspect will presumably affect the act of translation.

The other step is seen in defining and describing the operational scoring construct in the most accurate manner possible. A continuum on a 4-to-0 point scale will be employed. The zero point is used to maintain credibility and cover all the possibilities in case some questions are left unanswered. This scale grid measures more-to-less successful match reflecting the extent of mastery of each sub-competence. The proportional weight for each sub-competence is approximately determined according to three factors: the pervasiveness of the sub-competence in the exam, the estimated time for covering it in the exam as observed in the pilot exam study and the importance placed on it in the training course and in the study as a whole. The following figure represents the detailed scoring rubric which will be applied by the two raters to both exams for each participant. It is worth mentioning here that there is no substantial correlation between the total score and the total percentage, for the total percentage is cumulative.

Assessment Element (Sub-competence)	Scale Point/Statement of Measurement					Initial		Final	
	4	3	2	1	0	Score	%	Score	%
D) Metafunction-based comprehension of the ST	To demonstrate in all 3 questions a masterful ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions a proficient ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions a good ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions a weak ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions an inability to analyse and understand the metafunctional constituents and configuration of the ST.	4	25%	4	25%
II) SFL-based assessment of translation	To demonstrate in questions 1 and 2 (part 1) a masterful ability to find out the correspondence between the lexicogrammatical resources of both texts (getting 6 correct answers)	To demonstrate in questions 1 and 2 (part 1) a proficient ability to find out the correspondence between the lexicogrammatical resources of both texts (getting 4 or 5 correct answers)	To demonstrate in questions 1 and 2 (part 1) an average ability to find out the correspondence between the lexicogrammatical resources of both texts (getting 3 correct answers)	To demonstrate in questions 1 and 2 (part 1) a weak ability to find out the correspondence between the lexicogrammatical resources of both texts (getting 1 or 2 correct answers)	To demonstrate in questions 1 and 2 (part 1) an inability to find out the correspondence between the lexicogrammatical resources of both texts (getting 0 correct answer)	4	15%	4	15%
III) Functional-oriented justification for choosing the most accurate translation	To provide a strong, specific functional-oriented justification for question 2, part 2.	To provide a good, mostly specific functional-oriented justification.	To provide a satisfactory, functional-oriented justification.	To provide a weak, functional-oriented justification.	To provide an invalid, functional-oriented justification or when it is left unanswered.	4	10%	4	10%
IV) Production of a metafunctionally equivalent TT in the TL system	To produce a complete, metafunctionally creative equivalent TT in the correct TL system.	To produce a complete, good metafunctionally equivalent TT in the acceptable TL system.	To produce an almost complete satisfactory metafunctionally equivalent TT with some mistakes in the TL system.	To produce an almost incomplete, incorrect metafunctionally equivalent TT with many mistakes in the TL system.	To produce an incomplete, invalid metafunctionally equivalent TT with very many mistakes in the TL system or when it is left unanswered.	4	50%	4	50%
Total						16	100%	16	100%

Figure 7.1: The rubric and the scoring grid of the study

7.5 The Initial and the Final Exam Results

The papers of both exams were rated first by the researcher according to the above rubric and the guidelines of the scoring grid. As planned earlier (see section 4.2.3.2), the two tests were rated and double-checked another time by an assistant professor of translation in the department of English at Taif University to ensure sufficient inter-reliability. In fact, there were no significant differences between the two ratings because the scoring grid was detailed enough to make a valid assessment. In this section, the results of both exams will be summarised in tables and visualised in figures for each group: the control group who did not attend the translator training course and the experimental group who did.

Participant's Code	The Initial Exam (CGIE)				The Final Exam (CGFE)			
	Sub-comp. I from 0 to 4	Sub-comp. II from 0 to 4	Sub-comp. III from 0 to 4	Sub-comp. IV from 0 to 4	Sub-comp. I from 0 to 4	Sub-comp. II from 0 to 4	Sub-comp. III from 0 to 4	Sub-comp. IV from 0 to 4
C1	0	1	0	0	0	1	0	0
C2	0	3	0	0	1	1	0	1
C3	0	1	0	0	1	2	0	1
C4	1	1	0	1	0	1	0	0
C5	0	3	0	0	0	0	0	0
C6	0	2	0	0	0	1	0	0
C7	1	3	0	1	1	1	0	2
C8	0	1	0	0	1	3	0	1
C9	0	1	0	0	1	2	0	1
C10	0	3	0	0	1	2	0	1
C11	0	1	0	0	0	1	0	0
C12	0	1	0	0	0	2	0	0
C13	0	1	0	0	0	1	0	0
C14	0	1	0	0	0	1	0	0
C15	0	1	0	0	1	3	0	1
C16	0	2	0	0	0	1	0	0
C17	0	1	0	0	1	2	0	1
C18	0	1	0	0	1	2	0	1
C19	0	1	0	0	0	1	0	0

C20	0	0	0	0	0	1	0	0
C21	1	3	1	1	1	3	1	1
C22	0	1	0	0	1	3	0	1
C23	1	1	0	1	1	1	0	2
C24	0	2	0	1	1	3	0	1
C25	0	1	0	0	0	1	0	0
C26	0	1	0	0	1	1	0	1
C27	0	1	0	1	1	1	0	1
C28	0	3	0	0	1	1	0	1
C29	1	3	0	2	1	2	0	1
C30	0	3	0	0	1	3	0	1
C31	0	1	0	0	0	1	0	0
C32	0	1	0	0	0	1	0	0
C33	0	1	0	0	0	1	0	0
C34	0	2	0	0	0	2	0	0
C35	0	1	0	0	1	2	0	1
C36	0	1	0	0	1	3	1	1
C37	0	1	0	0	0	1	0	0
C38	0	2	1	0	0	1	0	0
C39	0	3	0	0	0	1	0	0
C40	0	2	0	0	1	1	0	1
Mean	0.13	1.58	0.05	0.2	0.53	1.55	0.05	0.58

Table 7.2: The initial and final exams: results of the control group (in scores)

Participant's Code	The Initial Exam (EGIE)				The Final Exam (EGFE)			
	Sub-comp. I from 0 to 4	Sub-comp. II from 0 to 4	Sub-comp. III from 0 to 4	Sub-comp. IV from 0 to 4	Sub-comp. I from 0 to 4	Sub-comp. II from 0 to 4	Sub-comp. III from 0 to 4	Sub-comp. IV from 0 to 4
E1	0	1	0	0	2	4	2	2
E2	0	2	0	0	2	3	2	2
E3	1	3	0	1	1	2	0	1
E4	0	3	0	0	1	3	0	2
E5	0	3	0	0	1	3	0	1
E6	0	3	1	0	3	3	3	3
E7	0	2	0	0	3	4	2	3
E8	1	1	1	2	3	3	4	3
E9	1	2	0	2	3	3	1	3
E10	0	1	0	0	2	3	2	2

E11	0	3	1	0	1	2	2	1
E12	0	3	0	0	4	3	3	4
E13	1	3	0	1	3	3	1	3
E14	1	2	0	1	2	3	1	2
E15	0	2	0	0	2	2	0	3
E16	1	3	0	1	3	2	2	3
E17	2	2	0	3	2	3	0	3
E18	0	3	0	0	0	3	0	0
E19	0	2	0	0	3	4	2	4
E20	0	2	0	0	3	4	1	4
E21	1	3	0	1	3	3	3	3
E22	0	1	0	0	2	3	0	3
E23	0	2	0	0	2	2	0	3
E24	0	3	0	0	3	3	2	3
E25	0	3	0	0	3	3	2	3
E26	0	3	0	0	3	4	2	4
E27	1	2	0	2	2	3	1	2
E28	0	2	1	0	2	3	1	3
E29	2	2	0	3	2	4	1	3
E30	0	1	0	0	1	1	0	1
E31	2	2	0	3	2	2	0	3
E32	0	3	1	0	2	3	2	2
E33	0	3	0	0	4	4	3	3
E34	1	2	1	1	4	4	3	4
E35	0	2	0	0	0	2	0	0
E36	0	2	0	0	0	3	0	0
E37	0	2	0	0	4	4	3	4
E38	1	1	0	1	4	4	3	4
E39	1	3	0	2	3	4	4	4
E40	1	1	0	2	4	4	3	4
Mean	0.45	2.23	0.15	0.65	2.35	3.08	1.53	2.63

Table 7.3: The initial and final exams: results of the experimental group (in scores)

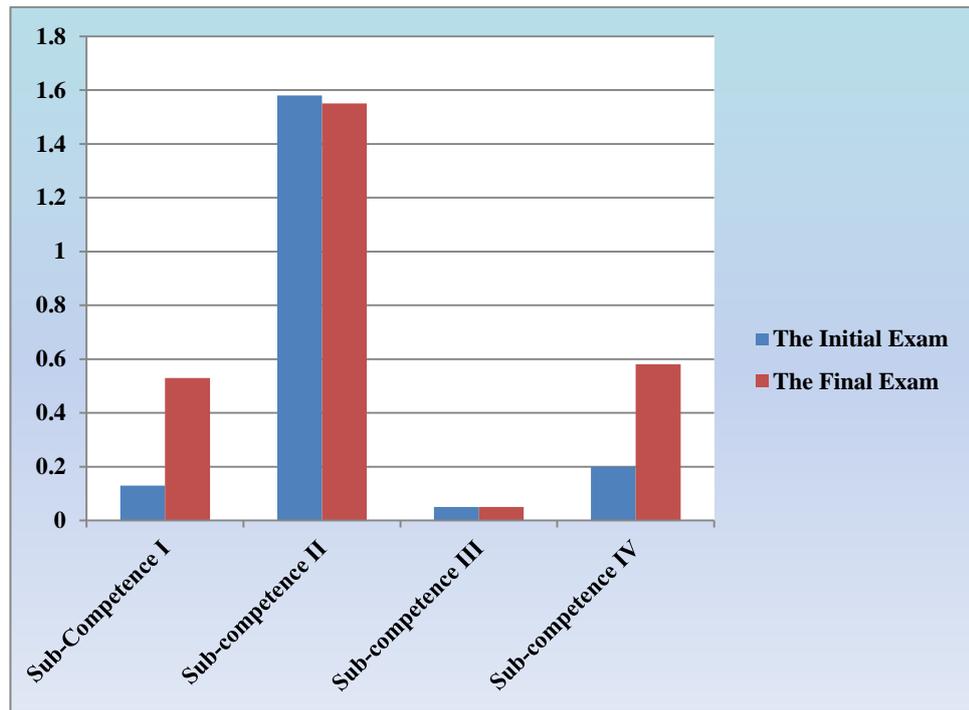


Figure 7.2: The sub-competences mean scores of the initial and final exams for the control group

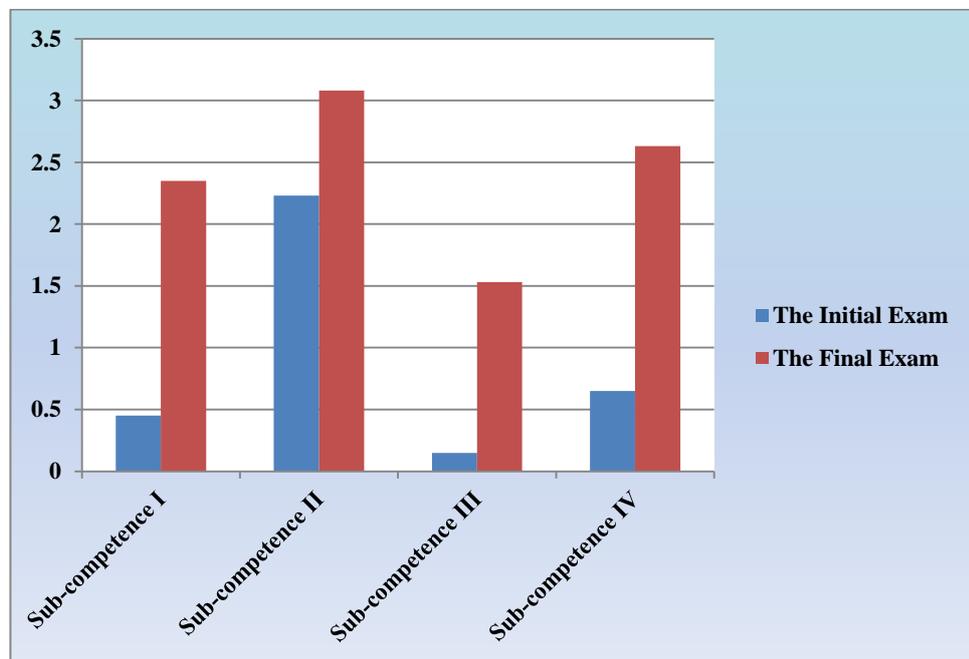


Figure 7.3: The sub-competences mean scores of the initial and final exams for the experimental group

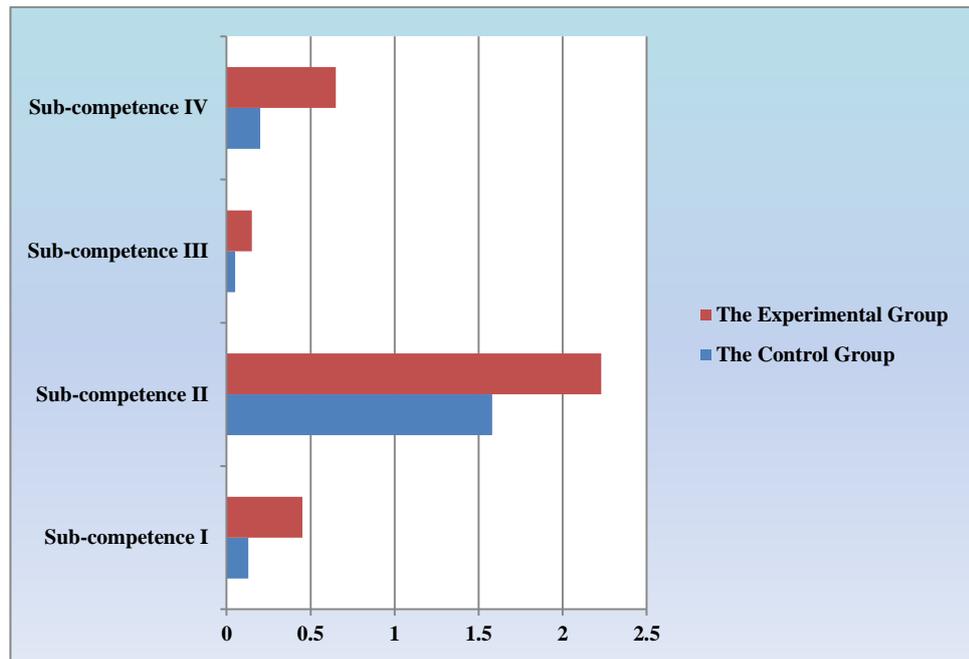


Figure 7.4: A comparison between the results of the two groups in the initial exam (in mean scores)

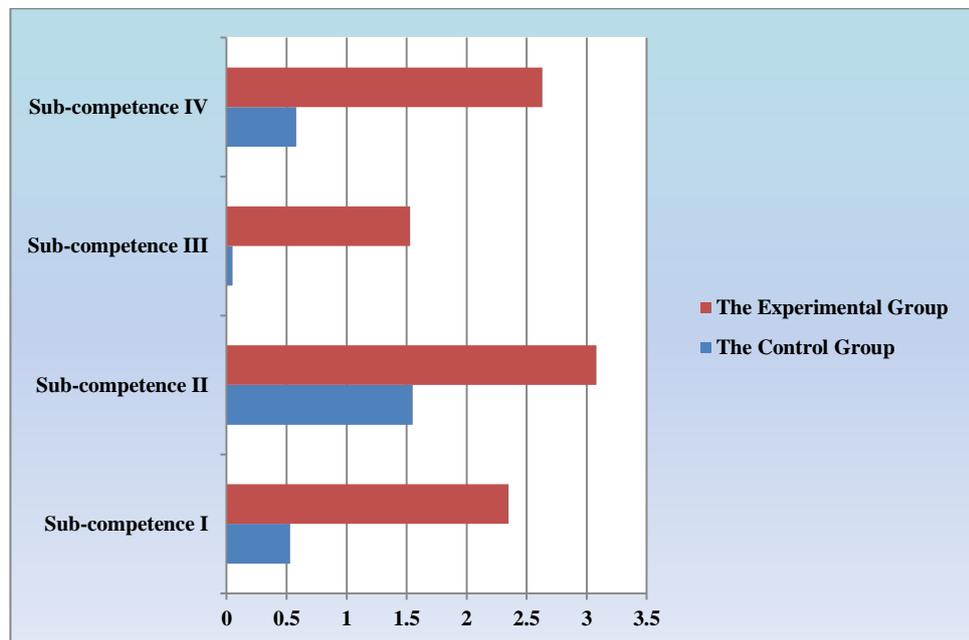


Figure 7.5: A comparison between the results of the two groups in the final exam (in mean scores)

The figures above show clearly how the performance in each exam differs greatly between the control group and the experimental group. In spite of the reasonable period of time (about 12 weeks) between applying the initial and final exams, during which the participants studied the normal English-to-Arabic translation course, the results of both exams for the control group do not change significantly over this period. As shown in Table 7.2 and Figure 7.2, two sub-competences remain almost the same, and the other two increase by a score of approximately 0.4. In contrast, when comparing the results of the initial and final exams for the experimental group (see Table 7.3 and Figure 7.3), a substantial increase in all sub-competences can be clearly perceived. The sub-competences increase respectively by scores of 1.9, 0.85, 1.38 and 1.98. The sub-competence recording the lowest increase is the second one, which carries 15% of the total exam percentage. This sub-competence involves, for the most part, multiple-choice exercises (questions 1 and 2). This low increase could be ascribed, on the one hand, to the relatively high result obtained in the initial exam, and to the luck factor, which cannot be totally kept apart, on the other. The fourth sub-competence (translating an English fiction extract into Arabic), which is so fundamental to the experiment, has a statistically significant result. The results indicate that the SFL-based translator training course has exerted a significant positive influence on the participants of the experimental group in producing better metafunctionally equivalent translations in the TL system.

When comparing the performance of the two groups in each exam, the picture becomes much clearer. Although the experimental group has higher scores, on the whole, than the control group in the initial exam (see Figure 7.4), the differences between them are insignificant. The increase ranges only between a score of 0.1 and 0.65 in the four sub-competences. By comparison with the initial exam, the differences between the two groups in the final exam is another story told with many contrasts. As illustrated in Figure 7.5, the experimental group comfortably surpasses the control group in all sub-competences. The sub-competences of the experimental group comfortably beat those of the control group respectively by scores of 1.82, 1.53, 1.48 and 2.05. The fourth sub-

competence, in particular, makes an enormous difference to the validity of this SFL-based translator training experiment.

Calculating the percentages is another way of presenting the results of the two exams for the two groups. This is particularly useful when looking at the percentage change; whether the value in the initial exam increases, decreases or remains the same in the final exam. The percentages will be presented in Tables 7.4 and 7.5, and then there will be illustrative figures and a brief discussion.

Participant's Code	The Initial Exam (CGIE)					The Final Exam (CGFE)					Total Percentage Change %
	Sub-comp. I 25%	Sub-comp. II 15%	Sub-comp. III 10%	Sub-comp. IV 50%	Total 100%	Sub-comp. I 25%	Sub-comp. II 15%	Sub-comp. III 10%	Sub-comp. IV 50%	Total 100%	
C1	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C2	0	11.25	0	0	11.25	6.25	3.75	0	12.5	22.5	+100
C3	0	3.75	0	0	3.75	6.25	7.5	0	12.5	26.25	+600
C4	6.25	3.75	0	12.5	22.5	0	3.75	0	0	3.75	-83.3
C5	0	11.25	0	0	11.25	0	0	0	0	0	-100
C6	0	7.5	0	0	7.5	0	3.75	0	0	3.75	-50
C7	6.25	11.25	0	12.5	30	6.25	3.75	0	25	35	+16.7
C8	0	3.75	0	0	3.75	6.25	11.25	0	12.5	30	+700
C9	0	3.75	0	0	3.75	6.25	7.5	0	12.5	26.25	+600
C10	0	11.25	0	0	11.25	6.25	7.5	0	12.5	26.25	+133.3
C11	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C12	0	3.75	0	0	3.75	0	7.5	0	0	7.5	+100
C13	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C14	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C15	0	3.75	0	0	3.75	6.25	11.25	0	12.5	30	+700
C16	0	7.5	0	0	7.5	0	3.75	0	0	3.75	-50
C17	0	3.75	0	0	3.75	6.25	7.5	0	12.5	26.25	+600
C18	0	3.75	0	0	3.75	6.25	7.5	0	12.5	26.25	+600
C19	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C20	0	0	0	0	0	0	3.75	0	0	3.75	NA
C21	6.25	11.25	2.5	12.5	32.5	6.25	11.25	2.5	12.5	32.5	0
C22	0	3.75	0	0	3.75	6.25	11.25	0	12.5	30	+700
C23	6.25	3.75	0	12.5	22.5	6.25	3.75	0	25	35	+55.6

C24	0	7.5	0	12.5	20	6.25	11.25	0	12.5	30	+50
C25	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C26	0	3.75	0	0	3.75	6.25	3.75	0	12.5	22.5	+500
C27	0	3.75	0	12.5	16.25	6.25	3.75	0	12.5	22.5	+38.5
C28	0	11.25	0	0	11.25	6.25	3.75	0	12.5	22.5	+100
C29	6.25	11.25	0	25	42.5	6.25	7.5	0	12.5	26.25	-38.2
C30	0	11.25	0	0	11.25	6.25	11.25	0	12.5	30	+166.7
C31	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C32	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C33	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C34	0	7.5	0	0	7.5	0	7.5	0	0	7.5	0
C35	0	3.75	0	0	3.75	6.25	7.5	0	12.5	26.25	+600
C36	0	3.75	0	0	3.75	6.25	11.25	2.5	12.5	32.5	+766.7
C37	0	3.75	0	0	3.75	0	3.75	0	0	3.75	0
C38	0	7.5	2.5	0	10	0	3.75	0	0	3.75	-62.5
C39	0	11.25	0	0	11.25	0	3.75	0	0	3.75	-66.7
C40	0	7.5	0	0	7.5	6.25	3.75	0	12.5	22.5	+200
Ave.	0.78%	5.9%	0.13%	2.5%	9.3%	3.28%	5.8%	0.13%	7.19%	16.4%	
Percentage Change %						+320.5	-1.69	0	+187.6	+76.3	

Table 7.4: The initial and final exams: results of the control group (in percentages)

Participant's Code	The Initial Exam (EGIE)					The Final Exam (EGFE)					Total Percentage Change %
	Sub-comp. I 25%	Sub-comp. II 15%	Sub-comp. III 10%	Sub-comp. IV 50%	Total 100%	Sub-comp. I 25%	Sub-comp. II 15%	Sub-comp. III 10%	Sub-comp. IV 50%	Total 100%	
E1	0	3.75	0	0	3.75	12.5	15	5	25	57.5	+1433.3
E2	0	7.5	0	0	7.5	12.5	11.25	5	25	53.75	+616.7
E3	6.25	11.25	0	12.5	30	6.25	7.5	0	12.5	26.25	-12.5
E4	0	11.25	0	0	11.25	6.25	11.25	0	25	42.5	+277.8
E5	0	11.25	0	0	11.25	6.25	11.25	0	12.5	30	+166.7
E6	0	11.25	2.5	0	13.75	18.75	11.25	7.5	37.5	75	+445.5
E7	0	7.5	0	0	7.5	18.75	15	5	37.5	76.25	+916.7
E8	6.25	3.75	2.5	25	37.5	18.75	11.25	10	37.5	77.5	+106.7
E9	6.25	7.5	0	25	38.75	18.75	11.25	2.5	37.5	70	+80.6
E10	0	3.75	0	0	3.75	12.5	11.25	5	25	53.75	+1333.3
E11	0	11.25	2.5	0	13.75	6.25	7.5	5	12.5	31.25	+127.3
E12	0	11.25	0	0	11.25	25	11.25	7.5	50	93.75	+733.3
E13	6.25	11.25	0	12.5	30	18.75	11.25	2.5	37.5	70	+133.3

E14	6.25	7.5	0	12.5	26.25	12.5	11.25	2.5	25	51.25	+95.2
E15	0	7.5	0	0	7.5	12.5	7.5	0	37.5	57.5	+666.7
E16	6.25	11.25	0	12.5	30	18.75	7.5	5	37.5	68.75	+129.2
E17	12.5	7.5	0	37.5	57.5	12.5	11.25	0	37.5	61.25	+6.5
E18	0	11.25	0	0	11.25	0	11.25	0	0	11.25	0
E19	0	7.5	0	0	7.5	18.75	15	5	50	88.75	+1083.3
E20	0	7.5	0	0	7.5	18.75	15	2.5	50	86.25	+1050
E21	6.25	11.25	0	12.5	30	18.75	11.25	7.5	37.5	75	+150
E22	0	3.75	0	0	3.75	12.5	11.25	0	37.5	61.25	+1533.3
E23	0	7.5	0	0	7.5	12.5	7.5	0	37.5	57.5	+666.7
E24	0	11.25	0	0	11.25	18.75	11.25	5	37.5	72.5	+544.4
E25	0	11.25	0	0	11.25	18.75	11.25	5	37.5	72.5	+544.4
E26	0	11.25	0	0	11.25	18.75	15	5	50	88.75	+688.9
E27	6.25	7.5	0	25	38.75	12.5	11.25	2.5	25	51.25	+32.3
E28	0	7.5	2.5	0	10	12.5	11.25	2.5	37.5	63.75	+537.5
E29	12.5	7.5	0	37.5	57.5	12.5	15	2.5	37.5	67.5	+17.4
E30	0	3.75	0	0	3.75	6.25	3.75	0	12.5	22.5	+500
E31	12.5	7.5	0	37.5	57.5	12.5	7.5	0	37.5	57.5	0
E32	0	11.25	2.5	0	13.75	12.5	11.25	5	25	53.75	+290.9
E33	0	11.25	0	0	11.25	25	15	7.5	37.5	85	+655.6
E34	6.25	7.5	2.5	12.5	28.75	25	15	7.5	50	97.5	+239.1
E35	0	7.5	0	0	7.5	0	7.5	0	0	7.5	0
E36	0	7.5	0	0	7.5	0	11.25	0	0	11.25	+50
E37	0	7.5	0	0	7.5	25	15	7.5	50	97.5	+1200
E38	6.25	3.75	0	12.5	22.5	25	15	7.5	50	97.5	+333.3
E39	6.25	11.25	0	25	42.5	18.75	15	10	50	93.75	+120.6
E40	6.25	3.75	0	25	35	25	15	7.5	50	97.5	+178.6
Ave.	2.81%	8.34%	0.38%	8.13%	19.7%	14.7%	11.5%	3.8%	32.8%	62.8%	
Percentage Change %						+423.1	+37.9	+900	+303.4	+218.8	

Table 7.5: The initial and final exams: results of the experimental group (in percentages)

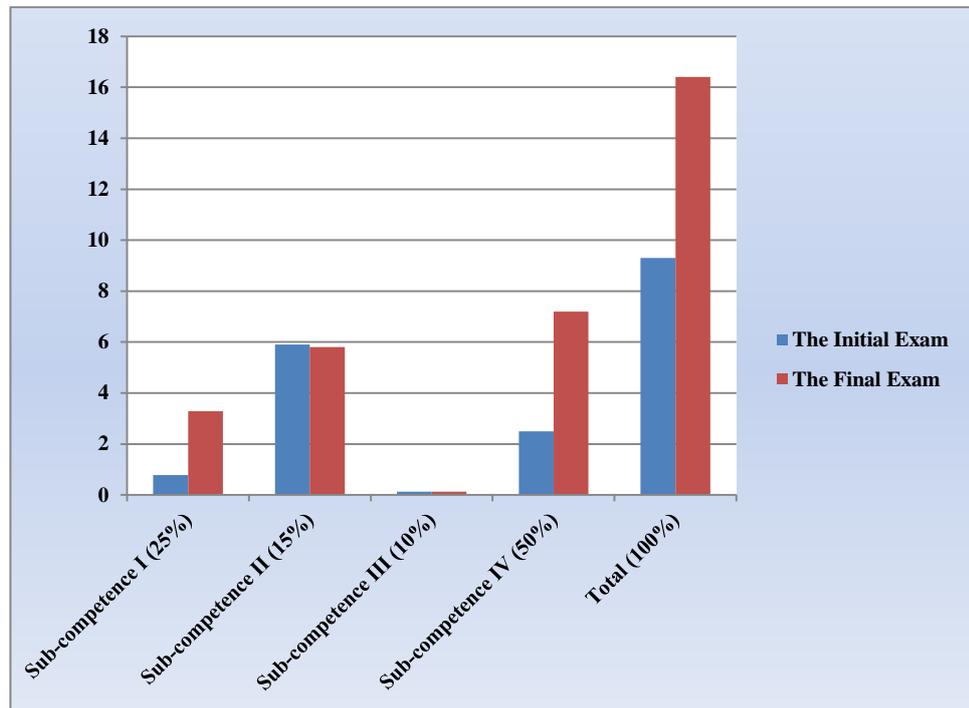


Figure 7.6: The results of the initial and final exams for the control group (in percentages)

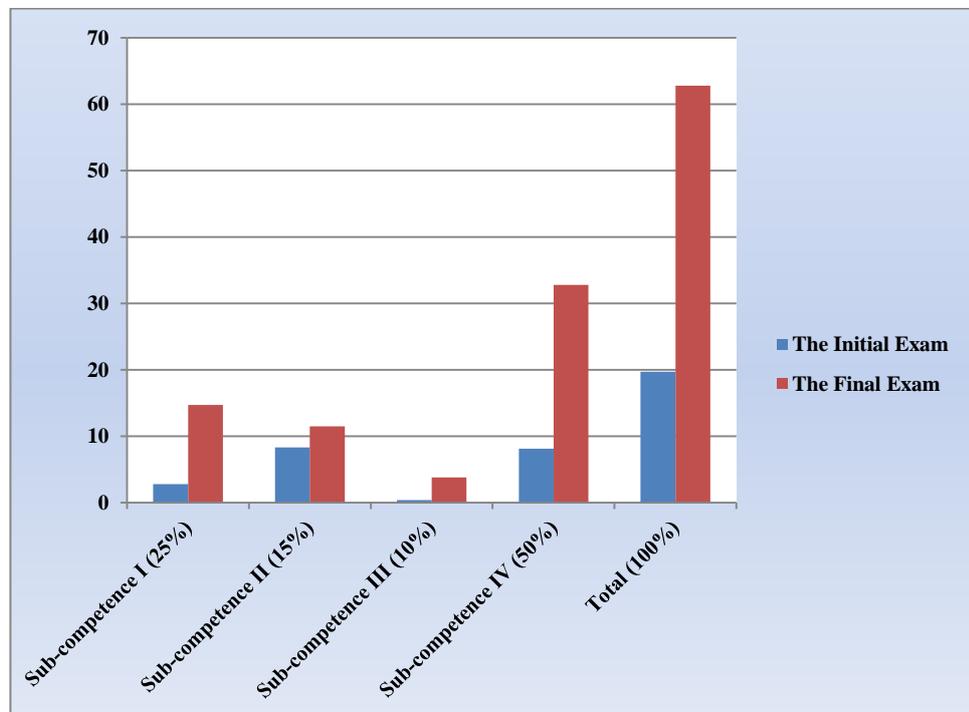


Figure 7.7: The results of the initial and final exams for the experimental group (in percentages)

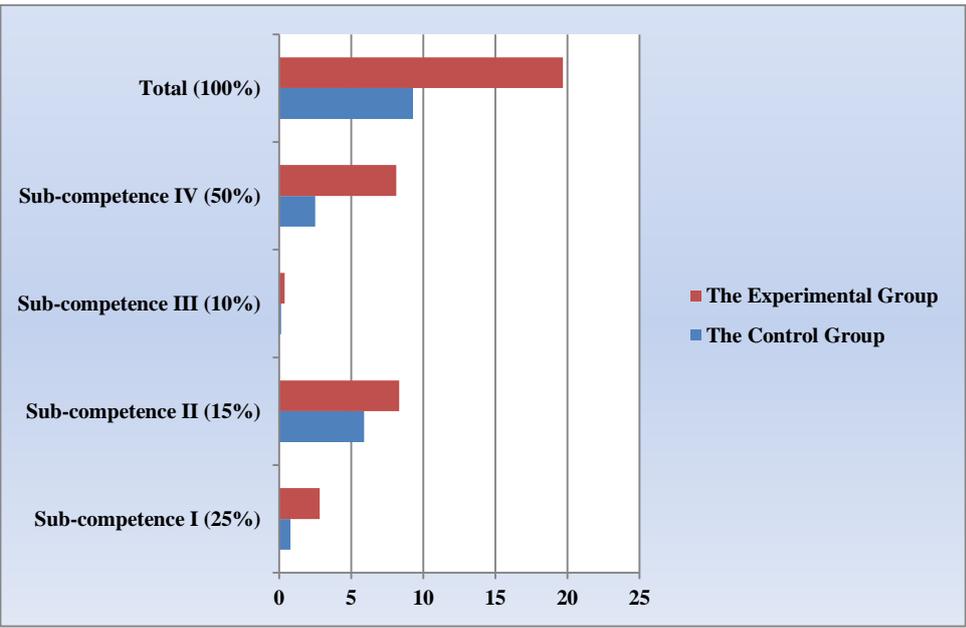


Figure 7.8: A comparison between the results of the two groups in the initial exam (in percentages)

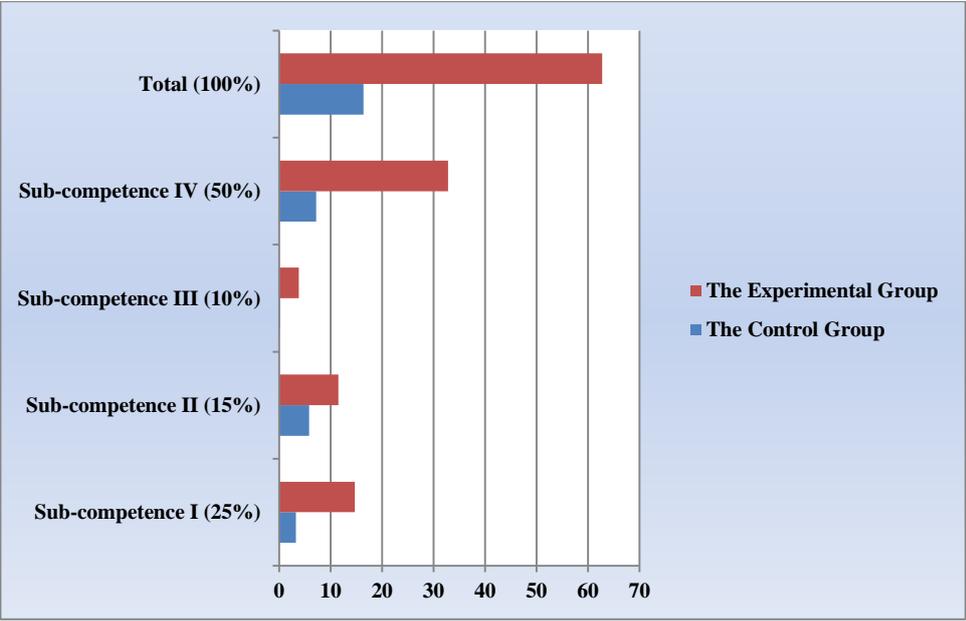


Figure 7.9: A comparison between the results of the two groups in final exam (in percentages)

As in the case of interpreting the results in scores, the figures above give the same readings in percentages. What is left unsaid is the comparison of the total percentage and the percentage change. The total percentage of the control group performance in the final exam increases by 7.1%, while in contrast the experimental group does vastly better in the final exam, achieving a performance increase of 43.1%. Clearly, what makes this significant difference in results between the two groups is the SFL-based translator training course attended by the experimental group.

Measuring the percentage change of the participants, the sub-competences and the total percentage is a uniquely revealing way to find out how much each component of the experiment has gained, lost or just remained unchanged. Half of the participants of the control group, as shown in Table 7.4, have a positive total percentage change (with a mean of +366.38%, 7 participants have a negative change (with a mean of -64.39%). There are 12 participants remaining unchanged and one participant (C20) being unamenable to this statistical formula because of the zero value gained in the initial exam. The participant having the maximum positive percentage change (+766.7%) is highlighted in green, and the one having the maximum negative percentage change (-100%) is highlighted in grey. On the other hand, the experimental group, as shown in Table 7.5, has only one participant with a negative percentage change (-12.5%) and 3 participants with zero change. The other 36 participants have a mean change of +491.3%. Participant E22 (highlighted in green) has an enormous positive percentage change (+1533.3%). The change of sub-competences of the control group varies considerably; two change positively, one records a slight negative change and one remains unchanged. In contrast, all the sub-competences of the experimental group have a quite significant positive change. For example, sub-competence III (providing functional-oriented justifications) has the highest change. This proves the direct effect of the SFL knowledge gained by the participants on their perception, assessment and justification. Finally, the difference between the two groups in the total percentage change for the two exams (highlighted in yellow) is highly suggestive. As the results suggest, the improvement change of the control group within a period of 12 weeks studying the normal course of English-to-Arabic translation of fiction is 76.3%. The

experimental group, by contrast, improved 218.8% when they attended the SFL-based translator training course.

7.6 Investigating the Relationship between Assessment and Translation

The last important issue to raise in this chapter is investigating the nature of the relationship between the two main skills or competences in this study: assessment and translation. The best way to find out this relationship for certain is to generate Pearson's Correlation Coefficient. This is "a test used for parametric data (...) and can have a value of between -1 and 1: 1 indicates a perfect positive correlation and -1 indicates a perfect negative correlation" (Saldanha and O'Brien, 2013, pp. 159-60). In this particular study, the correlation coefficient measures the strength (weak, medium or strong) and the direction (positive or negative) of the linear relationship between assessment and translation for a particular pool of data collected through the initial and final exams. Calculating the correlation coefficient will show the behaviour of the score of sub-competence IV (increases or decreases) when the score of sub-competence II or sub-competence III is increasing or decreasing. Sub-competence I is excluded, mainly because it involves areas covering different parts of the three questions of the exam. Generating this coefficient will be particularly useful in answering research question 'c' (see section 1.3). Correlation coefficients will be calculated using Excel. They will be presented and interpreted in Table 7.6, and graphed in Figures from 7.10 to 7.17.

Variables/Exam/Interpretation		The Control Group	The Experimental Group
Sub-comp. II and IV	Initial Exam	0.278	-0.173
	Interpretation	Weak positive correlation	Weak negative correlation
	Final Exam	0.442	0.548
	Interpretation	Medium positive correlation	Strong positive correlation
Sub-comp. III and IV	Initial Exam	0.150	-0.065
	Interpretation	Weak positive correlation	Weak negative correlation
	Final Exam	0.166	0.571
	Interpretation	Weak positive correlation	Strong positive correlation

Table 7.6: Summary of correlation coefficients

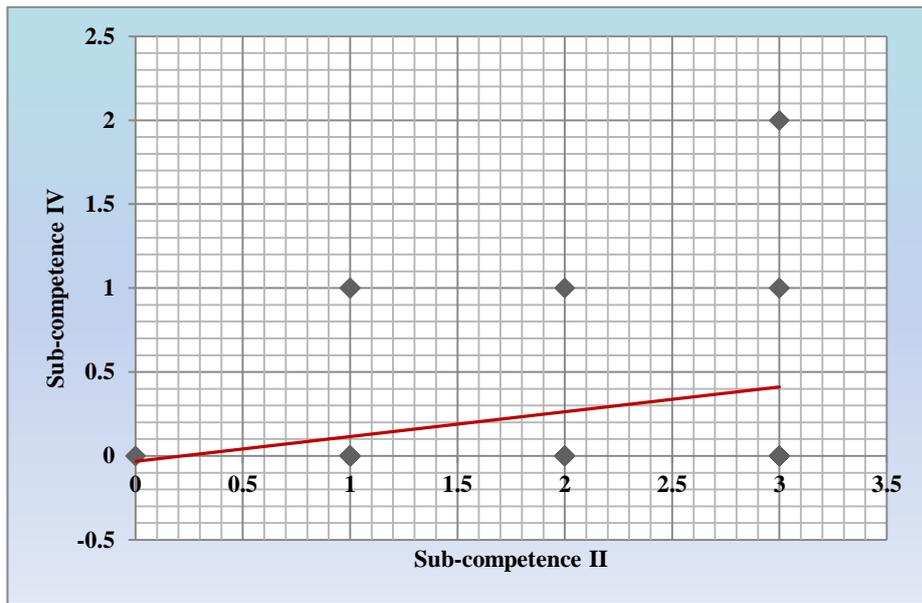


Figure 7.10: Scatter plot correlation (0.278) of sub-competences II and IV in the CGIE

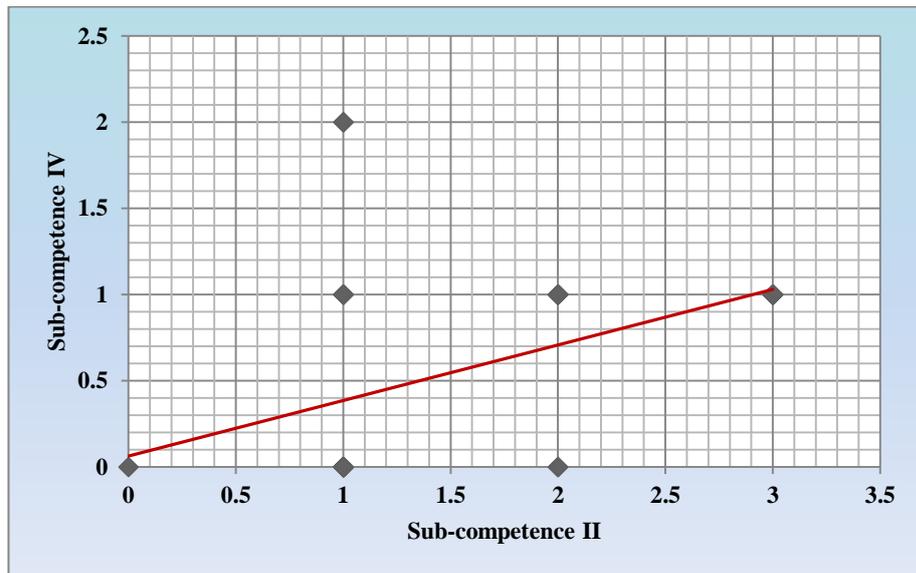


Figure 7.11: Scatter plot correlation (0.442) of sub-competences II and IV in the CGFE

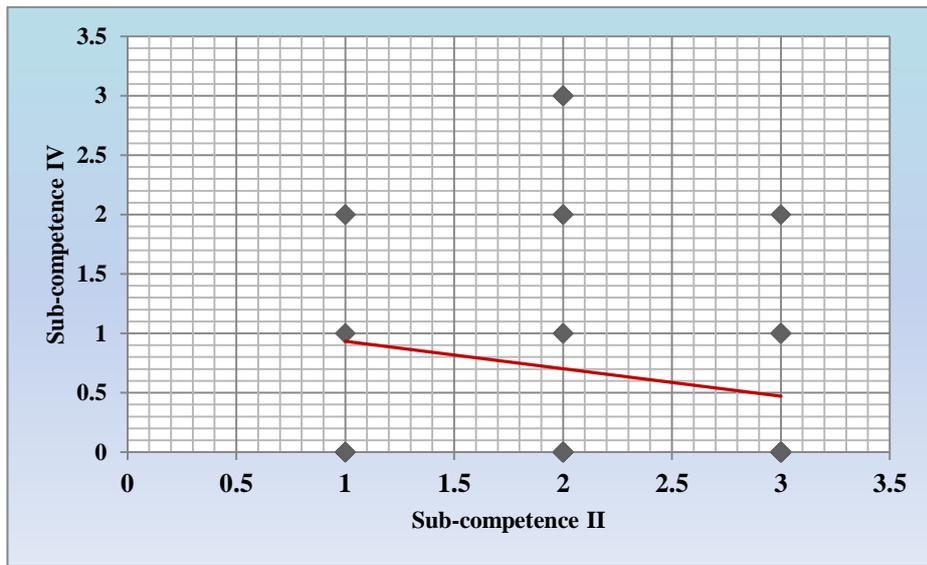


Figure 7.12: Scatter plot correlation (-0.173) of sub-competences II and IV in the EGIE

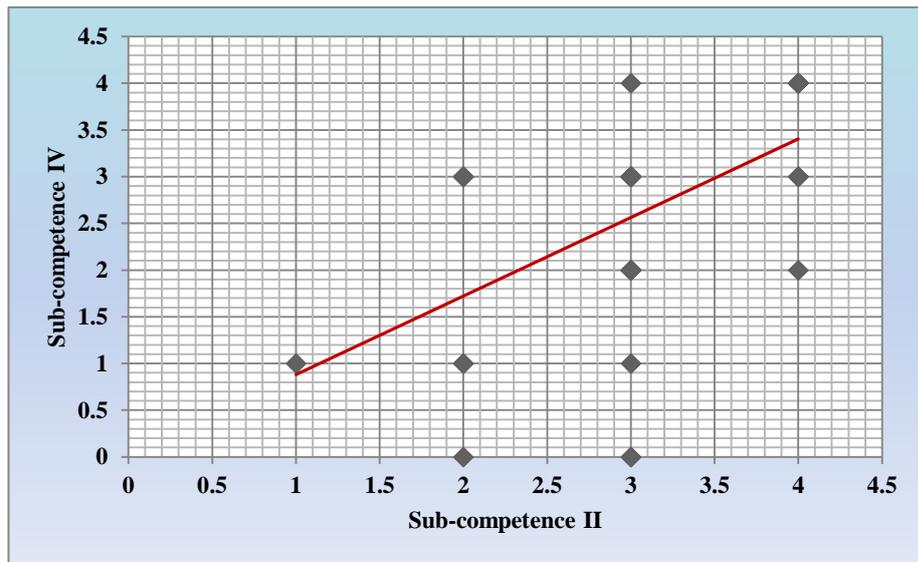


Figure 7.13: Scatter plot correlation (0.548) of sub-competences II and IV in the EGFE

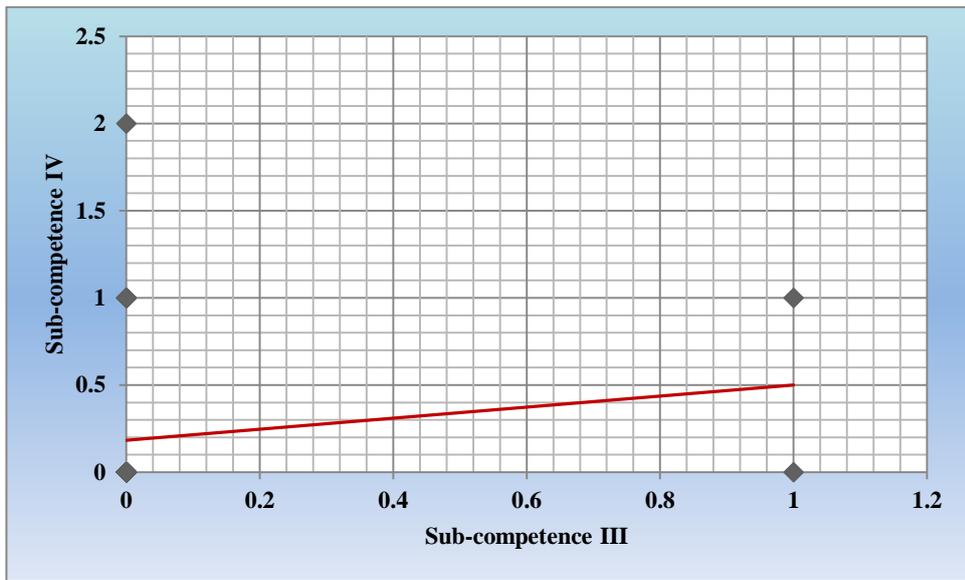


Figure 7.14: Scatter plot correlation (0.150) of sub-competences III and IV in the CGIE

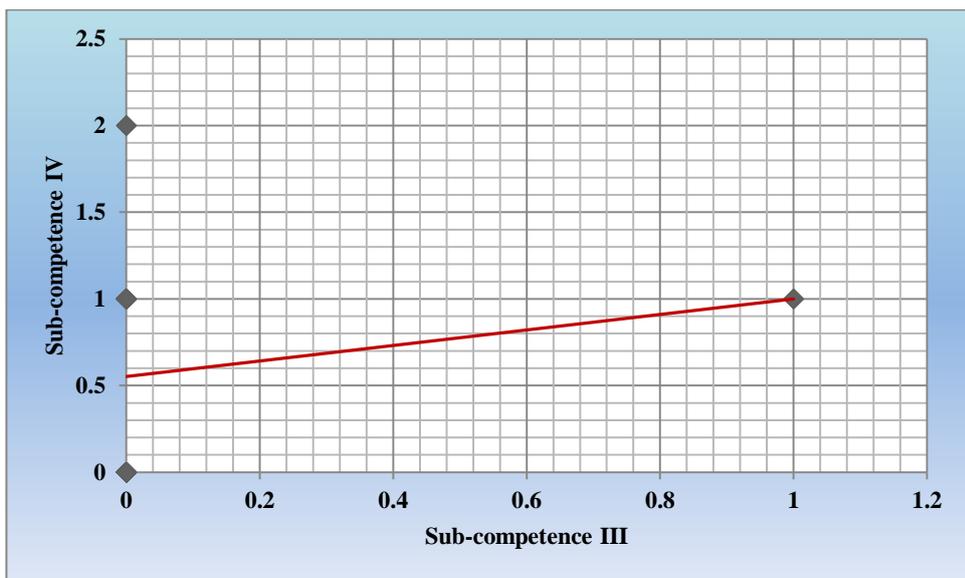


Figure 7.15: Scatter plot correlation (0.166) of sub-competences III and IV in the CGFE

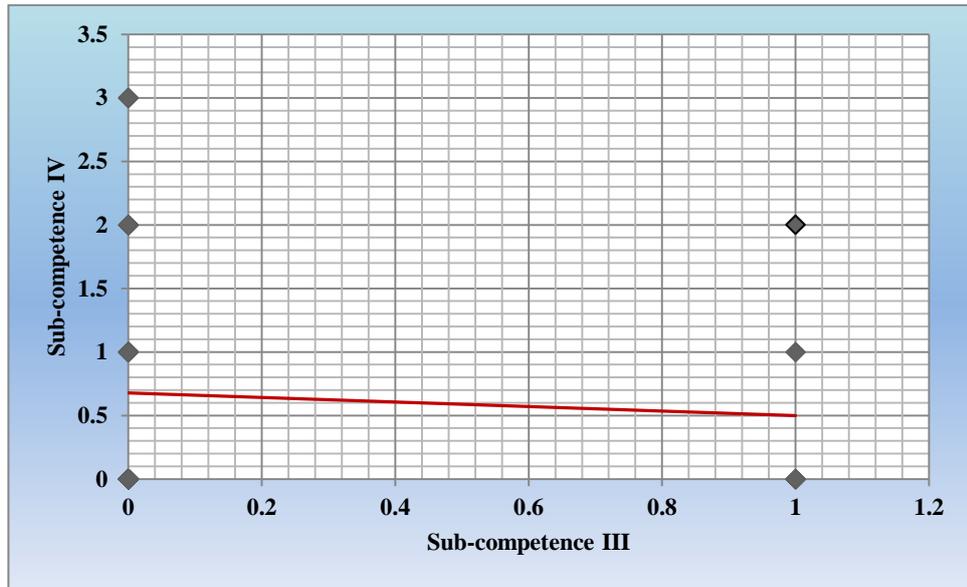


Figure 7.16: Scatter plot correlation (-0.065) of sub-competences III and IV in the EGIE

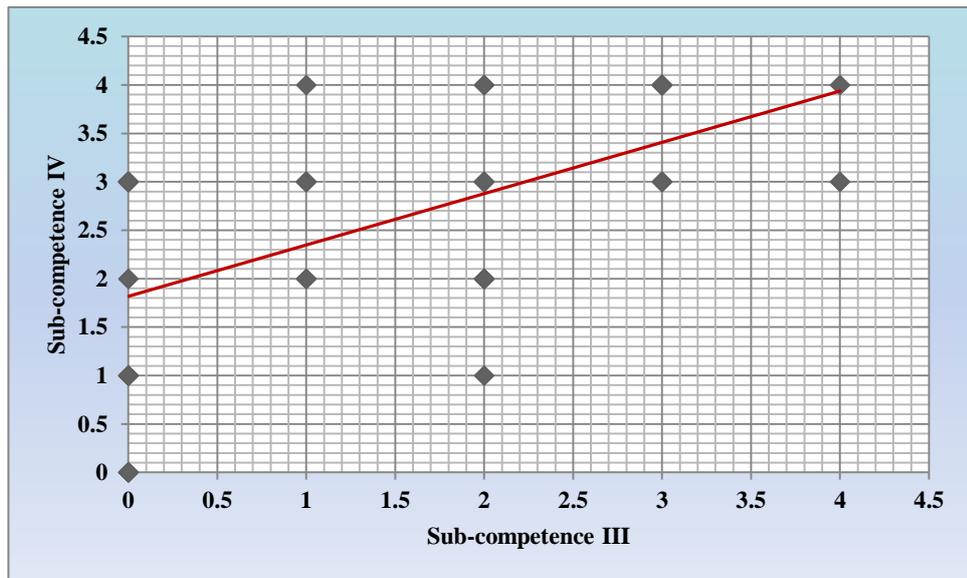


Figure 7.17: Scatter plot correlation (0.571) of sub-competences III and IV in the EGFE

The above table and figures draw a detailed comparison of the correlation coefficient values between the two competences of assessment and translation of both groups in both exams. The correlation coefficients of the two elements of relationship of the

control group do not increase significantly between the initial and final exams. They only increase by 0.164 and 0.016 respectively. This amount of increase is quite close to that of the total change between the two exams. In contrast, the correlation coefficients of the experimental group for the same elements increase substantially by 0.721 and 0.636 respectively.

In general terms, these results provide sufficient empirical evidence for the existence of a positive relationship between assessing short English-to-Arabic translated extracts of fiction and producing more metafunctionally equivalent Arabic translations once the factor of the SFL-based translator training is powerfully in operation. In specific terms, the main factor impacting such an improvement in the assessment and translation skills was the SFL-based translator training course provided to the experimental group. It can be convincingly argued that this group became armed with a linguistic theory that made it possible for them to well understand the English ST and produce a better Arabic translation. The course helped them improve the skills of analysing the ST metafunctions, determining the errors or shifts in short Arabic translated extracts, providing functional-oriented justifications for their choices of the most accurate and successful translation, understanding the Logical Relations between clauses and finally producing TTs preserving the functions of the ST as well as the system of the TL.

7.7 Discussion of Some Examples of the Participants' Responses

Notwithstanding the importance placed on numbers and calculated results in this experiment, the fruitful aspect of discussing some participants' responses ought not to be missed. These examples bring the scene back into focus in order to show some behaviour patterns that can be briefly discussed. The 160 initial and final exam papers for both groups provide, of course, rich material for study and discussion. Some representative examples will be scanned and discussed, noting that they may understandably contain grammatical and spelling errors. The participant's code is supplied with each example.

In question 2, the participants were asked to give the reason why they chose a certain translation as the most accurate or successful one. In fact, most responses in the initial exams of both groups were unsuccessful or just left unanswered. However, very few papers included good understanding and justification. Two students gave a good reason for not choosing choices (c) and (d) in QII, part 2.

- a. أرغمني أبي على الرحيل.
 b. إن أبي هو الذي حملني على تركك. ✓
 c. بابا هو الذي أكرهني على فراقك.
 d. كان بابا هو الذي حملني على أن أتركك.

EI28

Reason: This sentence is quoted from the novel, so, of course, it is in a dialogue. Therefore, I chose the second one. on the other hand, in third and fourth one, the translation of "Papa" is not suitable in Arabic language.

EI8

Reason: I choose the "B" translation because of word "Papa", I need to use a formal one.

But with a new factor (the SFL-based translator training course) that changed the picture completely, more relevant, successful and functional-oriented responses were given by some experimental group participants. The responses ranged between simple and more specific or even highly detailed. A few participants used the underlining or circling techniques to highlight the problematic parts in the unsuccessful choices. Here are some examples.

1. You're with a lucky boat. Stay with them.

- a. أنت تعمل في مركب ابتسم الحظ لأصحابه. امكث معهم.
- b. هأنت تعمل في مركب حسن الطالع فابق مع أصحابك ودعك مني.
- c. أنت مع زورق محظوظ. ابق معهم.
- d. أنت في مركب محظوظ وأريدك أن تبقى حيث أنت.

EF1

Reason: There is an iddation in the other translation.

- a. أنت تعمل في مركب ابتسم الحظ لأصحابه. امكث معهم.
- b. هأنت تعمل في مركب حسن الطالع فابق مع أصحابك ودعك مني.
- c. أنت مع زورق محظوظ. ابق معهم.
- d. أنت في مركب محظوظ وأريدك أن تبقى حيث أنت.

EF32

Reason: because clear and close do the meaning. Other options have some words and phrases not found in the original text, like "a" "ب" "ج" "د".

EF34

2. The brown blotches of the benevolent skin cancer the sun brings from its reflection on the tropic sea were on his cheeks

- a. علت خديه القروح السمراء الناشئة عن سرطان الجلد غير المؤذي الذي هو ثمرة انعكاس الشمس على صفحة المياه في المناطق الاستوائية.
- b. ظهرت على وجنتيه بثور سمراء من سرطان الجلد الحميد الناشئ من انعكاس الشمس على مياه البحر في هذه المنطقة الاستوائية.
- c. وعلى خديه بقع بنية هي نوع من سرطان الجلد الذي سببته الشمس من جراء انعكاسها على البحر في تلك المنطقة الاستوائية.
- d. انتشرت على خديه البقع البنية لسرطان الجلد الحميد الذي تسببه الشمس من انعكاسها على البحر المداري.

ملاحظة: سرطان الجلد الحميد: the benevolent skin cancer

EF34

Reason: (a) Wrong participant and Circumstance, (b) the similar (a), (c) Wrong Circumstance

EF9

Reason: The word in the choice number (d) has the word (branches) is the right reference to شعاع in Arabic word. for the other choices the words سبح or سبح doesn't come from the heat of the sun.

شعاع الشمس

EF6

Reason: c) New words in Arabic sentence! a) "شمر" is positive in Arabic but in English no

EF8

Reason: A) new ~~problem~~ problem with "عز" and "شمر" which is positive in Arabic B) problem "شمر" C) problem with wrong circumstance

3. It made the boy sad to see the old man come in each day with his skiff empty.

- a) ولقد أحزن الغلام أن يرى الشيخ يرجع كل يوم خالي القارب.
- b. في نهاية كل يوم، يحزن الطفل وهو يرى معلمه يعود خاوي الوفاض.
- c. مسيت كيد الصبي لوعة حزن وهو يرى العجوز بجيء كل يوم بمركبه خاويًا.
- d. كان الحزن يجتاح قلب الفتى، حين يرى العجوز عائداً إلى الشاطئ كل يوم صفر اليدين.

Reason: b) Problem with "عز" and "شمر" c) Problem with wrong process and style d) strong word and participle

EF7

Reason: b) circumstance c) d) process

EF 21

should

Reason: Because ~~b~~ ^{should} begin with the verb. ~~c~~ If add some words. ~~d~~ English sentence don't contain the word beach. Then, the sentence ~~c~~ is suitable sentence.

EF 25

Reason: Other options have the wrong equivalent in Arabic for the passive participants (a, b)

3. It made the boy sad to see the old man come in each day with his skiff empty.

- a. ولقد أحزن الغلام أن يرى الشيخ يرجع كل يوم خالي القارب.
b. في نهاية كل يوم، يحزن الطفل وهو يرى معلمه يعود خاوي الوفاض.
c. مست كبد الصبي لوعة حزن وهو يرى العجوز يجيء كل يوم بمركبه خاوية.
d. كان الحزن يجتاح قلب الفتى، حين يرى العجوز عائداً إلى الشاطئ كل يوم صفر اليدين.

Reason: b ~~to~~ doesn't have the Arabic system while c and d have more explanation about the process.

The last question of the final exam saw a fundamental shift in the performance of the external group participants. The clearest example of such a shift is found in the enormous difference between the initial and final exam translations of the same participant. As shown in the scanned example below, the initial exam translation is extremely poor and decontextualised; it is just an accumulation of unrelated words. Further, the clause boundaries as well as the Logical Relations are completely overlooked that the entire translation consists of one paragraph with one full stop. The final exam translation, by contrast, demonstrates important progress in preserving most metafunctions of the ST in a TT that basically complies with the Arabic systems. As a practical example, when the participant has learned during the course the utmost significance of clause division before translating, the quality and accuracy of the final exam translation has changed vastly.

QIII) Translate the following short extract from a novel into Arabic:

They walked up the road together to the old man's shack and went in through its open door. The old man leaned the mast with its wrapped sail against the wall and the boy put the box and the other gear beside it. The mast was nearly as long as the one room of the shack. The shack was made of the tough bud shields of the royal palm which are called *guano* and in it there was a bed, a table, one chair, and a place on the dirt floor to cook with charcoal.

٤١٧
 انهم ساروا على الطريق معاً الى الرجل العجوز نحو وذهب في ليلته
 هفتوح للرجل العجوز (الشيخ) الصباري مع اشراع في (وارتيد) حذر
 لاداره ووضع الصبي مربعه وغيرها من اعداء بجانبه وان الصباري
 تقربا مادام وطمع من غرفة واحدة من فوخ الى فوخ من ليدوع
 لرغم من صبه من الخبز المكسي والتي تسمى ذبقة الطائر وكان
 هناك سرير وكوسية بطاونه واحدة ومكان على الأرض
 لترايبه لطهي الطعام مع الفحم

QIII) Translate the following short extract from a novel into Arabic:

The old man and the boy sat on the Terrace, and many of the fishermen made fun of the old man and he was not angry. Others, of the older fishermen, looked at him and were sad. But they did not show it and they spoke politely about the current and the depths they had drifted their lines at and the steady good weather and of what they had seen. The successful fishermen of that day were already in and had butchered their marlin out and carried them laid full length across two planks with two men staggering at the end of each plank, to the fish house where they waited for the ice truck to carry them to the market in Havana.

٤١٧
 العجوز والصبي جلسوا على الشرفة والعديد من الصيادين
 من العجوز وهو لم يكن غاضباً. آخرون من الصيادين نظروا اليه
 وحزنوا. لكنهم لم يظهروا ذلك وتحدثوا بأدب عنه الثابت والأعمال
 التي يتصدوا بأعمالهم عنها والجودة التي يراكمونها اذا
 كانوا ينظرونه. كانوا هناك الصيادون الموفقون ويقومون
 (الهارب) وحملوه وهو مستلق على حامل طول الوجود مع رجلين
 مترنين في نهاية كل لوح الى بيت السمك حيث ينتظرونه ساحة
 الثلج ليحمله الى متجر في هاخانا.

7.8 Summary

This chapter has detailed the translator training experiment carried out as an original empirical work contributing invaluablely to the thesis topic as a whole. The chapter has opened with an introduction to the experiment and a brief literature review of translator training. The discussion has then moved on to include the operational sides of the experiment, such as the collection of data, the rubric and the scoring grid of the study. The data have been displayed in expressive colours to make the presentation more interesting and informative. The results have been conveniently presented in accessible tables and illustrative charts and figures. The findings have clearly demonstrated a significant difference between the results of the control group, who only attended the practical-based course adopted in the normal plan, and those of the experimental group, who attended the SFL-based translator training course. Subsequently, the relationship between the two sub-competences of assessment and translation has been thoroughly investigated and rigidly linked with the research questions. The calculation and comparison of the correlation coefficients of the two elements of relationship between the two sub-competences of both exams for both groups have revealed a strong positive correlation in the presence of the SFL-based translator training course. Finally, some interesting examples of the participants' responses have been provided with a brief commentary.

Chapter 8

Conclusion

8.1 Introduction

This final chapter gives a brief summary of the present research study and a concluding assessment of its value in Translation Studies. The chapter explains why the study has been conducted, what approaches have been adopted, how the research questions have been satisfactorily answered, what contributions can be made by this work and what originality can be found in it. More precisely, it summarises the main research objectives and methods, outlines the main findings of the study, revisits the research questions, lists the major contributions and implications of the research, spotlights the limitations of the research and suggests some areas for further research.

8.2 Summary of the Key Research Objectives and Methods

Broadly stated, this research study has been designed and executed to explore the applicability of SFL, a fully-fledged linguistic theory, to English-to-Arabic translation of fiction. The research has been geared toward investigating two most vital areas in TS: assessing translations and training prospective translators in an academic institution. In other words, the question of how to investigate the applicability of SFL to English-to-Arabic translation of fiction has been addressed at two increasingly popular levels in the field: evaluation and education. In this way, the research is accommodated to fill the needs of a wide audience.

The research has been carried out to answer a number of specific questions (see section 1.3). The questions have been expressly designed to study several related areas of investigation covering aspects extending from more delicate to more general (or in SFL terms, from narrower to wider stratum). The narrower strata have included the applicability of SFG analysis in assessing the quality of Arabic translations of English fiction, the usefulness of the SFL framework in describing the explicating shifts in

English-to-Arabic translation of fiction and the effectiveness of the metafunctional analysis to locate and identify the shifts in short extracts from Arabic translations of English fiction. The wider strata have included questioning the validity of House's model for TQA to English-to-Arabic translation of fiction and the degree of effectiveness of the SFL knowledge in improving the English-to-Arabic translation performance of final-year Arab university students (majoring in English).

The research model has been carefully selected from prominent works in TS and innovatively joined with an SFL-based translator training experiment (see chapter 4). This combination of evaluative models and training experiment is believed to integrate harmoniously to find out how viable SFL is in English-to-Arabic translation of fiction. The central objective of this combined model has been to highlight all possible areas where the applicability of SFL can be empirically tested. The combined research model consists of three related phases: Kim's model for metafunction analysis, House's model for TQA and an SFL-based translator training experiment.

A range of research methods has been involved throughout this work. The quantitative method of data analysis has been seen in various degrees in all phases. Kim's model for metafunction shift analysis is mostly quantitative. A rigorous analysis of the metafunctions of a 48-clause mini-corpus of Hemingway's *The Old Man and the Sea* has been applied so that the correspondences between these metafunctions and the seven Arabic translations could be categorised, determined and counted (see section 5.5). In the same way, a comparison between the seven translations has been made (see sections 5.5 and 5.6). In the supplementary exemplar-based study of explicitation, quantitative analysis has been adopted in counting the instances of explicitation beyond the scope of metafunction shift analysis (see section 5.8). In applying and developing House's model for TQA, the quantitative method has been adopted in counting some register features in the ST profile and their correspondences in the three Match Tracers, as well as in counting the overt errors (see sections 6.3 and 6.4). The numerical data have also been used for summarising the differences between the three Match Tracers (see Table 6.2). The translator training experiment, needless to say, has been applied to generate

quantitative data that could prove or disprove the applicability of the SFL framework to English-to-Arabic translation of fiction. Numerical data have been used in designing the scoring construct and in calculating the different measurement tools, such as arithmetic means, percentage changes and correlation coefficients (see sections 7.4 and 7.5). To summarise, all the participants' data have been processed, compared and schematised quantitatively.

Qualitative analysis has been used in some parts of the work. Some examples of shifts within different metafunctions have been approached qualitatively (see section 5.7). But these examples have been drawn, in the first place, from the quantitative shift analysis in the seven translations. In House's model, the essential merging of the qualitative and quantitative methods of data analysis can be clearly seen in applying the ST Profile Template and the Match Tracers, together with descriptive error analysis and statements of quality (see sections 6.3 and 6.4).

8.3 The Main Findings of the Study

The findings of the study, which integrate assessment with training aspects, have provided ample evidence that SFL is extremely useful in English-to-Arabic translation. The findings, to be more elaborate, have been neatly tied up to reach gradually towards the central aim of the entire work, which has been the investigation of the viability of applying SFL to English-to-Arabic translation of fiction. The findings, which are intimately connected with the research questions, have been based on an SFG and SFL-oriented rigorous and statistical analysis of seven different Arabic translations of one English novella, together with empirical statistically processed data, which have been derived from a translator training experiment involving a sample of two groups of final-year Arab university students majoring in English (40 participants each). The most noteworthy findings of this multi-phased, large-scale study can be summarised as follows:

1. By adopting SFG, the metafunction correspondence analysis of an English fiction ST and Arabic TTs has been proved to be very useful in locating and identifying the optional translation shifts for the purpose of assessing seven Arabic translations (see section 5.5).
2. Pérez's (2007) SFL-based classification of Transitivity shifts has been useful in describing the Transitivity shifts in English-to-Arabic translation of fiction. These shifts, however, could not be considered optional all the time. There are cases where the Transitivity shifts between the two languages result in non-shift in translation because of the different realisation between English and Arabic in systems and ranks (see section 5.7).
3. The SFL framework has proved successful in designing a multi-level schema of optional explicitation, which could provide a more accurate descriptive analysis of the optional explicitation shifts taking place beyond the scope of metafunction shift analysis (see section 5.8.2).
4. When making an SFL-informed comparison between the same mini-corpus translations by three translators (the one scoring the highest number of metafunction shifts, the one scoring the lowest and the one scoring the medial number) regarding the optional explicitation taking place beyond the scope of metafunction shift analysis, the data have shown that there is a direct positive correlation between the number of optional metafunction explicitatives and the number of optional explicitatives beyond the scope of metafunction shift analysis (see section 5.8.2). The data have shown that the order of the three translators within the metafunction shift analysis model has been kept in this model of explicitation analysis. The finding of the trend towards optional explicitation beyond the metafunction shift analysis obtained in this study seems to tie in with that within the metafunction shift analysis. However, the results of this mini-corpus analysis have shown that the trend towards explicitation of this kind could not be looked at as a principal characteristic of all Arabic translations of English fiction, for one of the three translators does not have any explicitatives of this kind. These optional explicitatives beyond the scope of

metafunction shift analysis have been found to make major shifts in the narrative structure (by adding a translator's voice) or in the point of view (by shifting the narrative or spatio-temporal point of view).

5. The study has shown that House's model for TQA proves workable in English-to-Arabic translation of fiction, especially when the ST Profile Template and the Match Tracer have been generated, bringing efficiency improvements to the application of the model. The results of this study have been entirely compatible with the results of the previous two studies in chapter 5 (1 and 4 above). The translator who has topped the list in scoring the lowest number of optional shifts in both models of analysis (within and beyond metafunctions) has achieved the largest percentage of match in all dimensions of register and Genre, and scored the lowest number of errors in the three Match Tracers (see Table 6.2). Similarly, the median and the last have come in exactly the same order as the previous two studies. To recapitulate, the order of the three translators remains the same in the three studies. This can be seen as a reciprocal relationship that embodies the two-way validity amid the three studies or models of assessment.
6. Taking into account the present text type (fiction), which classically requires overt translation, the translator whose translation has been described as being covert has achieved the lowest percentage in the comparison of the three Match Tracers. As far as errors are concerned, the number of overt errors of a denotative nature is far higher than those resulting from a breach of the TL system. This is fairly reasonable particularly when translators translate to their own native language. The substitution type has taken the lead in the number of errors made by the three translators, followed by addition then omission (see Table 6.2). This could be linked to the propensity not to miss out what is happening in the story without paying particular attention to the need to preserve all the functions intended in the ST.
7. The empirical data obtained from the translator training experiment have shown that the difference between the control group and the experimental group in the initial and final exams has been highly significant. The difference between the

two groups can be clearly seen in the significant variation in the mean score for each sub-competence as well as in the percentage change and the total percentage of the final exam (see section 7.5). It should not have been a surprise that the decisive factor in this important difference has been the application of the SFL-based translator training course through which the inevitability of progress in the experimental group has become real. Measuring the progress statistically has made the real difference eminently observable. The scores of the four sub-competences of the initial exam have increased considerably in the final exam for the experimental group as compared to the control group. Over a period of 12 weeks (the time between the initial and final exams), the four sub-competences of the control group have shown an increase/decrease of 10%, -0.75%, 0.0% and 9.5% respectively, whereas in the experimental group they have shown a massive increase of 47.5%, 21.25%, 34.5% and 49.5% respectively. The total rate of performance of the control group in the final exam has increased slightly by 7.1%, while in the experimental group it has increased greatly by 43.1%. Likewise, the overall percentage change between the total rate of performance of the initial and final exams for the control group is +76.3%, while for the experimental group it is +218.8%.

8. When measuring the progress of the two main competences or skills involved in the exams (assessment and translation) in a parallel way to investigate whether there is evidence of correlation between them, the best tool for the job has been the calculation of the correlation coefficient (see section 7.6). Calculating the correlation coefficients has characterised the behaviour of the scores of sub-competence IV (producing a metafunctionally equivalent TT in the TL system) when the scores of sub-competence II (assessing short extracts of translations) or sub-competence III (providing functional-oriented justifications) has been increasing or decreasing (see Table 7.6). The results have provided firmer indications about the existence of a strong positive relationship between assessing short English-to-Arabic translated extracts of fiction and producing more metafunctionally equivalent Arabic translations after giving the experimental group

of final-year Arab university students (majoring in English) the SFL-based translator training course. The correlation coefficients of the two elements of relationship of the control group have increased very slightly between the initial and final exams (0.164 and 0.016 respectively), while they have increased substantially in the experimental group (0.721 and 0.636 respectively).

8.4 Revisiting the Research Questions

The chief purpose of revisiting the research questions raised in the introduction (see section 1.3) is to pinpoint exactly where and how far each question has been answered. To maintain an immediate linkage between the question and the way it has been answered, the questions will be reproduced here in full. Questions 1, 2 and 3 address the first two assessment phases of the research, while questions a, b, c and d chiefly concern the SFL-based translator training experiment.

1. Is the metafunction analysis of the English fiction text using SFG relevant in determining, identifying and analysing translation shifts in the Arabic translated text?

To provide the answer to this question, a mini-corpus of 48 clauses from Hemingway's *The Old Man and the Sea* has been rigorously analysed using SFG (see section 5.4). The clauses then have been metafunctionally matched to seven Arabic translations to determine the translation shifts (see section 5.5). The seven translations have been ordered against 10 identifying types of metafunction-related shifts (see Table 5.11, Figures 5.3 and 5.4). Process and Circumstance shifts appear respectively at the top of the list. SFG analysis has also been found relevant in determining the translator's pattern of shifts (see section 5.6). The metafunction analysis has been found useful in understanding and describing translation shifts in light of functional correspondences between the two languages (see section 5.7).

2. Does the SFL framework prove useful in describing the optional explicitation shifts in English-to-Arabic translation of fiction which are located beyond the scope of metafunction shift analysis?

To find the answer to this question, the well-investigated phenomenon of explicitation has been dichotomised into explicitation that can be determined and treated within the metafunction shift analysis model and explicitation located beyond the scope of metafunction shift analysis. An in-depth study has been carried out to investigate this second type (see section 5.8). To this effect, an SFL-oriented multi-level schema, involving categories with the least fuzzy boundaries possible, has been created to describe the explicating shifts of this type in more detail (see Figure 5.8). The schema has been applied to three translators: the ones scoring the highest, the median and the lowest number of shifts in the metafunction shift analysis model (see Tables from 5.15 to 5.18). The answer is yes; the schema has sufficed adequately in describing the lexicogrammatical nature of the optional explicitatives and how this can facilitate determining their effect on the texture of the TTs.

3. Does the SFL-based translation quality assessment model of House apply in English-to-Arabic translation of fiction?

Answering this question adequately has raised a more challenging question: what developments are likely to make an influential contribution and give tangible gains to such a well-established model in TS? The answer to this question leads one to answer the original question. To do this systematically, three interdependent developmental processes have been applied. The ST Profile Template has been designed to provide a more effective and accessible way of analysing the ST, not only qualitatively but also quantitatively. The ST Profile Template has involved categories numbered and parameterised to provide accessible comparative configuration information and statistical analysis. Expressive colours have been used and jointly organised with the matching comparison of the TT in the second process (see Figure 6.5). Another

developmental process of this model has been the generation of the Match Tracer (see Figures from 6.6 to 6.8). The Match Tracer has profusely illustrated the comparison in a more perspicuous manner, and has provided a productive functional-oriented way of tracing the features of the ST in the TT in accordance with the ST Profile Template. The three translations involved in answering question 2 have also been considered here, but with the use of an extended mini-corpus of their translations (the first 10 pages). The third developmental process has been carried out after doing the three Match Tracers for the three translations. The Tracers have been compared with some quantitative measurements corresponding fairly well with the differences between them (see Table 6.2). The successful application of these three developmental processes has ascertained the applicability of House's model in English-to-Arabic translation of fiction.

a. To what extent does the awareness of the metafunction analysis of the source text (English) help the final-year Arab university students (majoring in English) to locate and identify the shifts in short translated extracts (Arabic)?

This question, as of course in the case of the next three questions, has been answered through the relevant pool of empirical data collected by the initial and final exams done by the control and experimental groups during the translator training project. As indicated earlier (see sections 4.2.3.1 and 7.4), the first and second questions in the exams have been designed mainly to provide a sufficient answer to this question. The answer has been provided by the results of sub-competences II and III of the rubric, which carry together 25% of the total percentage of the exam and measure how far the SFL knowledge is useful in locating and identifying the shifts in short translated extracts (see Figure 7.1). While sub-competences II and III in the initial and final exams for the control group have shown almost no difference in scores (-0.03 and 0.0; -0.75% and 0.0% respectively), they have increased significantly in the experimental group by scores of 0.85 and 1.38; 21.25% and 34.5% respectively (see Figures 7.2 and 7.3). When comparing the results of these two sub-competences between the two groups, the difference has become clearly apparent. The experimental group has

comfortably beaten the control group in these two sub-competences by scores of 1.53 and 1.48; 38.25% and 37% respectively (see Figures 7.4 and 7.5). From another perspective, the percentage of the performance in these two sub-competences of the experimental group in the initial and final exams has changed positively: 37.9% and 900% respectively (see Table 7.5). To conclude, these results suggest that the metafunction analysis and the SFL framework in general have been very helpful in raising the skill level of translation assessment among the final-year Arab university students (majoring in English), particularly in locating and identifying the shifts in short Arabic translated extracts of English fiction.

b. Does the SFL knowledge raise the awareness of the final-year Arab university students (majoring in English) as translators and make them more capable of producing more accurate and metafunctionally equivalent Arabic translations of English fiction?

The translation question (question 3), which accounts for half of the total score of the exam, has provided a sufficient answer to this question. The results, given by sub-competence IV, have provided considerable insight into the wider applicability of the SFL knowledge to producing more accurate Arabic translations of English fiction (see Tables 7.2 and 7.3 and Figures from 7.2 to 7.5). The present results have shown that the translation performance of the control group in the final exam as compared to the initial exam has increased marginally by a score of 0.38 (or 9.5%), while it has increased enormously by a score of 1.98 (or 49.5%) in the experimental group. From another point of view, the percentage of this sub-competence in the control group has changed by +187.6%, while it has changed by +303.4% in the experimental group.

c. What relationship can be explored between the two skills of assessing short Arabic translated extracts of English fiction and translating English fiction into Arabic when attending the SFL-based translator training course?

This question has addressed a task that could prove quite challenging. It pursues one of the most 'untapped' research interests in TS. It investigates whether or not the SFL knowledge helps to increase the competence of assessment and translation correspondingly in the presence of the SFL-based translator training course. The Pearson correlation coefficient has been used as an effective measuring tool to explore the existence and the type of relationship between these two skills. In particular, the correlation coefficients have measured the behaviour of the score of translation or sub-competence IV (increasing or decreasing) when the score of assessment, reflected in sub-competence II and sub-competence III, is increasing or decreasing (see section 7.6). The results have indicated that the values of the correlation coefficient of the two elements of relationship (sub-competences II and IV, and III and IV) of the control group, on the one hand, have not increased significantly between the initial and final exams. They have only increased by 0.164 and 0.016 respectively. On the other hand, the values of the correlation coefficient of the experimental group for the same elements have increased significantly by 0.721 and 0.636 respectively (see Table 7.6 and Figures from 7.10 to 7.17). In summary, the present empirical results have confirmed that, yes, there has been a strong positive relationship between assessing short English-to-Arabic translated extracts of fiction and producing more metafunctionally equivalent Arabic translations of English fiction if the SFL-based translator training factor is strongly present.

d. How effective a model as a whole does SFL provide for training the final-year Arab university students (majoring in English) in English-to-Arabic translation of fiction?

The answer to this question effectively sums up the overall result of the translator training experiment. Three decisive parts in the end result can be presented here. The results reveal that the total percentage of the control group performance in the final exam has increased by 7.1%, while the experimental group has performed vastly better in the final exam, achieving an increase of 43.1%. The percentage change can also make another intriguing reading. The overall percentage between the total rate of

performance of the initial and final exams for the control group has changed positively by 76.3%, while in the experimental group it has changed positively by 218.8%. Individually, the highest positive percentage change in the control group has been +766.7%, whereas the corresponding percentage in the experimental group has been +1533.3%. Likewise, the lowest negative percentage change in the control group has been -100%, whereas the corresponding percentage in the experimental group has been -12.5% (see Tables 7.4 and 7.5 and Figures from 7.6 to 7.9). These empirical results provide a unique insight into the argument that SFL is extremely effective in training the final-year Arab university students (majoring in English) in translation of fiction.

8.5 The Main Contributions and Implications of the Research

This section identifies some issues relating to the most valuable research contributions and the major implications of the study. The contributions made in this research will be joined together with the possible implications that might arise from these contributions in the field of TS. The implications generated by this research study can be of interest to all stakeholders in TS. The discussion will deal in an orderly manner with each area of the study, looking to some extent at the area generally with respect to the integrity of the combined model of the research.

At the level of theory, some illustrative figures have been provided to make the presentation of the point more convenient and informative, such as Figures 3.1, 3.3, 3.4, 3.5, 5.7, 6.1 and 6.5. Moreover, three comparison tables have been produced and conceptually parameterised to assist the accessibility of the point in question. These tables describe the main differences between semiotics and social semiotics (Table 3.1), coherence and cohesion (Table 3.3) and overt and covert translations (Table 6.1). These figures and tables can provide handy information for future research. Furthermore, a glossary of the large number of SFL and TS terms and concepts arising in the discussion has been given at the end of this work to provide easier and more timely access.

Concerning Kim's model for metafunction shift analysis, seven Arabic mini-corpus translations of English fiction have been metafunctionally analysed to prove the usefulness of the model in the SFL-based assessment. The model has been developed

operationally in many ways (see section 5.5). In explaining the shifts, the applicability of some analytical models has been checked, such as Pérez's (2007) SFL-based classification of Transitivity shifts and Matthiessen (2001). The results of this study have provided a strong argument for using Kim's model in assessing English-to-Arabic translation by defining, locating and identifying the metafunction shifts. Further, the findings of this model have provided the basis upon which the other phases of the combined model have been built.

On the topic of explicitation, an important distinction at the micro-level of the TT has been drawn between optional explicitation within the scope of metafunction shifts analysis and optional explicitation beyond the scope of metafunction shift analysis. In this regard, a multi-level schema of optional explicitation beyond the scope of metafunction shift analysis has been generated. The schema can be effectively used in future research to study how feasible this accessible SFL-based description of micro-shifts is in identifying and interpreting the underlying trend of a translation at the macro-level. This schema has been applied to three translators: the ones scoring the highest, the median and the lowest number of shifts in the metafunction shift analysis model. The primary aim of this selection has been to examine the feasibility of the schema and assess the validity of the order of the translators in the previous model for metafunction shift analysis. It has been found that the order has been kept. The secondary aim has been to study some examples of this type of explicitation to see what effect they have had on the TTs. It has been found to be associated with the translator's tendency to play the role of mediator or facilitator in translation through making major optional explicitating shifts in the narrative structure (adding her/his voice) or in the point of view (shifting the narrative or spatio-temporal point of view). This multi-level schema can be fruitfully deployed to provide sufficient SFL-based data for conducting deeper investigation of explicitation shifts in English/Arabic translation of fiction or of any other genre, or indeed, in any other language pairs.

In implementing House's model, three main interdependent contributions have been made to facilitate its application, develop its tools and gauge its efficiency in TQA. Firstly, a ST Profile Template has been introduced to provide an efficient and accessible

method of analysis. It has served two main purposes: analysing the ST qualitatively and quantitatively and establishing qualitative and quantitative grounds for comparison with the TT. Secondly, a Match Tracer has been produced to draw a more practical qualitative and quantitative comparison with the ST Profile Template. The Match Tracer has proved reliable and convenient in tracing the features of the ST functionally and pragmatically. Finally, when comparing the Match Tracers, a table of quantitative measurements has been constructed to provide a clearer statistically elegant and revealing comparison. It could be argued then that these three modified techniques can be applied reliably to any other genre of English-to-Arabic translation. Further, these techniques can be broadly applicable (or with variations) to a wide range of languages.

In the matter of training, a translator training experiment has been carried out. The empirical results of initial and final exams showing the performance difference between the experimental group (those who took the SFL-based translator training course, which has been especially designed for this experiment) and the control group (those who did not take the course) have been immensely effective at demonstrating the viability and utility of the SFL framework in training final-year Arab university students (majoring in English) on English-to-Arabic translation of fiction. The experiment has been designed and conducted to achieve one broad objective and four specific objectives. The broad objective has been to examine the argument in this work that assessment and training purposes, once achieved, can integrate to assess the applicability of SFL to English-to-Arabic translation of fiction. The main specific objectives have been to: (i) examine the applicability of the metafunction analysis in locating and identifying the translation shifts in short Arabic translated extracts, (ii) test the usefulness of the SFL framework in producing more accurate and metafunctionally equivalent Arabic translations of English fiction, and (iii) explore the nature of the relationship between the two skills of assessing short Arabic translated extracts of English fiction and translating English fiction into Arabic in the present of the SFL-based translator training course. The initial and final exams scores have been used to validate the training course by comparing the control and experimental groups.

The results have been extremely encouraging. The experimental group has comfortably beaten the control group in all the four sub-competences of the scoring rubric. The total percentage of performance of the control group in the final exam has increased minimally by 7.1%, as compared with the percentage of the experimental group which has increased significantly by 43.1%. To explore the nature of the relationship between assessment and translation, the statistical tool of correlation coefficient has been used to measure the correlation between two elements of relationship representing the relevant sub-competence. The results have provided empirical evidence about the existence of strong positive correlations (0.548 and 0.571) between these two skills after giving the experimental group the 12-week SFL-based translator training course. The end result of this experiment has provided a new perspective in the field that SFL can be applied reliably in translation training in English departments in Arab universities.

8.6 Limitations of the Research

Despite the emergence of some significantly empirical and valid results in this study, complacency is not appropriate. There are some limitations on the research. Most of these were generally imposed by the restrictions of time. Some limitations were inherent; they were related to issues being anticipated and taken into consideration. Those issues were initially meant to lie beyond the limits and aims of the present study. And some other limitations were encountered in the course of the study; they were unforeseen limitations.

The first inherent limitation had to do with the delimitations determined at the very beginning of applying the first phase of the combined model of the research: the metafunction shift analysis (see section 5.1). Because of the exhaustive and rigorous nature of analysis, the study was limited to investigate *how often* the translators made those optional shifts, rather than *why* they made them. If the study had addressed the question of *why*, it would have led to some issues lying beyond the bounds of the study, such as the translators' ideologies, stylistic preferences, educational backgrounds or the time path of the translations. If such issues had been discussed, which was virtually impossible in this multi-phased research, the study would have undeniably arrived at

more precise description of these shifts. Another limitation which hindered the full analysis of the English and Arabic metafunction correspondences was due to the dearth of SFG research works in Arabic. The only comprehensive work found was Bardi's (2008) thesis. However, it was sufficiently reliable, especially because his study was carried out under the supervision of Professor Matthiessen, one of the most prominent figures in SFL. The third expected limitation recognised in this research was related to the application of House's model for TQA. The study involved just three of seven translations analysed in the preceding model (the metafunction shift analysis). This number was reasonably justified as the selection was made to include the translations having the highest, the median and the lowest number of shifts. In addition to the time factor, this number was believed to be large enough to check the validity of the new interdependent developmental processes introduced to the application of the model and to compare the order of the translators with that of the metafunction shift analysis.

There are also two inherent limitations to the current translator training experiment. Firstly, designing a questionnaire to collect the experimental group's views and opinions on the training course was a limitation. This tool was not used for two reasons: (i) the time available for completing the entire research was not at all adequate for adding another tool to the analysis combined model, and (ii) there were doubts about the reliability of the responses as many students were likely to be complimentary to their teacher, especially if he was familiar to them. Secondly, the gender-dichotomous variable was not considered in analysing the translator training experiment. The gender variable was deemed unnecessary in this experiment as the study basically addressed theory-informed assessment and translation effectiveness which is essentially a non-gender-based inquiry. In fact, the sample comprised both male and female participants, which made the findings more generalisable. If this variable had been taken into account, it would have compelled the study to cover areas lying well beyond the range of the study. More importantly, it was simple lack of time that made it extremely difficult to undertake such a daunting task in this multi-phased research study.

The unforeseen limitations were unavoidable mainly because of the time limit or the circumstances arising. One limitation was imposed by the level and size of the pilot

exam study. There was not much time left before carrying out the fieldwork in Saudi Arabia, and therefore, the pilot study had to be conducted in a tight period of time. The only Arab native translation students found at the University of Leeds belonged to a slightly higher level (the first semester in their MA English/Arabic Translation Programme) than the intended level (final-year BA students majoring in English). Four participants had initially agreed to take part, but because of unexpected illness, two of them did not show up on the agreed date and sent their apologies with their classmates. The other unexpected limitation had to do with a very delicate issue. Although the participants of the control group were cooperative, their results in the initial exam were lower (though insignificantly) in all four sub-competences than the participants of the experimental group. This was likely to have contributed to the experimental group's excitement generated by the prospective advantage gained by attending the training course. But it must be admitted, controlling this variable of motivation precisely and consistently is extremely difficult at least in this work.

8.7 Recommendations for Further Research

Though this work has provided significant developmental accounts of the emergence of SFL applications in TS, further developments are yet to take place in future research. This is generally what makes research develop; answering a question can likely raise another question; the findings of one study stimulate interest over what is left to be done. Future studies ought to be conducted either to confirm or test the results obtained from this work. They can also fill the gaps left by the above limitations. The delimitations in this work can be potential topics for future research. In what follows, the recommendations will be provided, for convenience, phase by phase.

In the metafunction shift analysis model, future researchers can sensibly consider the following suggestions:

1. Enlarging the mini-corpus (the number of clauses) can enhance the validity of the results and the generalisability of the findings.

2. A quantitative analysis of the ST/TT correspondence of one or more functional element in the systems of Transitivity or Mood can be carried out to explore the degree of conformity in the correspondence on the cline of delicacy. This can give insights into new aspects of identifying more accurately the effect of the possible optional shifts on the TT.
3. The questionnaire tool can be productively used to provide more objectivity and reliability to the findings of the manual analysis. The appropriate respondents to the questionnaire are those having interests in SFL and translation.
4. Special computer programmes for identifying and counting some functional elements will revolutionise assessing translations using the SFL approach and corpus linguistics. This considerable refinement will feed the analysis with more productive analyses making the assessment grid more efficient and reliable.
5. More qualitative and quantitative studies can be made to test the validity of the created multi-level schema of explicitation beyond the scope of metafunction shift analysis. Extending the corpus will be effective in producing more reliable results. Further, by using this schema, quantitative comparison can be made to explore the types and degree of impact of these optional shifts on different English-to-Arabic translations of fiction.
6. The two models of metafunction translation assessment developed in this phase can be exploited in other genres or adapted for other language pairs.
7. One of the most challenging topics of research is to test the applicability of SFL to Arabic-to-English translation.

In House's model for TQA, suggestions for future research include the following:

1. Applying the ST Profile Template to another piece of English prose fiction or to other genres is obviously a potential topic. This will approve or disapprove the proposed template, and determine its validity or otherwise.

2. Likewise, drawing a ST/TT comparison using the Match Tracer will help to develop or refine the Tracer.
3. As House (2015) calls for introducing corpus studies into the model, more studies in corpus linguistics and more quantitative elements can be added to the model as a whole so that the analysis and comparison can be further enriched and a more overt/covert definite decision can be made.

As far as the SFL-based translator training experiment is concerned, the following two research topics can be recommended:

1. Long-term research on the applicability of the SFL framework in translation could provide more encouraging results that would help to support including SFL and its applications in the academic programmes of English departments in Arab universities.
2. Further training research is required on the likely benefits of using SFL in translating different text types from English into Arabic.

As the work draws to a close, a final observation is that this research is hoped to be very useful in TS. Its contributions to the field are not too numerous to list, nor are they exhaustive. However, what is at issue is that they are believed to be genuinely valuable for the development of SFL in descriptive and applied Translation Studies. The central premise underlying the entire study is that translation starts from a source text, and when the starting point is an English text, the SFL framework is possibly the best choice for both categories intended by the study: professional translators and academic translation trainees. SFL is efficient in analysing the functions and thus understanding the meaning of the English text. What remains to be done after that is to consider the functions and produce a TT in which the meanings of the ST are reconstrued using the TL network of systems. If this has been empirically proved applicable to translating English prose fiction into Arabic, then it is quite likely to be adaptable to a wide range of genres.

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Glossary

accessibility	One of four scales of Tenor. Accessibility reveals the assumptions the producer makes regards the knowledge shared between her/him and the receiver.
adequate translation	The translation that preserves in the TL the textual relationships of the ST with no breach of its own basic linguistic system.
aesthetic reading	The reading through which a reader devotes her/his entire attention to the experience s/he can gain while reading.
affective involvement	Identifying whether the role played in a given situation makes the involvement between the language users low or high.
appraisal	An approach to exploring, describing and explaining the way language is used to evaluate, to adopt stances, to construct textual personas and to manage interpersonal positionings and relationships.
argumentative text type	A type of text promoting the acceptance or evaluation of beliefs or ideas as true. Or, it is the one focussing contextually on the evaluation of relations between concepts.
audience design	A sociolinguistic-based stylistic-shift concept. Speakers of language tailor their style for and in response to their audience, and any style shift is essentially a result of the change in the audience groups. These groups are categorised (in a descending-influence order) into: addressees (whose presence is known, who are ratified participants in an exchange, and who are directly addressed); auditors (known, ratified but not directly addressed); overhearers (known but not ratified participants and not addressed) eavesdroppers (whose presence is not even known).
back-translation	A word-for-word translation of a TT back into the SL, often retaining the structure of the TT. This can be used to explain the translation process for an audience that does not understand the TL.
binary error	A 'defect' in the translational competence skills regarding the translator's ability to generate a TT series of more than one viable term for a ST. It involves a wrong answer as opposed to a right answer. Such an error essentially requires language-based correction.
bottom-up analysis	The analysis starting from the smaller units (such as words and sentences) of the text and working up to the larger ones (such as context and culture).
channel limitation	One of four scales of mode. This scale indicates the reflection of the choice of channel, be it unitary or multiple, in the level

	of explicitness or implicitness in the signalling of meanings.
circumstances	Those lexicogrammatical resources that cover such matters as the settings, temporal and physical, the manner in which the process is implemented, and the people or other entities accompanying the process rather than directly engaged in it.
citation	The use of quotation marks to convey explicitly the pragmatic meaning to the TLRs.
class	In SFL terms, the class item (a word) should be taken and labelled pursuant to its potential grammatical function and the actual role it plays in the actual structure, but not to its decontextualised definition in a dictionary.
class shift	A shift that involves shifting from one part of speech (or a class of group as referred to by SFL) to another.
clausal linkage	A textual aspect reflecting the Logical Relations between clauses in the clause complex
clause	The main resource through which meaning is expressed. It is the gateway to the text as a unit. Form the SFL perspective, translators cannot create a text without working on meaning at the clause level.
clause complex	A combination of two or more clauses into a larger unit, with their interdependence normally shown by explicit signals such as conjunctions. In other words, it is the grammatical and semantic unit formed when two or more clauses are linked together in certain systematic and meaningful ways.
clause nexus	A pair of clauses formed by one taxis.
closed registers	Those featured by fixed and limited possible messages, and lack the scope for individuality or creativity, such as the language of the armed services and games.
cognitive inputs	Cognitive inputs unconsciously shape the way native listeners and readers understand not only the linguistic knowledge of the text, but also the extralinguistic knowledge or background information, such as situation, context and world knowledge.
coherence	The network of conceptual relations which underlie the surface text. It refers to the accessibility, relevance and logic of the concepts and relations underlying the surface texture of a text.
cohesion	The network of surface relations which link words and expressions to other words and expressions in a text. It provides resources for managing the flow of discourse and creating semantic links within or across sentences. Further, it refers to relations of meaning that exist within the text, and that define it as a text.
collocation	The phenomenon of the co-occurrence tendency of particular lexical items. It is not governed by any general semantic

	relationship like the other types of lexical cohesion (repetition, synonymy, hyponymy, etc.); it is governed rather by the association between the given lexical items
combinatorial view	Language is viewed as larger units made up of smaller units.
commentary markers	Expressions signalling a comment on the basic message.
communicative dynamism	The concept representing the phenomenon whereby sentences are made up of Themes followed by Rhemes and that, in the unmarked case, Rhemes are the more communicatively important.
concretisation	The reader's (or the translator's) resulting process of interpreting a physical work (a text) through creating mentally its images, which are based on the schema provided by the message, and representing them in the TL by the translator.
consultative style	A neutral style characterised by the absence of formal and informal markers, occurring in conversations or letters between strangers where the social relationship does not allow for much prior understanding or prediction of the message.
context dependent	One of three kinds of text in relation to the Mode involved. It is the text in which the situation plays an important role in processing the participant identification (e.g. a speech activity which involves a heavy use of exophoric references to people, places and things).
context free	One of three kinds of text in relation to the Mode involved. It is a text which is characterised by generalising across it (e.g. a written piece of a general topic).
context independent	One of three kinds of text in relation to the Mode involved. It is a text in which a reader can understand the references easily without being given a co-text (e.g. a written bibliography).
context of culture	The social processes that make it possible for the language to mediate and function for use. It consists of a set of factors that determine, collectively, the way the text is interpreted in its context of situation.
context of situation	The immediate environment in which a text is actually functioning. It is an abstract representation of the environment in terms of certain general categories having relevance to the text. It reflects the occasional occurrence or use of a certain utterance in a given situation, and that which makes receivers able to predict what text is yet to come.
continuity	The ways by which a communicator produces a text that is coherent and relevant to the subject matter, and that is built by means of certain kinds of bridges and paths so that her/his receivers can easily follow it.
contraction shift	A Transitivity shift taking place where a Process in the ST is rendered as No Process. The contraction strategy may add

	fluency to the translation but may also result in the loss of ideological (active) nuances that are conveyed by the ST.
contrastive linguistics	The discipline charting similarities and differences between languages and grounding the possible teaching programmes on such contrastive findings.
conversational cooperation	The interactants (the sender and receiver) of a communication activity cooperate to achieve effectiveness in the exchange of information, and thus in meaning.
corpus linguistics	A branch of linguistics that bases analysis on corpora (electronically readable database of naturally produced texts, which can be analysed by computer) using tools such as concordances (on-screen or printed-out lists of occurrences) and statistical analyses of phenomena such as collocation.
covert version	One which enjoys the status of a ST in the target culture. It is a translation of a ST that is not tied to the SL and its culture. It is not marked pragmatically as a translation, but rather conceived to be created in its own right; like a TL original.
covertly erroneous errors	Those pragmatic errors related to language users and use.
creative clause	In SFL terms, it is one which is construed as being brought into existence as the Process unfolds, as in <i>she painted a portrait of the artist</i> .
criterion-referenced test	One which produces information describing how far the participants meet the skills and behaviours determined in advance.
critical linguistics	The analysis of language use with the aim of discovering concealed ideological bias, and underlying power structures.
cultural filter	A means of capturing socio-cultural differences in expectation norms and stylistic conventions between source and target linguistic-cultural communities. It is used to legitimately manipulate the ST at the levels language/text and register.
culture	From the perspective of social semiotics, culture is a semiotic construct representing the social reality of a complex network of meaning potential.
delicacy	A kind of relationship between two or more systems, ranks, classes, structures, etc. which represents subsumption of a part under another part, a kind under another kind, a class under class, a specific under more general in a taxonomy, and so on.
dematerialisation	A Transitivity shift taking place when a Material Process in the ST translates in a Non-Material Process. Dematerialisation is used to personalise or depersonalise the ST Process.
density	Density is associated with constructing complex meanings. In written language, complexity is actualised by lexical density (packing a large number of lexical items into clauses) while in

	spoken language, density is obtained by intricacy in grammar (building up elaborate clause complexes out of dependency or taxis relations).
dependent or bound clause	A clause that cannot stand alone but functions to provide some kind of supportive information for other clauses.
dependent variable	The core concept assessed in the research study.
depersonalised receptive voice	A lexicogrammatical resource by which a speaker actualises the voice and decides to remove the Actor and keep it implicit, and it can be contextually unfolded.
descriptive route (or translation universals)	One of Chesterman's three main routes of generalising about TS. It describes the corpus-based phenomenon, and operationalises the general claims by interpreting and testing them to see how universal they are.
descriptive text type	A type of text enriching knowledge spaces focusing on objects or situations.
Descriptive Translation Studies (DTS)	A branch of Translation Studies, developed in most detail by Toury (1995), that involves empirical, non-prescriptive analysis of STs and TTs with the aim of identifying general characteristics and laws of translation.
deverbalisation	A technique of reformulating the discourse in different words.
dialectal variety	The variety which is determined or differentiated by temporal, regional and social variables.
diatypic variety	The variety which is determined or differentiated by Field, Tenor and Mode, that aggregate to serve the purpose of featuring the semantic configurations that are typically associated with particular social contexts.
directness	A graded property of the semantics-to-grammar mapping, for example between participant (semantic) roles and grammatical functions, between expressions of modality in different lexicogrammatical categories, or between logical relationships, such as causation, and their lexicogrammatical or cohesive expression.
discourse	The social process in which texts are embedded. It is a practice of representing, signifying, constituting and constructing the world in meanings.
discourse world	A superordinate structure for interpreting meaning in a certain way.
domestication	The strategy of communicating the ST in new domestic uses in TL. It makes the translator capable of reducing the linguistic and cultural differences so as to make the TT more receivable in the target language and culture.
dubious acceptability	Those cases showing violation of the norms of usage – a set of linguistic rules forming the actual use of language.

dynamic equivalence	A translation that preserves the effect which the ST had on the source reader and which tries to elicit a similar response from the target reader.
efferent reading	The reading through which a reader pays more attention to the information internalised and kept after reading.
elaboration	Elaboration actualises when one clause elaborates on the meaning of another by further specifying or describing it. In translation, it can come in the form of a gloss, a footnote, appositive or classifier
embedding clause	A clause or a phrase functioning as a constituent within the structure of a group, which itself is a constituent of a clause. Put differently, it is one that is used as a constituent part of another clause, functioning within a group as a noun, an adjective or an adverb.
emic text	One which is solely decided by text-immanent criteria.
enhancement	Enhancement takes place when one clause (or subcomplex) enhances the meaning of another by qualifying it by reference to time, place, manner, cause or condition. In translation, it involves a potentially redundant circumstantial element deducible from the ST context.
Ergativity	The phenomenon in language that focuses on the fact that the process may happen by itself or be caused to happen.
etic text	One which is determined through text-transcending means.
expansion	A fundamental relation between processes; the part of the grammar that constitutes a theory of how one happening may be related to another. It actualises when one figure is joined logico-semantically to another by a sequence of the same order of reality.
expansion shift	A Transitivity shift taking place where No Process in the ST is replaced by a Process in the TT. The influence of this shift is to make the Participant more actively engaged in the event than its ST counterpart.
experiential metafunction	The function that represents the reality that speakers construe for themselves by means of language. It provides the resource for construing the speakers' experience of the world around them and inside them as meaning.
explanatory coherence	Explanatory coherence surpasses supplemental coherence in justifying the continuity of senses. It secures a successful interpretation of a certain speaker's implied meaning in a given context.
explicitation	The phenomenon which frequently leads to TT stating ST information in a more explicit form than the original. It is a stylistic translation technique which consists of making explicit

	in the target language what remains implicit in the source language because it is apparent from either the context or the situation.
expository text type	A type of text focussing contextually on the (de)composition into/from constituent elements of given concepts.
extension	Extension actualises when one clause extends the meaning of another by adding something new to it. In translation, extension involves a lexical item, string or textual stretch preparing the TLRs for what follows.
Field	One of the three dimensions of register. It represents the social action in which the meaning is perceived within the social system. It is the kind of language which reflects the purposive role or the social function of the text. In general, it is concerned with the subject matter or the main topic of the text.
finite form	Functionally defined as an element of verbal group carrying either tense or Modality to make the proposition arguable.
foreignisation	The strategy of making the culture and language of the foreign or ST transparent and well placed in the TT. This can be achieved through borrowing ST structures or lexical items.
formal equivalence	A translation that preserves reproducing the linguistic effect of the ST in the TT. This linguistic effect is achievable by reproducing in the TT the ST grammatical units, consistency in word usage and meanings in terms of the source context.
formality	One of four scales of Tenor. Formality attributes the attention and importance the producer of a text gives to the structuring of the message, mainly through the choice of lexical items and grammatical structures
frame	Frame explains how the speakers of a language use culturally-determined concurrent ways of making the intended meaning of utterances immediately expected and interpreted by the hearers according to what activity they are operating in, for example, joking, imitating lecturing, etc. It is a socio-psychological concept that correlates to the more socially conceived notion of context; it gives the receivers instructions as how to interpret the message unconsciously. In translation, a translator may explicitate and use interpersonal advance organisers to help the TLRs expect how what follows is to be understood.
functional Tenor	Functioning to describe the intention of using language in a given situation relating to a particular activity.
Genre	Genre has those features perceived by language users as being appropriate to a certain social occasion.
hypotaxis relation	The non-symmetrical, non-transitive logical 'binding' of elements of unequal status.

iconic linkage	A textual aspect representing the case in which two or more sentences cohere because they are, at the surface level, identical. It is a writing strategy whereby expressing the same information every time it occurs in the text is done through identical wording or the same isomorphic constructions.
ideational metafunction	The content function of language which deals with how our experience of reality, material and symbolic is construed in discourse. Using the ideational function, the speaker of language encodes her/his cultural experience and the environment around her/him.
ideological point of view	The point of view that designates the taken-for-granted assumptions, beliefs, and value-systems shared by social group.
ideology	Ideology encompasses three main elements: (i) cognition (thought and belief, which go together to create ideas); (ii) society (group interests, power and dominance); and (iii) discourse (language use which expresses ideologies in society, often involving concealment and manipulation). The ideology of a translation resides not simply in the text translated, but in the voicing and stance of the translator, and in its relevance to the receiving audience. In other words, the translator translates according to various conscious ideological settings in which s/he learns and performs her/his task.
idiomatic translation	A strategy by which the reproduction of meanings of the ST can be accomplished through applying equivalent ways of conveying these meaning using the expressive resources available in the TL.
illocutionary force	The performative intention which the utterance serves.
impersonality	One of four scales of Tenor. Impersonality is reflected in the avoidance of direct reference to the producer.
implicature	Implicature refers to what the speaker means or implies rather than what s/he literally says.
Independent or free clause	One that can stand by itself as a complete sentence.
independent variables	Things manipulated to measure the effect on the dependent variable of the study.
instantiation	The cline explaining the relation between language as a system of underlying potential and language as a set of texts (or instances).
instructional text type	A type of text regulating the way people act or think.
Intensity	The semantic domain related to the degree of intensity of the Process or to the speaker's limiting or exceeding what is to be expected.
interlingual translation	Translation between two different languages.

interpersonal metafunction	The participatory function of language. It represents the speaker's meaning potential as an intruder, that is the speaker intrudes herself/himself into the context of situation, both expressing her/his own attitudes and judgements and seeking to influence the attitudes and behaviour of others.
interpersonal Theme	Theme actualising when a clause begins with a resource of interaction between the speaker and the hearer, such as the use of vocatives or comment adjuncts.
interrupting clause	A clause that a language user inserts to interrupt the flow of the original clause, which is, in its turn, completed in due course.
intra-lingual translation	Translation within the same languages.
intra-system shift	The shift which occurs when the SL and TL possess approximately corresponding systems, but the translation process uses a non-corresponding term in the TL system, such as number and article systems.
introspective TQA model	One which studies the translator's decision-making process before applying any other TQA model.
kernels	The most basic syntactic elements to which a sentence may be reduced.
lateral TQA model	One which is a TT-oriented assessment type set out to compare the translated texts with original non-translated texts or parallel texts in the TL.
logical metafunction	The function in which logical relations are encoded in language in the form of co-ordination, apposition and modification
logico-semantic relations	The two main relationships of expansion and projection, which can be signalled between clauses and function in very different ways.
loyalty	A moral principle indispensable in the relationship between human beings, who are partners in a communication process. More specifically, translators are bound to keep themselves responsible for and loyal to the ST and its author as well as the TT situation and its readers.
markedness	An aspect of language use where some linguistic features may be considered less basic or less preferred than others. These marked features are used in a contextually motivated manner, i.e. to yield a range of effects, e.g. <i>It was Mary who stole the purse</i> as a 'marked' variant of the 'unmarked' <i>Mary stole the purse</i> .
Material Process clause	One that construes the speakers' experience of the material world as doing.
materialisation	A Transitivity shift taking place where a Non-Material Process of any type translates to a Material one. It can be used to

	personalise or depersonalise the original Non-Material Process.
metacommunicative competence	The knowledge about how the two languages and cultures work and where the differences lie that make it impossible just to 'switch codes' in translation.
metafunctions	The modes of meaning (ideational, interpersonal and textual) that are present in every use of language in every social context. They provide substance to the key principle that language is a meaning potential encapsulating the central idea of a system network.
metaphor	In SFL terms, this refers to a resource for expanding the meaning potential by creating new patterns of structural realisations, and thus new systemic domains of meaning.
minor clauses	Clauses with no Mood, Transitivity or thematic structures, functioning as calls, greetings exclamations and alarms, like <i>Mary!</i> , <i>Good night!</i> and <i>Well done!</i>
Modality	The system that represents the region of uncertainty between the two poles of 'yes' and 'no', which constitute the system of Polarity. It refers to a speaker's attitude, maintained in the language by the use of lexicogrammatical resources such as modal auxiliaries, modal adverbs, evaluative adjectives and adverbs and so on, towards the truth of a proposition expressed by a sentence.
Mode	One of the three dimensions of register. The Mode of discourse of a text is basically featured by the medium or channel used in a language activity. It is the symbolic organisation which includes the particular function of the social action and the medium involved.
Mood	The grammatical resource for realising an interactive move in dialogue. It is the major interpersonal system of the clause that provides the language users with required lexicogrammatical resources for enacting speech functions (or speech acts), such as giving or demanding information and giving or demanding goods-&-services.
narrative point of view	The point of view that specifies whether the events of a story are viewed from the position of the first person participating character-narrator who forces the readers to share his account of the actions (an omniscient, subjective or internal narrator), from the position of the third person invisible observer-narrator who is detached from the actions of the story (external or objective), or from the third person who is external but is characterised by restricted omniscience when s/he delves at times into the thoughts and feelings of characters. The type of narrative point of view constitutes an important stylistic dimension of a story, giving its feel, colour and texture.
narrative text type	A type of text arranging actions and events in a particular

	sequential order.
nominalisation	A lexicogrammatical choice which allows a process, more obviously realised as verb, to be realised as a noun.
non-binary error	It refers to any 'defect' in the translational competence skills regarding the translator's ability to 'select' a TT from a potential TT series as a 'replacement' of the ST. A non-binary Error is discussed within the 'it's correct but ...' concept. An error of this kind is corrected within translation class of correction, and also within the language class but in areas situated beyond the most basic levels.
non-shift	Non-shift involves an adequate attempt to convey the meaning of the Process, even if it is accompanied by slight changes of meaning.
norm-governed explicitations	The frequent solutions translators tend to use to solve textual-based, lexicogrammatical – and pragmatic-oriented and process-independent problems.
norm-referenced test	One which is developed to assess professional translators or those who have graduated from translation programmes, and provides a broad indication of a comparison nature.
objective position	An arrangement of word order whereby the Theme precedes the Rheme in normal unmarked speech.
obligatory explicitation	This is driven by differences in the syntactic and semantic structure between the SL and TL. It is a result of the lexicogrammatical differences between the source and target languages.
obligatory shift	In SFL terms, this is a shift imposed by the grammatical system of the source and target languages.
open registers	Those related to more open varieties of language, such as the language of everyday social interaction with people, be it to entertain, teach, direct or persuade.
optional explicitation	This is mainly related to the text-building techniques and stylistic choices between the ST and TT. In other words, grammatically correct sentences in the TT can be produced without resorting to such explicitation, but with the possibility of the text being clumsy and unnatural.
optional shift	In SFL terms, this is a shift attributable to stylistic preferences between the source and target languages.
overt translation	One in which the TLRs are quite 'overtly' not being directly addressed; i.e. it is not a 'second original'. Texts that call for overt translations have an established worth or status in the SL community and its culture or those which have a general human interest.
overt version	One in which the TLRs are quite 'overtly' not being directly

	addressed; i.e. it is not a 'second original'. Texts that call for overt translations have an established worth or status in the SL community and its culture or those which have a general human interest.
overtly erroneous errors	Those dependent on the denotative meanings of source and target elements or breaches of the TL system at various levels.
paradigm	In TS context, this is a set of theories (general ideas, relations and/or principles) that work cohesively within one entity and share the same point of departure for people working with these theories.
parataxis relation	The symmetrical, transitive logical 'linking' of elements of equal status.
participation	One of four scales of mode. This scale emphasises the possible degree of feedback between sender and receiver in a language activity. Whereas in spoken language, the feedback is mostly continuous and non-verbal, in written language instant feedback is absent, and thus, the writer can sometimes stimulate the reader by making an occasional use of the techniques of temptation and illustration.
pedagogical TQA model	One which is designed to evaluate the performance of trained translators or provide feedback for future improvement.
pejorative route	One of Chesterman's three main routes of generalising about TS; it investigates the translations in terms of the negative features they definitely have.
personal Tenor	Basically related to the various degrees of formality maintained in a language activity.
politeness	One of four scales of Tenor. Politeness demonstrates the distance in the addressee relationship, maintained, for example, by means of different address systems, soft expressions and certain grammatical structures.
politeness	A system of interpersonal relations designed to facilitate interaction by minimising the potential for conflict and confrontation inherent in all human interchange.
power and solidarity	Power and solidarity relationships basically emanate from the level of the social distance maintained in a language activity between producer and receiver on the one hand and between both participants and the subject matter on the other. While a power relationship is enacted when the text producer is able to impose her/his own plans without considering the receiver's plans, solidarity, by contrast, is actualised once the text producer waives her/his right of power and works with the receiver as a team.
pragmatic aspect of meaning	The correlation between linguistic units and the user(s) of these units in a given communicative situation.

pragmatic equivalence	A translation that seeks to preserve the subtle aspects of ST meaning.
pragmatic explication	This is actualised when some cultural elements of the ST are included in the TT, such as names of places. Explications of this type are used when a translator needs to add linguistic material in order to explain a concept specific to the source culture.
pragmatic markers	Marking devices which display the speaker's understanding of the contribution's sequential relationship or relevance to the information set as established by the immediately preceding contribution. Functions of pragmatic markers belong within Halliday's interpersonal component.
pragmatic strategies	The selection of information in the TT, a selection that is governed by the translator's knowledge of the prospective readership of the translation.
pragmatics	The study of language in use. It is the study of meaning not as generated by the linguistic system but as conveyed and manipulated by participants in a communicative situation.
prescriptive route	One of Chesterman's three main routes of generalising about TS; it states prescriptive generalities claiming to be applicable to all translations.
privateness	One of four scales of mode. This scale is concerned with the number of receivers a text is forwarded to. The more receivers are intended, the less private a text is in terms of shared assumptions and knowledge, and vice versa.
projection	A fundamental relation between processes; the part of the grammar that constitutes a theory of how one happening may be related to another. It arises when one figure is set up in a different plane of reality.
proposal	The exchange of goods-&-services i.e. offers and commands.
proposition	The semantic function of language to exchange information.
prospective TQA model	One which is TT-centred, i.e. it departs from the TT to see its effect on the TLRs without taking account of the ST.
protolanguage	Protolanguage representing the stage of language when young children begin semantically to develop their systems around certain recognizable functions. It is a child tongue rather than a mother tongue.
psychological point of view	The point of view that stipulates the ways the narrative events are mediated through the consciousness of the story teller.
reader-based shift	A shift resulting from the change of the intended audience.
realisational view	Language is viewed as one system coded in another and then recoded in another.

Relational Process clause	A clause that is concerned with the speakers' experience modelled as being.
relevance theory	The fundamental principle of relevance theory is the inference or interpretation resulting from the mutual knowledge between the sender and receiver, which is necessary to make a communication activity relevant and thus successful. Relevance theory looks at translation as a communicative stance, more specifically, translation is not only an encoding, transfer and decoding process but more importantly an inference-oriented process. In relation to this theory, the translator's job is to translate what is relevant to the TLRs, and this may involve using the techniques of explanation, addition or omission.
resource	The tool or material needed to enact a social practice. It is the action and artefact used for communication. In verbal communication, resources are linguistic signifiers – words and sentences – having a signifying potential rather than specific meaning, and need to be studied in the social context. Language can be represented as a resource, in terms of the choices that are available, the interconnection of these choices, and the conditions affecting their access.
retrospective TQA model	One which studies the relation between the TT and its ST.
rewriting process	Translation can be approached as a rewriting of the original text, by which a certain ideology and poetics are reflected by means of manipulation process, in its positive aspect, in the TL. The outcome is a TT in which new concepts, genres and devices can be introduced to the target society.
rhetorical purpose	The set of mutually relevant communicative intentions that readers distinguish on the basis of their previous experience of similar texts.
risk-management approach	The risks (taken in terms of possible undesired outcomes) the translator might take in a translation activity as compared with a non-translated one.
rubric	A document that articulates the expectations for an assignment by listing the criteria or what counts and describing levels of quality from excellent to poor.
self-awareness and responsibility	A concept which implies the development of students' attitudes towards other translations and, accordingly, to their own translations as well.
semantic aspect of meaning	The relationship of linguistic units to the 'concrete' or 'abstract' denotative references in any world that the human mind is capable of constructing. In simplified terms, it designates the relationship between words and things.
semantic prosody	The aura of meaning, which also happens to be an aspect of

	pragmatic meaning, through which subtle implicatures (often processed subliminally) are conveyed. It can be appraised on the scale of Polarity as positive, neutral or negative. For example, <i>happen</i> in English is often associated with negative meaning, whereas <i>take place</i> reveals neutral meaning.
semiosis	A process or action of signs.
semiotics	A dimension of context which regulates the relationship of texts to each other as signs.
sense	The representation of signs in a text. It is what an author deliberately wants to communicate. In other words, sense is not the sum of words, it is their organic whole.
shift	The small linguistic changes that occur between ST and TT at all levels including text, Genre and discourse.
sign	Something that carries meaning, consisting of a form (a signifier), and its meaning (a signified), having the ability to transfer information from a producer that encodes to a receiver that decodes.
situation	The environment in which the text comes to life.
situation type	A constellation of meanings deriving from the semiotic system that constitutes the culture.
social attitude	This encompasses the degree of social distance between the addresser and the receptors in terms of formality.
social context	This is the context that encompasses those general properties of the situation (Field, Tenor and Mode) which collectively function as the determinants of text, in that they specify the semantic configurations that the speaker will typically fashion in contexts of the given type
social role relationship	The role relationship between addresser and addressees, which may be either <i>symmetrical</i> (marked by the existence of solidarity or equality) or <i>asymmetrical</i> (marked by the presence of some kind of authority).
social semiotics	An approach to language interpreting language within a sociocultural context, in which the culture itself is interpreted in semiotic terms – as an information system.
social structure	The structure which is actualised in the forms of semiotic interaction and which generates the semiotic tensions and the rhetorical styles and genres that express them.
spatial point of view	The point of view that indicates the viewing position assumed by the narrator of a story.
Speech act	An action performed by the use of an utterance to communicate in speech or writing, involving reference, force and effect. The reference is the sense of a specific event (or locutionary act), person or object, the force (or illocutionary

	act) is the speech act, and the effect (or perlocutionary act) is the consequence which may or may not be related to the functional force involved. In SFL terms, speech acts are referred to as speech functions.
spontaneity	One of four scales of mode. This scale refers to the amount of attention paid to the deliberation, planning and/or editing of a text.
strategic explicitations	The reformulation of the TT in order to solve process-oriented problems.
stratification	A concept which means that one layer or stratum operates in the environment of the broader layer and provides the environment for the narrower layer or stratum. In other words, a higher level provides a context for its lower level or that a higher level cannot exist without its lower level.
structural shift	The most common shift in translation. This shift occurs in all ranks in translation, such as phonology, graphology, grammatical structure and word order.
style	The way in which language is used in a given context, by a given person, for a given purpose, and so on. It is a reflection of a writer's textual choices and as the resource of effects on readers. As far as SFL is concerned, lexicogrammatical choices are meaningful, and thus they are stylistic.
subjective position	An arrangement of word order whereby the Rheme precedes the Theme in emotive speech.
successful translation	Successful translation is very closely associated with the difference between the two familiar concepts of equivalence (which exists between texts) and correspondence (which exists between linguistic elements). Accordingly, a successful translation is one that achieves overall equivalence between the ST and TT. More weight should be given to the interaction between a particular text and a particular context to maintain equivalence and thus achieve successfulness in translation.
S-universals	S-universals represent research works carried out to investigate the possible universal differences between translation(s) and the ST.
supplemental coherence	The minimal type of coherence by which a particular continuity of sense between parts of an utterance is achieved.
system	A set of linguistic choices operating within a specific context.
system network	The theoretical representation of a potential, the potential that is inherent in some particular set of circumstances. This network is actualised by three metafunctions: the ideational, whereby language construes human experience; the interpersonal, whereby language enacts human relationships; and the textual, whereby language creates the discursive order

	of reality of that enables the other two.
Systemic Functional Grammar (SFG)	A way of describing lexical and grammatical choices within the systems of wording so as to understand how language is being used to realise meaning. SFG is a theory of grammar that is oriented towards discourse semantics. In other words, if we say we are interpreting the grammar functionally, it means that we are foregrounding its role as a resource for construing meaning.
Systemic Functional Linguistics (SFL)	The SFL model approaches language as a meaning-making resource through which people communicate in given situational and cultural contexts. The main objective of this model is to describe the grammatical resources available in language for making meaning. Meaning serves as a function of the description.
temporal point of view	The point of view that specifies the impression a reader gains of the movement of events in a continuous chain or isolated segments.
Temporality	The semantic domain related to interpersonal (deictic) time or to the speaker's expectation concerning the time at issue.
Tenor	One of the three dimensions of register. It is the role structure which entails the cluster of socially meaningful permanent or specific-related situational relationships. It is mainly concerned with the relationship and the social distance between a producer and a receiver of a text.
text	A unit of language in use. It is a process of making meaning in context. It is the linguistic form of social interaction. In other words, it is a continuous progression of meanings, combining both simultaneously and succession. The meanings are the selections made by the speaker from the options that constitute the meaning potential; text is the actualisation of this meaning potential, the process of semantic choice.
text function	The application or use of the text in a particular context.
text type	A set of heuristics for producing, predicting and processing textual occurrences and hence acts as a prominent determiner of efficiency, effectiveness and appropriateness.
text-based shift	A shift resulting from the translation process and affecting the ST's meaning potential. In other words, this shift takes place when a choice made by a translator indicates a lack of awareness of the ST meaning potential.
textlinguistics	The study of text as a communicative event rather than as a shapeless string of words and structures.
textual aspect of meaning	This refers to how the ST is processed in terms of Theme-Rheme sequences and different cohesive devices.
textual metafunction	The textual function of language. It represents the speaker's

	text-formation potential. It enables language to make 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 recognise one. It serves not only to establish relations between sentences, but more importantly to contribute to the internal organisation of the sentences and represent meaning as a message both in the organisation itself and in relation to the context.
textual Theme	Theme representing the resources of meaning, words or phrases, used at the beginning of the clause to connect the clause with the previous text.
textuality	The complex linguistic set of features available in any text that reflects certain social and communicative constraints. With reference to translation, textuality integrates translation procedure and world knowledge with the text as a product.
texture	The successful organisation of a text in its context.
Theme	The system where the thematic structure actualises. Thematic structure is that which gives the clause its character as a message. This structure consists of two elements: Theme and Rheme.
Theme and Rheme	Theme is the element which serves as the point of departure of the message; it is that which locates and orients the clause within its context, while Rheme constitutes the remainder of the message, the part in which the Theme is developed.
Theme-dynamics	A textual aspect describing the different patterns of semantic relationships by which Themes are represented in the text.
top-down analysis	The analysis starting from larger units or factors and working down to the smaller ones.
training	A specific-oriented process that aims at preparing people to cope with problems anticipated in advance and amenable to solution by the application of formulae.
transeme	A comprehensible functionally-based textual unit.
transformative clause	In SFL terms, this is a clause where a pre-existing Actor or Goal is construed as being transformed as the Process unfolds, as in <i>she painted the house red</i> .
Transitivity	A resource for construing our experience in terms of configurations of a process, participants and circumstances.
translation brief	The statement made to a translator beforehand, defining the goal, purpose or function of translation. It should provide the translator with explicit or implicit information on the intended functions of the target text, the addressees and, if necessary, some details on the time, place and motive of the translation's projected reception.

translation competence	Translation competence involves learning specific skills to produce acceptable TTs.
Translation Studies, TS	The academic discipline related to the study of the theory and phenomena of translation. By its nature it is multilingual and also interdisciplinary, encompassing any language combinations, various branches of linguistics, comparative literature, communication studies, philosophy and a range of types of cultural studies including postcolonialism and postmodernism as well as sociology and historiography.
translation universals	The properties of translated texts triggered by the process of translation.
translational competence	A combination of two translator's skills: (i) the ability to generate a series of TTs for a ST, and (ii) the ability to select only one TT as a replacement of the ST for a specified purpose and for particular TLRs.
translation-inherent explicitation	This occurs when some implicit ideas in the ST are made explicit in translation. It seems that this type is related to the translator and her/his process of interpretation.
translator competence	Translator competence involves acquiring the ability to understand specialised STs and produce acceptable translations for special TLRs and joining specialised and technical communities of educated users of several languages.
translator's voice	A notion based on the argument that translation is a re-enuciation process in which translators make the original utterances their own during reception and 'put their stamp' on the discourse during the re-mediation.
trend	The overall translational behaviour in a given translation which is identified by the description of the translation process.
T-universals	T-universals refer to works investigating the possible universal differences between translation(s) and comparable non-translated text(s).
ungrammaticality	Those cases showing clear violation of the language system – one which forms the potentialities of language.
unit shift	The shift taking place when the equivalent of a unit at one rank in the ST translates in a unit at a different rank in the TT.
upgrading strategy	In SFG, upgrading is a lexicogrammatical (particularly metaphoric) strategy by which one rank is upgraded into a broader rank in the rank scale. Such upgrading will incontestably result in adding new patterns of structural realisation and expanding the ideational, interpersonal and textual manifestations of the utterance.

Appendices

Appendix 1, Chapter 5: The ST sample

He was an old man who fished alone in a skiff in the Gulf Stream and he had gone eighty-four days now without taking a fish. In the first forty days a boy had been with him. But after forty days without a fish the boy's parents had told him that the old man was now definitely and finally *salao*, which is the worst form of unlucky and the boy had gone at their orders in another boat which caught three good fish the first week. It made the boy sad to see the old man come in each day with his skiff empty and he always went down to help him carry either the coiled lines or the gaff and harpoon and the sail that was furled around the mast. The sail was patched with flour sacks and, furled, it looked like the flag of permanent defeat.

The old man was thin and gaunt with deep wrinkles in the back of his neck. The brown blotches of the benevolent skin cancer the sun brings from its reflection on the tropic sea were on his cheeks. The blotches ran well down the sides of his face and his hands had the deep-creased scars from handling heavy fish on the cords. But none of these scars were fresh. They were as old as erosions in a fishless desert.

Everything about him was old except his eyes and they were the same colour as the sea and were cheerful and undefeated.

'Santiago,' the boy said to him as they climbed the bank from where the skiff was hauled up. 'I could go with you again. We've made some money.'

The old man had taught the boy to fish and the boy loved him.

'No,' the old man said. 'You're with a lucky boat. Stay with them.'

'But remember how you went eighty-seven days without fish and then we caught big ones every day for three weeks.'

'I remember,' the old man said. 'I know you did not leave me because you doubted.'

Hemingway (1952, pp. 9-10)

Appendix 2, Chapter 5: Ali's Translation

كان قد بلغ من العمر عتياً، إلا أنه مازال وحيداً في قاربه، يحاول أن يصطاد في خليج "غولد ستريم". وقد مرت عليه أربعة وثمانون يوماً في البحر، حتى هذه الساعة، دون أن يحظى بشيء.

كان قد رافقه فتى خلال الأربعين يوماً الأولى، لكنه كان فيما تلاها وحيداً؛ إذ لم يوفر والدا الفتى جهداً في سبيل منعه من مرافقة هذا العجوز الذي يرافقه النحس أنى ارتحل. فرضخ الفتى لأمر والديه، وهجر العجوز والتحق بزورق صيد آخر، ما لبث أن حالفه الحظ وحظي بثلاث سمكات منذ الأسبوع الأول.

كان الحزن يجتاح قلب الفتى، حين يرى العجوز عائداً إلى الشاطئ كل يوم صفر اليدين. وكان جل ما يمكنه القيام به لأجله، هو أن يهرع إليه ويساعده في لملمة حباله، وحمل رمح صيد القرش معه، ولف الشراع حول الصارية.

كان كلما طوى هذا الشراع المرتوق بخرق الخيش في أكثر من مكان، يشعر كأنه يطوي رايات الهزائم المتواصلة لعجوز نحيل، لا شيء يميزه سوى تلك الغضون المتوغلة في جبينه، وبشرته التي أحرقتها الشمس دون رحمة، وملأها بثوراً. إضافة إلى الجراح القديمة التي خلفتها الحبال أثناء جر الأسماك الثقيلة في غابر الأيام، حتى أنها تبدو الآن أشبه بالمستحاثات لقدمها.

كان كل ما فيه عجوز مثله، إلا عينيه، فقد كانتا بنقاء مياه البحر، الذي لا يقر بالهزيمة.

كان النهار في نهايته، حين رسا الزورق، وألقى العجوز مرساته على الشاطئ.

خاطبه الفتى فيما كانا يصعدان نحو اليابسة:

- الآن ... بعد أن ادخرت بعض النقود، بات بإمكانني أن أعود إلى العمل معك يا سننياغو.

كانت كلمات الفتى وصوته، يمان عن الكثير من الشكر والامتنان لهذا العجوز الذي لقنه مبادئ الصيد. إلا أن العجوز لم يطق هذه المنة، فقال للفتى:

- لا يا ولدي. ها أنت تعمل في مركب حسن الطالع، فابق مع أصحابك ودعك مني.

- لكن ... أتذكر كيف مرت سبعة وثمانون يوماً، لم نظفر خلالها بسمكة، ثم تدخلت يد القدر على حين غرة، وأصبحنا نظفر بعدة سمكات كبيرات كل يوم، طوال ثلاثة أسابيع؟

- أذكر. وأعلم أنك لم تهجريني لأنك توجست من أمري.

Ali (n.d, pp. 5-7)

Appendix 3, Chapter 5: Alqasimi's Translation

كان شيخاً يصيد السمك وحده بمركب شراعي صغير في "مجرى الخليج"، وقد أمضى حتى الآن أربعة وثمانين يوماً دون الحصول على سمكة واحدة. وفي الأيام الأربعين الأولى، كان معه صبي. ولكن بعد أربعين يوماً بلا سمكة، قال والدا الصبي لابنهما إن الشيخ قد أصيب، بصورة أكيد ونهائية، بـ "النحس"، وهو أرداداً أنواع سوء الحظ؛ فانتقل الصبي، بناء على أوامرها، إلى قارب آخر اصطاد ثلاث سمكات جيدة خلال الأسبوع الأول. كان الصبي يشعر بالحزن عندما يرى الشيخ يعود كل يوم ومركبه خالٍ، فكان دائماً يسرع ليساعده في حمل الخيوط الملفوفة، أو الخطاف والحربة، أو الشراع المطوي حول السارية. وكان الشراع المرقع بأكياس الطحين والمطوي، يبدو مثل راية خزيمة دائمة.

كان الشيخ نحيفاً أعرج وله تجاعيد عميقة في قفا رقبته. وعلى خديه بقع بنية هي نوع من سرطان الجلد الذي سببته الشمس من جراء انعكاسها على البحر في تلك المنطقة الاستوائية؛ وانتشرت تلك البقع على جانبي وجهه. وعلى يديه آثار جروح عميقة خلفها جر الأسماك الثقيلة ورفعها بالحبال. ولكن لم يكن أي من آثار الجروح هذه حديث العهد. كانت قديمة قدم التآكلات في صحراء خالية من الأسماك.

كل شيء فيه كان قديماً، ماعدا عينيه، فقد كان لونهما لون البحر، فرحنتين لا أثر للهزيمة فيهما.

قال الصبي وهما يصعدان الضفة من الموضع الذي رفع إليه المركب:

- "سنتياجو، بإمكانني الذهاب معك مرة أخرى، فقد جنينا بعض النقود."

كان الشيخ قد علم الصبي اصطيد السمك وكان الصبي يحبه.

قال الشيخ:

- "لا. أنت الآن مع قارب محظوظ. ابق معهم."

- "ولكن تذكر كيف أمضيت سبعة وثمانين يوماً دون أن تصطاد سمكة، ثم اصطدنا سمكات كبيرة كل يوم طوال

ثلاثة أسابيع."

قال الشيخ:

- "أذكر ذلك. أعرف أنك لم تتركني بسبب شكك."

Alqasimi (2013, pp. 77-9)

Appendix 4, Chapter 5: Zakareya's Translation

كان الرجل قد بلغ من الكبر عتياً..

ولكنه لا يزال رابضاً في زورقه، وحيداً، يطلب الصيد في خليج «جولد ستريم». وقد عبرت به حتى الساعة، أربعة وثمانون يوماً لم يجد عليه البحر خلالها بشيء من الرزق.

في الايام الاربعين الاولى منها، كان له غلام يعينه على أمره.

ولكن أربعين يوماً انطوت على غير طائل، فلم يسع والدا الغلام إلا أن يقطعاً لولدهما بأن هذا العجوز مشؤوم لا يطلع نجمه إلا على نحس.

وهكذا نزل الغلام عند رغبة أبويه، وترك صحبة العجوز، وذهب يعمل في زورق آخر جاد البحر على ذويه بثلاث سمكات طبيبات منذ أول أسبوع.

وكان يحز في قلب الغلام أن يرى العجوز قافلاً الى الشاطئ في نهاية كل يوم، وزورقه خاوي الوفاض، فلا يملك إلا أن يهرع إليه ليعاونه في ملمة حباله، وحمل حربة صيد القرش، وطى الشراع حول الصاري.

وكان هذا الشراع المرقع بالخيش اذا ما انطوى حول صاربه، بدا كأنما هو علم للهزيمة المتصلة.

كان العجوز جسداً ناحل العود، توغلت في قفاه غضون عميقة، وقد عدت حرقة الشمس في انعكاساتها على مياه البحر، على بشرته عدواناً

قاسيا، فملاّت خديه بالبثور، واستدارت فنثرت الكثير منها على جانبي وجهه.

أما كفاه، فقد حفرت فيهما الحبال التي ظالما جرر بها الاسماك الثقيلة، جراحا عميقة الغور ليس بينها جرح جديد، فهي جميعاً قديمة قدم الحفريات في صحراء عديمة السمك.

كان كل ما فيه عجوزا مثله.. إلا عينيه.

عيناه كانتا في صفاء مياه البحر، يطل منهما المرح، وعدم الاعتراف بالهزيمة.

أذن النهار بنهايته.

واستقر الزورق، وألقى مراسيه على الشاطئ..

وقال الغلام للعجوز وهما يسيران سعدا صوب الشاطئ:

— الآن... أستطيع أن أعود فأعمل معك يا سانتياجو، فقد ادخرت بعض النقود.

كانت كلمات الغلام آية عرفان الجميل، فقد كان يحب العجوز، لأنه هو الذي لقنه أصول مهنة الصيد.

ولكن العجوز لم يطق هذه المنة، فقال للغلام:

— لا يا ولدي اترك تعمل في مركب حسن الطالع، فابق مع أصحابه.

ولكن... أتذكر كيف عبرت بك ذات مرة سبعة وثمانون يوماً دون أن نظفر خلالها بسمكة واحدة. ثم ما لبثت الآية أن انقلبت، وجعلنا نظفر بعدة سمكات كبيرات كل يوم، طوال ثلاثة أسابيع؟

فأجاب العجوز بقوله:

— نعم أنكرا، وأعرف أنك لم تتخلى عني لأنك أصبحت في شك من أمري.

رجلاً أخته الشيخوخة يعمل بالصيد وحده في مركب شراعى
صغير في مجرى الخليج . لم يظفر حتى الآن بأية سمكة منذ
أربعة وثمانين يوماً مضت .



وفي الأيام الأربعين الأولى كان برفقته صبى ، بيد أنه بعد مرور أربعين
يوماً بلا صيد انبرى والدها الصبى يقولان له : إن الرجل العجوز لا شك قد
أصابه النحس ، وهذا أسوأ ما يُبتلى به إنسان من حظّ سيء . انصاع
الصبى لأوامرهما ، فذهب ليعمل في مركب آخر ، وفازَ من أول أسبوع
بثلاث سمكات من الأنواع الضخمة .

مست كبد الصبى لوعة حزن وهو يرى العجوز يجيء كل يوم بمركبه
خاويًا ، وكان دائم الذهاب إليه ليعاونه في حمل لفات الحبال والأسلاك أو
خطاف رفع الأسماك والرمح المستخدم في طعنها ، أو الشراع الملتف حول
صاري المركب . . كان الشراع المرقع بقطع قماش من أكياس الدقيق يبدو
وهو ملفوف كأنه عَلمٌ للهزيمة والإحباط ، والحياة المستمرة الدائمة .

كان الرجل العجوز نحيلًا تنتشر التجاعيد العميقة في أنحاء وجهه . وقد
ظهرت على وجنتيه بثور سمراء من سرطان الجلد الحميد الناشئ من
انعكاس أشعة الشمس على مياه البحر في هذه المنطقة الاستوائية . . امتدت

البثور على جانبي وجهه بشكل واضح ، وبدت على يديه ندوبٌ عميقة من جراء تعامله مع الأسماك الثقيلة ، وتقييدها بالحبال . . لم يكن هناك نَدْبٌ (١) واحد حديث ، إذ كانت الندوب جميعها قديمة مثل التآكل الذي تحدثه عوامل التعرية في صحراء جدداء لا تعرف الأسماك .

كل شيء فيه يتصف بالقدم ، ما عدا عينيه اللتين كانتا بنفس لون البحر، ويطل منهما المرح وعدم اليأس .

وبينما كانا يتسلقان الضفة المنحدرة ، حيث سحبا المركب وألقيا مراسيه هناك ، قال له الصبي :

- سانتياجو . . يمكنني أن أرافقك ، وأعمل معك مرة أخرى . لقد حصلت على بعض النقود .

كان العجوز قد عَلَّمَ الصبيَّ كيف يصطاد الأسماك ، وقد تعلَّق الغلامُ به وأحبه .

فقال له العجوز :

- كلاً .

واستطرد قائلاً :

- أنت تعمل في مركبٍ ابتسم الحظُّ لأصحابه . امكث معهم .

- لكن تذكر كيف ظللت فيما مضى سبعة وثمانين يوماً بدون أن يجود علينا البحر بشيء ، ثم اصطدنا أسماكاً ضخمة كل يوم طوال ثلاثة أسابيع؟

(١) النَّدْبُ : أقرُّ الجرح .

قال العجوز :

- نعم أذكر ذلك .

ثم أضاف :

- أعرف أنك لم تتركنى بسبب ارتيابك فى عمل غير مؤكد ، وبدون نتائج

مضمونة .

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Wehbe (1998, pp. 11-3)

كان رجلاً عجوزاً يصطاد السمك وحيداً في زورق صغير في تيار الخليج وقد أمضى أربعة وثمانين يوماً حتى الآن دون أن ينال سمكة. في الأربعين يوماً الأولى وهو بلا سمك، أخبره والده الولد بأن الرجل العجوز أصبح الآن سالوا salao بالتهام والكهال، وهي أسوأ صيغة لسيء الحظ، فذهب الولد بناءً على أوامرهما إلى زورق آخر اصطاد ثلاث سمكات جيدات في الأسبوع الأول. أحزن الولد أن يرى الرجل العجوز يرجع كل يوم وزورقه خاوٍ وذهب إليه دائماً ليعاونه في حمل حباله المجدولة أو المحجن والخربون والشراع المطوي حول الصاري. كان الشراع مرقعاً بأكياس دقيق، وقد بدا، وهو ملفوف، مثل علم الهزيمة الدائمة.

كان الرجل العجوز نحيلاً وهزيلاً بغضون عميقة في قفا رقبته. انتشرت على خديه البقع البنية لسرطان الجلد الحميد الذي تسببه الشمس من انعكاسها على البحر المداري. جرت البقع إلى أسفل جانبي وجهه تماماً وانحفرت في يديه

الندوبُ عميقة الغور من مناولته الأسماك الثقيلة المعلقة بالحبال. لكن أياً من هذه الندوب لم تكن جديدة. كانت قديمة قدم تعريبات في صحراء بلا سمك. كان كل شيء فيه عجوزاً ما عدا عينيه فقد كانتا بنفس لون البحر ومرحتين وغير مهزومتين. قال الولد له وهما يصعدان إلى الضفة التي سُحب منها الزورق: "ستياجو. يمكنني الذهاب معك من جديد. لقد كسبنا بعض المال". كان الرجل العجوز قد علم الولد أن يصطاد فأحبه الولد. قال الرجل العجوز: "لا. أنت مع زورق محظوظ. إبت معهم". - لكن تذكر كيف خرجت لسبعة وثمانين يوماً بلا سمك ثم اصطدنا سمكاً كبيراً كل يوم لثلاثة أسابيع". قال الرجل العجوز: "أتذكر. أعرف أنك لم تتركني لأنك شككت".

Nassar (2002, pp. 19-20)

كان رجلاً عجوزاً يصيد السمك وحده في قارب عريض
القمير في « تيار الخليج » ، وكان قد سلخ أربعة وثمانين
يوماً من غير أن يفوز بسمكة واحدة . وفي الأيام الاربعين الأولى
كان يصحبه غلام صغير . حتى إذا قضى اربعين يوماً من غير
ان يوفّق إلى صيد ما ، قال أبوا الغلام لابنها ان الشيخ
منحوس نحساً لا ريب فيه ولا براء منه ، وسألاه ان يعمل في
قارب آخر ما لبث أن فاز بثلاث سمكات رائعات في الاسبوع
الاول . ولقد أحزن الغلام أن يرى الشيخ يرجع كل يوم
خالي القارب ، فكان ما يفتأ يمضي للقائه ويساعده في
حمل صنائيره الملتفة أو منحجنه وحرّبونه . • والشراع المطوي
حول السارية . وكان الشراع مرقعاً بأكياس دقيق عتيقة ، فهو
يبدو وقد طوي على هذه الشاكلة أشبه ما يكون براءة الهزيمة
السرمدية .

وكان الشيخ معروفاً شاحباً انتشرت في مؤخر عنقه تجاعيد
عميقة ، وعكّت خديه القروح السمراء الناشئة عن سرطان الجلد

• Gulf Stream وهو تيار اوقيانوسي دافئ ينبثق من خليج مكسيكو ويجري
شمالاً في محاذاة الساحل الاميركي ومن ثم يتخذ اتجاهاً شمالاً شرقياً نحو الجزر
البريطانية .
(المغرب)
•• الحربون : رمح مريش لصيد الحيتان .
(المغرب)

غير المؤذي الذي هو ثمرة انعكاس الشمس على صفحة المياه في المناطق الاستوائية . وكانت تلك القروح تغطي جانبي وجهه ، على حين كانت في يديه ندوب عميقة الغور خلقتها الحبال التي علقت في أطرافها ضروب من الاسماك الثقيلة . ولكن أياً من هذه الندوب لم يكن غصاً . كانت قديمةً قِدَم التآكل في صحراء خلو من السمك .

كان كل شيء فيه عجوزاً خلا عينيه ، وكان لونها مثل لون البحر . وكاننا مبتهجتين باسكتين . وقال له الغلام فيما هما يصعدان الضفة بعد أن دفعا القارب إلى اليابسة .

- « سانتياغو ! في استطاعتي أن أذهب معك من جديد . لقد فزنا بشيء من المال . »
كان الشيخ قد علم الصبي صيد السمك ، وكان الصبي يحبه .

وقال الشيخ :

- « أنت تعمل الآن على ظهر مركب محظوظ . إبتق حيث أنت . »

- « ولكن اذكر كيف سلخت سبعة وثمانين يوماً من غير أن توفقي إلى سمكة واحدة ثم تدفقت علينا الاسماك الكبيرة ، فكنا نصطاد منها كل يوم عدداً غير يسير ، طوال أسابيع ثلاثة . »

فقال الشيخ :

- « أذكر ذلك . أنا أدري جيداً ان فراقك لي لم يكن ناشئاً عن شكوكك . »

Appendix 8, Chapter 5: Zahid's Translation

في زمان مضى، كان هناك رجل عجوز يصيد السمك وحيدا في مركبه بخليج ستريم، منذ أربعة وثمانين يوما لم يظفر بسمكة واحدة! في الأربعاءين يوما الأولى منها، رافقه طفل صغير يعينه على أمره؛ لم يصد الشيخ شيئا فتطير أبوا الطفل من الشيخ قائلين لابنهما: إن الشيخ لا محالة فاشل ونحسه لا يرجى من ورائه خير. اشتغل الطفل في مركب آخر، وفي أسبوع فقط، اصطاد ثلاث سمكات من الجودة بمكان.

في نهاية كل يوم، يحزن الطفل وهو يرى معلمه يعود خاوي الوفاض، فكان يذهب دائما لمساعدته على حمل الحبال، ورمح الصيد، ولف الشراع حول السارية. شراع يبدو مرقعا بأثواب قديمة لأكياس من الدقيق كأنه علم للهزيمة المتوالية.

كان شيئا نحيفا هزيلا، تناثرت على قفاه تجاعيد عميقة، وبدت على وجنتيه قروح سمراء، وكان لانعكاسات الشمس على صفحة مياه البحر أثر في انتشار تلك القروح على جانبي وجهه. أما يدها، فرسمت عليها الحبال، حين تكون مثقلة بالأسمك، جراحا عميقة. لم يكن من بين تلك الجراح جرح جديد؛ كانت كلها قديمة قدم التعرية في صحراء بلا سمك.

شاخ فيه كل شيء عدا عينيه؛ كانتا كلون البحر مشرقتين غير مهزومتين.

- "سانتياغو"، ناداه الغلام - وهما يصعدان الرصيف الذي يجر منه الشيخ قاربه -
"أستطيع أن أرافك ثانية، فالمال معنا".

كان الغلام يحب الشيخ كثيرا؛ إذ كان أول من علمه فنون الصيد.

- "لا"، أجاب الشيخ، "أنت في مركب محظوظ، وأريدك أن تبقى حيث أنت".

- "ولكن تذكر كيف مر عليك سبعة وثمانون يوما دون أن تصطاد شيئا، وقد كنا نصطاد كل يوم أسماكا كبيرة لمدة ثلاثة أسابيع".

- قال الشيخ: "نعم أنكر، وإني أعلم جيدا أنك لم تفارقني لأنك في ريب من أمري".

Zahid (2007, pp. 33-4)

Appendix 9, Chapter 6: The ST Excerpt

1. He was an old man who fished alone in a skiff in the Gulf Stream and he had gone eighty-four days now without taking a fish. In the first forty days a boy had been with him. But after forty days without a fish the boy's parents had told him that the old man was now definitely and finally *salao*, which is the worst form of unlucky, and the boy had gone at their orders in another boat which caught three good fish the first week. It made the boy sad to see the old man come in each day with his skiff empty and he always went down to help him carry either the coiled lines or the gaff and harpoon and the sail that was furled around the mast. The sail was patched with flour sacks and, furled, it looked like the flag of permanent defeat.
2. The old man was thin and gaunt with deep wrinkles in the back of his neck. The brown blotches of the benevolent skin cancer the sun brings from its reflection on the tropic sea were on his cheeks. The blotches ran well down the sides of his face and his hands had the deep-creased scars from handling heavy fish on the cords. But none of these scars were fresh. They were as old as erosions in a fishless desert.
3. Everything about him was old except his eyes and they were the same colour as the sea and were cheerful and undefeated.
4. "Santiago," the boy said to him as they climbed the bank from where the skiff was hauled up. "I could go with you again. We've made some money."
5. The old man had taught the boy to fish and the boy loved him.
6. "No," the old man said. "You're with a lucky boat. Stay with them."
7. "But remember how you went eighty-seven days without fish and then we caught big ones every day for three weeks."
8. "I remember," the old man said. "I know you did not leave me because you doubted."
9. "It was papa made me leave. I am a boy and I must obey him."
10. "I know," the old man said. "It is quite normal."

11. "He hasn't much faith."
12. "No," the old man said. "But we have. Haven't we?"
13. "Yes," the boy said. "Can I offer you a beer on the Terrace and then we'll take the stuff home."
14. "Why not?" the old man said. "Between fishermen."
15. They sat on the Terrace and many of the fishermen made fun of the old man and he was not angry. Others, of the older fishermen, looked at him and were sad. But they did not show it and they spoke politely about the current and the depths they had drifted their lines at and the steady good weather and of what they had seen. The successful fishermen of that day were already in and had butchered their marlin out and carried them laid full length across two planks, with two men staggering at the end of each plank, to the fish house where they waited for the ice truck to carry them to the market in Havana. Those who had caught sharks had taken them to the shark factory on the other side of the cove where they were hoisted on a block and tackle, their livers removed, their fins cut off and their hides skinned out and their flesh cut into strips for salting.
16. When the wind was in the east a smell came across the harbour from the shark factory; but today there was only the faint edge of the odour because the wind had backed into the north and then dropped off and it was pleasant and sunny on the Terrace.
"Santiago," the boy said.
17. "Yes," the old man said. He was holding his glass and thinking of many years ago.
18. "Can I go out to get sardines for you for tomorrow?"
19. "No. Go and play baseball. I can still row and Rogelio will throw the net."
20. "I would like to go. If I cannot fish with you, I would like to serve in some way."
21. "You bought me a beer," the old man said. "You are already a man."
22. "How old was I when you first took me in a boat?"
23. "Five and you nearly were killed when I brought the fish in too green and he

- nearly tore the boat to pieces. Can you remember?"
24. "I can remember the tail slapping and banging and the thwart breaking and the noise of the clubbing. I can remember you throwing me into the bow where the wet coiled lines were and feeling the whole boat shiver and the noise of you clubbing him like chopping a tree down and the sweet blood smell all over me."
25. "Can you really remember that or did I just tell it to you?"
26. "I remember everything from when we first went together."
27. The old man looked at him with his sun-burned, confident loving eyes.
28. "If you were my boy I'd take you out and gamble," he said. "But you are your father's and your mother's and you are in a lucky boat."
29. "May I get the sardines? I know where I can get four baits too."
30. "I have mine left from today. I put them in salt in the box."
31. "Let me get four fresh ones."
32. "One," the old man said. His hope and his confidence had never gone. But now they were freshening as when the breeze rises.
33. "Two," the boy said.
34. "Two," the old man agreed. "You didn't steal them?"
35. "I would," the boy said. "But I bought these."
36. "Thank you," the old man said. He was too simple to wonder when he had attained humility. But he knew he had attained it and he knew it was not disgraceful and it carried no loss of true pride.
37. "Tomorrow is going to be a good day with this current," he said.
38. "Where are you going?" the boy asked.
39. "Far out to come in when the wind shifts. I want to be out before it is light."
40. "I'll try to get him to work far out," the boy said. "Then if you hook something truly big we can come to your aid."
41. "He does not like to work too far out."
42. "No," the boy said. "But I will see something that he cannot see such as a bird working and get him to come out after dolphin."
43. "Are his eyes that bad?"

44. "He is almost blind."
45. "It is strange," the old man said. "He never went turtle-ing. That is what kills the eyes."
46. "But you went turtle-ing for years off the Mosquito Coast and your eyes are good."
47. "I am a strange old man"
48. "But are you strong enough now for a truly big fish?"
49. "I think so. And there are many tricks."
50. "Let us take the stuff home," the boy said. "So I can get the cast net and go after the sardines."
51. They picked up the gear from the boat. The old man carried the mast on his shoulder and the boy carried the wooden box with the coiled, hard-braided brown lines, the gaff and the harpoon with its shaft. The box with the baits was under the stern of the skiff along with the club that was used to subdue the big fish when they were brought alongside. No one would steal from the old man but it was better to take the sail and the heavy lines home as the dew was bad for them and, though he was quite sure no local people would steal from him, the old man thought that a gaff and a harpoon were needless temptations to leave in a boat.
52. They walked up the road together to the old man's shack and went in through its open door. The old man leaned the mast with its wrapped sail against the wall and the boy put the box and the other gear beside it. The mast was nearly as long as the one room of the shack. The shack was made of the tough budshields of the royal palm which are called *guano* and in it there was a bed, a table, one chair, and a place on the dirt floor to cook with charcoal. On the brown walls of the flattened, overlapping leaves of the sturdy fibered *guano* there was a picture in colour of the Sacred Heart of Jesus and another of the Virgin of Cobre. These were relics of his wife. Once there had been a tinted photograph of his wife on the wall but he had taken it down because it made him too lonely to see it and it was on the shelf in the corner under his clean

shirt.

53. "What do you have to eat?" the boy asked.
54. "A pot of yellow rice with fish. Do you want some?"
55. "No. I will eat at home. Do you want me to make the fire?"
56. "No. I will make it later on. Or I may eat the rice cold."
57. "May I take the cast net?"
58. "Of course."
59. There was no cast net and the boy remembered when they had sold it. But they went through this fiction every day. There was no pot of yellow rice and fish and the boy knew this too.
60. "Eighty-five is a lucky number," the old man said. "How would you like to see me bring one in that dressed out over a thousand pounds?"
61. "I'll get the cast net and go for sardines. Will you sit in the sun in the doorway?"
62. "Yes. I have yesterday's paper and I will read the baseball."
63. The boy did not know whether yesterday's paper was a fiction too. But the old man brought it out from under the bed.
64. "Perico gave it to me at the *bodega*," he explained.
65. "I'll be back when I have the sardines. I'll keep yours and mine together on ice and we can share them in the morning. When I come back you can tell me about the baseball."
66. "The Yankees cannot lose."
67. "But I fear the Indians of Cleveland."
68. "Have faith in the Yankees my son. Think of the great DiMaggio."
69. "I fear both the Tigers of Detroit and the Indians of Cleveland."
70. "Be careful or you will fear even the Reds of Cincinnati and the White Sox of Chicago."
71. "You study it and tell me when I come back."
72. "Do you think we should buy a terminal of the lottery with an eighty-five? Tomorrow is the eighty-fifth day."

73. "We can do that," the boy said. "But what about the eighty-seven of your great record?"
74. "It could not happen twice. Do you think you can find an eighty-five?"
75. "I can order one.
76. "One sheet. That's two dollars and a half. Who can we borrow that from?"
77. "That's easy. I can always borrow two dollars and a half."
78. "I think perhaps I can too. But I try not to borrow. First you borrow. Then you beg."
79. "Keep warm old man," the boy said. "Remember we are in September."
80. "The month when the great fish come," the old man said. "Anyone can be a fisherman in May."
81. "I go now for the sardines," the boy said.

Hemingway (1952, pp. 9-19)

Appendix 10, Chapter 6: Ali's Translation

1. كان قد بلغ من العمر عتياً، إلا أنه مازال وحيداً في قاربه، يحاول أن يصطاد في خليج "غولد ستريم". وقد مرت عليه أربعة وثمانون يوماً في البحر، حتى هذه الساعة، دون أن يحظى بشيء.
2. كان قد رافقه فتى خلال الأربعين يوماً الأولى، لكنه كان فيما تلاها وحيداً؛ إذ لم يوفر والدا الفتى جهداً في سبيل منعه من مرافقة هذا العجوز الذي يرافقه النحس أنى ارتحل. فرضخ الفتى لأمر والديه، وهجر العجوز والتحق بزورق صيد آخر، ما لبث أن حالفه الحظ وحظي بثلاث سمكات منذ الأسبوع الأول.
3. كان الحزن يجتاح قلب الفتى، حين يرى العجوز عائداً إلى الشاطئ كل يوم صفر اليدين. وكان جل ما يمكنه القيام به لأجله، هو أن يهرع إليه ويساعده في لملمة حباله، وحمل رمح صيد القرش معه، ولف الشراع حول الصارية.
4. كان كلما طوى هذا الشراع المرتوق بخرق الخيش في أكثر من مكان، يشعر كأنه يطوي رايات الهزائم المتواصلة لعجوز نحيل، لا شيء يميزه سوى تلك الغضون المتوغلة في جبينه، وبشرته التي أحرقتها الشمس دون رحمة، وملأتها بثوراً. إضافة إلى الجراح القديمة التي خلفتها الحبال أثناء جر الأسماك الثقيلة في غابر الأيام، حتى أنها تبدو الآن أشبه بالمستحاثات لقدمها.
5. كان كل ما فيه عجوز مثله، إلا عينيه، فقد كانتا بنقاء مياه البحر، الذي لا يقر بالهزيمة.
6. كان النهار في نهايته، حين رسا الزورق، وألقى العجوز مرساته على الشاطئ.
7. خاطبه الفتى فيما كانا يصعدان نحو اليابسة:
8. - الأن ... بعد أن ادخرت بعض النقود، بات بإمكانني أن أعود إلى العمل معك يا سننياغو.
9. كانت كلمات الفتى وصوته، ينمان عن الكثير من الشكر والامتنان لهذا العجوز الذي لقنه مبادئ الصيد. إلا أن العجوز لم يطق هذه المنة، فقال للفتى:
10. - لا يا ولدي. ها أنت تعمل في مركب حسن الطالع، فابق مع أصحابك ودعك مني.
11. - لكن ... أتذكر كيف مرت سبعة وثمانون يوماً، لم نظفر خلالها بسمكة، ثم تدخلت يد القدر على حين غرة، وأصبحنا نظفر بعدة سمكات كبيرات كل يوم، طوال ثلاثة أسابيع؟
12. - أذكر. وأعلم أنك لم تهجريني لأنك توجست من أمري.
13. - أبي هو من دفعني لأن أتركك، وأنا مازلت أصغر من أن أخالف إرادته.
14. - نعم يا ولدي ... هذا طبيعي.
15. - إنه قليل الثقة.
16. - أما نحن، فكلنا ثقة، ألسنا كذلك؟
17. - نعم. ثم استطرد الفتى - أتقبل دعوتي لنشرب قدحا من الجعة في حانة "الشرفة" معاً، قبل أن نحمل أدوات الصيد إلى بيتك؟

18. - وليكن ... إنه احتفال الصياد بالصياد.
19. - وصلا "الشرفة" ...
20. - وما إن دخلها، حتى اتجهت أنظار جماعة من الصيادين الشباب إلى العجوز، وأخذوا يسخرون منه ويتندرون، لكنه لم يغضب. أما العجائز من الصيادين، فقد كانوا ينظرون إليه في أسى وإشفاق، محاولين إخفاء إشفاقهم أمامه. وأخذوا يتحدثون عن الأمواج والتيار، والأعماق التي رموا شباكهم إليها، وعن الطقس الطيب وكل ما يواجههم في حياتهم البحرية.
21. كانوا قد جمعوا ما منحهم إياه البحر ذلك اليوم، من سمك "البوري" على وفاض طويل مشدود إلى لوح خشب. حمله أربعة رجال منهم وساروا به إلى بيت السمك، بانتظار الشاحنة المتلجة التي تأتي لتحملها إلى أسواق هافانا. أما أولئك الذين كان صيدهم من القرش، فقد نقلوها إلى مصنع القرش عند الشاطئ في الطرف الآخر من القرية. حيث تشد وتربط إلى ألواح، وتستخرج أكبادها، وتسليخ جلودها، وتفضل زعانفها، وتقطع لحومها إلى شرائح، ويتم تمليحها.
22. كانت الريح - عادة - تهب من الشرق، وتحمل معها روائح مصنع القرش. أما ذلك اليوم، فقد كانت تهب من الجنوب، ثم سرعان ما تخبو، فتخبوا معها الروائح.
23. وفي "الشرفة" كان الطقس مشمساً ساكناً، حين صاح الفتى بصاحبه العجوز:
24. - سننتياغو ...
25. أفاق العجوز من رحلته البعيدة في ذكريات السنين.
26. - نعم.
27. - أتحب أن أحضر بعض السردين، قد تحتاجه غداً في الصيد؟
28. - لا يا ولدي. بإمكانك أن تذهب، مازلت قادراً على العمل، وسيقوم روجيليو بحمل الحبال.
29. - بل لا بد لي أن أحضرها. فما دمت لا أملك أن أساعدك في الصيد، فكيف لي أن أعاونك، وبأي وسيلة؟
30. - ها أنت رجل إذن! وقدمت لي قديماً من الجعة.
31. - كم كان عمري، حين كنت في زورقك للمرة الأولى؟
32. - خمس سنوات. وقد كدت تهلك حين علقت بحبالي سمكة هائلة كادت تكسر الزورق بمقاومتها. أتذكر هذا؟
33. - أذكر أنها ضربت بعنف على خشب الزورق ... وأذكر أنك أبقيتني في طرف الزورق على الحبال المبتلة، بينما كان الزورق يرتج ويرتعش كالمحموم. كنت أسمع صوتك وأنت تصارعها وتطعنها، كحطاب يجاهد شجرة هائلة ويطرحها أرضاً. وكان دمها يتفجر حولي في كل مكان.
34. - أتذكر هذا الحدث فعلاً، أم تذكر ما رويته لك عنه؟
35. - بل أذكره، وأذكر كل ما كان، منذ خروجنا الأول معاً.

36. - نظر العجوز إليه بعينيه العميقتين الواثقتين، رغم ما أحرقتة الشمس من جفونهما، وقال له:
37. - لو كنت ابني، لخرجت بك إلى العالم، لتغامر معي. إلا أنك ملك والديك، وأنتك تعمل في زورق يواتيه من الحظ ما يكفي ...
38. - هل أحضر السردين، وبعض الطعم أيضاً؟
39. - ما زلت لم أستهلك طعم اليوم. وضعت في الماء والملح حتى لا يفسد، سأستخدمه غداً.
40. - دعني أحضر لك أربع قطع طازجة من الطعم.
41. - فأجاب العجوز، وما زال في صدره الكثير من الأمل، وأكثر من الثقة. كما لو كانت كلمات الفتى تتعش روحه، وتهز كيانه:
42. - قطعة واحدة تكفي.
43. - اثنتين.
44. - حسناً. لكن لن يكونا مسروقتين؟
45. - لا يهم إن أنا سرقتهما لأجلك، لكن الواقع أنني اشتريتهما.
46. - أشكرك.
47. - أخذ يتأمل البحر، ثم خاطب الفتى مجدداً:
48. - هذا التيار ينبيئ بنهار طيب غداً،
49. - وماهي وجهتك غداً؟
50. - إلى البعيد. ثم أعود مع الرياح حين تغير وجهتها، وأخرج من البحر قبل بزوغ أضواء الفجر الأولى.
51. - سأحاول أن أحمل صاحبي في المركب الذي أعمل فيه، على الذهاب إلى البعيد أيضاً. حتى إذا اصطدت سمكة كبيرة نأتيك ونساعدك عليها.
52. - لكن صاحبك لا يروق له أن يذهب في البحر كثيراً.
53. - نعم. لكنني سأحدثه عن شيء سحري غامض لم تره عيناه، كطائر خرافي يتعقب فريسة في الماء، وسيدفعه فضوله إلى الإيغال في البحر حتى لو وراء دلفين.
54. - أهو ضعيف البصر لهذا الحد؟
55. - بل يكاد يكون أعمى.
56. - غريب ...! مع أنه يسير مستقيماً، ولا ينعرج خلال إبحاره، مما يصيب الملاحين بالعمى.
57. - لكنك طالما انعرجت أثناء سيرك في البحر، موغلاً في شاطئ البعوض، سنوات طوال، ومازالت عينك على ما يرام.
58. - أنا عجوز غريب يا ولدي.
59. - أما زلت تتمتع بالصبر على صيد الأسماك الكبيرة حتى الآن؟
60. - أعتقد أنني مازلت كما كنت. كما أنني أستعين عليها بما أعرف من حيل كثيرة.

61. - دعنا نحمل المعدات إلى البيت. وسأخذ الشبكة الصغيرة لأصطاد بعض السردين.
62. - اتجها نحو الزورق وحملا معداته...
63. - حمل العجوز الصارية على كتفه، بينما حمل الفتى الصندوق الخشبي والحبال والرمح، وتركا الطعام تحت مؤخرة الزورق قرب الهراوة التي يستخدمها العجوز لتأديب الأسماك الكبيرة.
64. رغم أن أحداً من أهل القرية، لم يكن ليطمع في سرقة معدات العجوز. إلا أنه كان يؤثر أن يأخذه معه إلى بيته حتى لا يتضرر الشراع والحبال من الرطوبة. أما الصنانير والحربة، فقد كانت أقل إغراءً من أن تحمل أحداً على مد يده إليها.
65. - صعدا معاً نحو كوخ العجوز الذي كان بابه مفتوحاً. دخلاه معاً، ووضع العجوز الصارية على الأرض، أما الفتى فقد وضع الصندوق وما يحمله من المعدات قرب الصارية التي يكاد يبلغ امتدادها طول الغرفة اليتيمة التي يتكون منها كوخ العجوز.
66. - كان الكوخ مبنياً من جذوع النخيل، وكان كل ما فيه من متاع الدنيا عبارة عن فراش ومائدة، ورقعة خاوية من التراب، يخصصها العجوز لطهو طعامه على الفحم. وعلى جدار الكوخ صورة ملونة للقلب المقدس، وأخرى للسيدة العذراء. وبعض ما خلفته زوجته الراحلة من المتاع...
67. - كانت لها صورة فوتوغرافية باهتة الألوان، معلقة على الحائط، كانت تشعره دوماً بقسوة الوحدة كلما نظر إليها، فآثر أن ينزلها عن الحائط، ويضعها على رف في ركن الكوخ، خلف قميصه النظيف اليتيم.
68. - سأله الفتى:
69. - ما هو عشاؤك الليلة؟
70. - عندي صحن من الأرز الأصفر والسّمك، أتناكل معي؟
71. - لا، سأتناول العشاء في بيتي. هل أوقد لك النار؟
72. - لا داعي لإشعالها الآن، قد أكل الرز بارداً.
73. - أتأذن لي أن آخذ الشبكة الصغيرة؟
74. - طبعاً.
75. كان الفتى يعلم أن لا وجود لتلك الشبكة الصغيرة، وهو يذكر متى باعها ليستعينا بثمنها على القوت، ولكن كان يلذّ لهما أن يتخيلا كل يوم أنها ماتزال باقية. كذلك لم يكن هناك صحن فيه أرز ولا سمك، وكان الفتى يدرك هذه الحقيقة تماماً.
76. تذكر العجوز أن اليوم التالي هو يومه الخامس والثمانون في البحر، وقد مضى ما مضى من الأيام دون صيد فقال للفتى:
77. - خمسة وثمانون يوماً؟ لعل هذا الرقم حامل للحظ، ما قولك لو رأيتني أخرج بسمكة تزن أكثر من ألف رطل؟
78. - سأخذ الشبكة الصغيرة، وأذهب في طلب السردين. أما أنت فأخرج واجلس أمام الباب في أشعة

الشمس.

79. - وليكن... سأفعل ما تقول. عندي جريدة أمس وسأقرأ صحيفة البيسبول.
80. لم يكن الفتى يدري أهي حقا جريدة أمس، أم أنها مجرد خيال كبقية ما يتحدثان عنه ويفترضان وجوده. لكن العجوز مد يده تحت الفراش وتناول الصحيفة قائلاً:
81. - لقد أعطاني إياها بيريكو ونحن في "البوديجا".
82. هم الفتى بالانصراف، والعجوز يقول:
83. - فريق اليانكي لا يخسر أية مباراة مطلقاً.
84. - لكنني مشفق عليه من هنود كليفلاند.
85. - ثق بأبطال اليانكي يا ولدي. واذكر ديماجيو العظيم.
86. - بل لأزال مشفقا عليه من فريقين: نمره ديترويت وهنود كليفلاند.
87. - لست محقاً، وإلا أشفقت عليه أيضاً من حمر سنسناتي وبيض سوكس أوف شيكاغو.
88. - سأدعك تدرس الموقف، على أن تخبرني بالنتيجة عندما أعود.
89. - أصواب أم نبتاع تذكرة بانصيب تنتهي بالرقم 85؟ غداً هو يومي الخامس والثمانون.
90. - بإمكاننا أن نبتاعها. ولكن ما رأيك بالرقم 87؟ ألا يذكرك باليوم الذي سجلت فيه الرقم القياسي في الصيد؟

91. - هذا لا يحدث مرتين في العمر. لكن قل لي: أترى أنه من السهل الحصول على تذكرة تنتهي بالرقم

85؟

92. - سأبحث عن واحدة يتوفر فيها هذا الشرط.
93. - ولكن ثمن التذكرة الواحدة دولاران ونصف، فممن سنقترض هذا المبلغ؟
94. - هذا سهل. بإمكانني أن أقترض دولارين ونصف في أي وقت.
95. - أظن أنني أستطيع أنا الآخر. لكنني أؤثر ألا أفعل. فمن يبدأ بالاقتراض ينتهي بالتسول.
96. ومرت لحظة من الصمت، خرج منها الفتى بقوله:
97. - تزود بالدفع أيها العجوز، فنحن في شهر سبتمبر.
98. فأجابه العجوز:
99. - الشهر الذي تكثر فيه الأسماك الكبيرة، أما مايو، فإن كل امرئ يستطيع أن يدعي فيه أنه صياد.
100. ونهض الفتى قائلاً:
101. - سأذهب الآن لأتدبر أمر الساردين.

Ali (n.d., pp. 5-16)

Appendix 11, Chapter 6: Alqasimi's Translation

1. كان شيخاً يصيد السمك وحده بمركب شراعي صغير في "مجرى الخليج"، وقد أمضى حتى الآن أربعة وثمانين يوماً دون الحصول على سمكة واحدة. وفي الأيام الأربعين الأولى، كان معه صبي. ولكن بعد أربعين يوماً بلا سمكة، قال والدا الصبي لابنهما إن الشيخ قد أصيب، بصورة أكيد ونهائية، بـ "النحس"، وهو أرداد أنواع سوء الحظ؛ فانتقل الصبي، بناء على أوامرها، إلى قارب آخر اصطاد ثلاث سمكات جيدة خلال الأسبوع الأول. كان الصبي يشعر بالحزن عندما يرى الشيخ يعود كل يوم ومركبه خالٍ، فكان دائماً يسرع ليساعده في حمل الخيوط الملفوفة، أو الخطاف والحربة، أو الشراع المطوي حول السارية. وكان الشراع المرقع بأكياس الطحين والمطوي، يبدو مثل راية خزيمة دائمة.
2. كان الشيخ نحيفاً أعرج وله تجاعيد عميقة في قفا رقبتة. وعلى خديه بقع بنية هي نوع من سرطان الجلد الذي سببته الشمس من جراء انعكاسها على البحر في تلك المنطقة الاستوائية؛ وانتشرت تلك البقع على جانبي وجهه. وعلى يديه آثار جروح عميقة خلفها جر الأسماك الثقيلة ورفعها بالحبال. ولكن لم يكن أي من آثار الجروح هذه حديث العهد. كانت قديمة قدم التآكلات في صحراء خالية من الأسماك.
3. كل شيء فيه كان قديماً، ماعدا عينيه، فقد كان لونهما لون البحر، فرحتين لا أثر للهزيمة فيهما.
4. قال الصبي وهما يصعدان الضفة من الموضع الذي رفع إليه المركب:
5. - "سنتياجو، بإمكانني الذهاب معك مرة أخرى، فقد جنينا بعض النقود."
6. كان الشيخ قد علم الصبي اصطيد السمك وكان الصبي يحبه.
7. قال الشيخ:
8. - "لا. أنت الآن مع قارب محظوظ. ابق معهم."
9. - "ولكن تذكر كيف أمضيت سبعة وثمانين يوماً دون أن تصطاد سمكة، ثم اصطدنا سمكات كبيرة كل يوم طوال ثلاثة أسابيع."
10. قال الشيخ:
11. - "أذكر ذلك. أعرف أنك لم تتركني بسبب شكك."
12. - "إن أبي هو الذي أجبرني على تركك. وأنا ولد، ويجب أن أطيعه."
13. قال الشيخ:
14. "أعلم ذلك. وهذا أمر طبيعي تماماً."
15. - "لم تكن له الثقة الكافية."
16. قال الشيخ:
17. - "لا، ولكن نحن كنا على ثقة، أليس كذلك؟"
18. قال الصبي:

19. - "نعم. هل لي أن أقدم إليك جعة في مقهى الشرفة ثم نأخذ الأدوات إلى المنزل." قال الشيخ:
20. - "ولم لا؟ فهذا جارٍ بين الصيادين."
21. جلسا في الشرفة، وراح عدد من الصيادين يهزأ بالشيخ، ولم يغضب هو. وكان آخرون، من بين الصيادين الأكبر سناً، ينظرون إليه بحزن. ولكنهم لم يظهرُوا ذلك، وإنما كانوا يتحدثون بلطف عن التيار والأعماق التي ألقوا فيها خيوطهم، وعن الجو الرائق المتواصل، وعمّا رأوه.
22. وكان الصيادون الذين أصابوا نجاحاً ذلك اليوم قد عادوا، وشقوا بطون أسماكهم من نوع المرلين، وحملوها منبسطة على لوحين خشبيين، وتحت طرف كل لوح يترنح رجلان في اتجاه دار السمك، حيث ينتظر الصيادون وصول شاحنة الثلج، لنقل الأسماك إلى السوق في هافانا. أما الذين اصطادوا أسماك القرش فقد أخذوها إلى مصنع القرش الكائن على الجانب الآخر من الخليج حيث ترفع بآلات البكارة، وتزال أكبادها، وتقطع زعانفها، وتسلخ جلودها، وتقطع لحومها على شكل قديد لتمليحها.
23. وعندما تكون الريح شرقية، تهب على المرفأ رائحة من مصنع سمك القرش؛ أما اليوم فليس هناك سوى رائحة خفيفة، لأن الريح تراجعت إلى الشمال ثم همدت، فصار الجو، على الشرفة، مشمساً ساراً.
24. قال الصبي:
25. - "سنتياجو"
26. قال الشيخ:
27. - "نعم." وكان ممسكاً بكأسه وهو يفكر في السنوات السالفة.
28. - "هل أستطيع أن أخرج وأجلب لك السردين ليوم غد؟"
29. - "لا. اذهب والعب البيسبول. فما زال بإمكانني أن أجدف القارب وسيرمي رخليو الشبكة (للحصول على السردين)."
30. - "أحب أن أذهب لجلب السردين، فإن لم أستطع الصيد معك، فإني أود أن أخدمك بطريقة ما." قال الشيخ:
31. - "اشتريت لي الجعة. وقد أصبحت رجلاً."
32. - "كم كان عمري عندما أخذتني معك في القارب أول مرة؟"
33. - "خمس سنوات، وكنت على وشك أن تقتل عندما رفعت السمكة إلى القارب وهي ماتزال قوية وكادت تهشم القارب قطعاً. هل تذكر ذلك؟"
34. - "أستطيع أن أتذكر ذيلها وهو يلبط ويخبط، والمقاومة العنيفة، وضجة الضرب بالهراوة. أستطيع أن أتذكر كيف رميتني إلى مقدم القارب كله يرتجف، ودوي ضربك لها بالهراوة كما لو كنت تقطع شجرة بفأس، والرائحة العذبة لدمها المتساقط علي."
35. - "هل تستطيع أن تتذكر ذلك حقاً، أم أنني أخبرتك بذلك؟"

38. أتذكر كل شيء منذ أول يوم ذهبنا للصيد معاً."
39. ونظر الشيخ بعينية اللتين لوحتهما الشمس والطافحتين بالمحبة والثقة، وقال:
40. - "لو كنت ولدي لغامرت بأخذك معي إلى الصيد. ولكنك ابن أبيك وأمك، وأنت الآن في قارب محظوظ."
41. - "أسمح لي بجلب السردين؟ وأعرف أين أستطيع الحصول على أربع قطع من الطعم كذلك."
42. - "لدي قطع الطعم التي بقيت اليوم، فقد احتفظت بها بالملح في الصندوق."
43. - "دعني أجلب لك أربع قطع طرية."
44. - قال الشيخ:
45. - "واحدة."
46. لم يتلاش أمله وثقته أبداً، بل أخذاً يتجددان الآن كما ينتعشان عند هبوب النسيم.
47. قال الصبي:
48. - "اثنتان."
49. قال الشيخ موافقاً:
50. - "اثنتان. أنت لم تسرقهما؟"
51. قال الصبي:
52. - "قد أفعل ذلك، ولكنني اشتريت هذه القطع."
53. - قال الشيخ:
54. - "شكراً."
55. وكان أبسط من أن يتساءل بعد أن وصلت به الحال إلى المهانة. ولكنه أحس بأنه بلغ تلك الحال، ويعرف أن ذلك ليس مخزياً ولا يسبب له خسارة في عزة النفس الحقيقية.
56. وقال:
57. - "غدا سيكون يوماً طيباً بفضل هذا التيار."
58. فسأله الصبي:
59. - "إلى أين سنذهب غداً؟"
60. - "بعيداً جداً لكي أعود عندما يتغير اتجاه الريح. أريد أن أخرج قبل مطلع الصباح."
61. قال الصبي:
62. - "سأحاول أن أجعل معلمي يعمل بعيداً، حتى إذا ما اصطدت سمكة كبيرة حقاً، نستطيع أن نأتي لمساعدتك."
63. - "إنه لا يجب أن يعمل في مكان بعيد جداً."
64. قال الصبي:

65. - "هذا صحيح، ولكنني سأرى شيئاً لا يستطيع هو رؤيته، مثل طير يصطاد شيئاً ما، وأجعله يتجه بعيداً وراء الدولفين."
66. - "هل عيناه بذلك الضعف؟"
67. - "إنه أعمى تقريباً."
68. قال الشيخ:
69. - "هذا غريب؛ لأنه لم يذهب قط لصيد السلاحف. وهذا ما يقتل العينين."
70. - "ولكنك أمضيت سنوات في صيد السلاحف خارج (ساحل البعوض)، وماتزال عيناك جيدتين."
71. - "إنني شيخ غريب."
72. - "ولكن هل أنت قوي الآن بما فيه الكفاية لصيد سمكة كبيرة حقاً؟"
73. - "أظن ذلك. وهناك حيل عديدة."
74. قال الصبي:
75. - "لنأخذ الأدوات إلى المنزل، حتى أتمكن من أخذ الشبكة والذهاب لصيد الساردين."
76. رفعنا العدة من القارب. فحمل الشيخ السارية على كتفه، وحمل الصبي الخطاف والحربة مع مقبضها إضافة إلى الصندوق الخشبي الذي يضم الخيوط البنية المجدولة جيداً والمطوية. وكان الصندوق وفيه الطعم في مؤخر المركب مع الهراوة التي تستعمل للسيطرة على الأسماك الكبيرة بعد اصطيدها ورفعها إلى المركب. لن يسرق أحد شيئاً من الشيخ، ومع ذلك فمن الأفضل أخذ الشراع والخيوط الثقيلة إلى المنزل؛ لأن الندى يضر بها. وعلى الرغم من أن الشيخ متأكد تماماً أن لا أحد من الأهالي يسرق شيئاً منه، فإنه كان يرى في ترك الخطاف والحربة في القارب إغراءات لا داعي له.
77. سارا معاً في الطريق إلى كوخ الشيخ وولجاء من بابه المفتوح. أسند الشيخ السارية وشراها المطوي إلى الحائط. ووضع الصبي الصندوق وبقية العدة بجانبها. وكان طول السارية بطول الغرفة الوحيدة في الكوخ تقريباً. وكان الكوخ مبنياً من كرب النخيل الملكي الصلب المسمى (جوانو)، ويوجد فيه سرير، ومنضدة، وكرسي واحد، ومكان على الأرضية الترابية للطبخ بالفحم. وعلى الجدران المبنية للون التي برزت منها أوراق الجوانو الصلب المسطحة المتشابكة، علفت صورة ملونة للقلب المقدس ليسوع، وصورة أخرى للعداء كوبر؟ وهاتان الصورتان من مخلفات زوجته. وكانت هنالك، من قبل، صورة ملونة لزوجته معلقة على الجدار ولكنه أنزلها، لأن رؤيتها كانت تشعره بوحدة أكبر، فوضعت على الرف في زاوية الكوخ تحت قميصه النظيف.
78. سأله الصبي:
79. - "ماذا عندك من طعام؟"
80. - "قدر من الرز الأصفر مع السمك. هل تريد أن تأكل منه؟"
81. - "لا. سأكل في البيت. أتريدني أن أوقد النار؟"

82. - لآ سأشعلها فيما بعد. أو قد أكل الرز بارداً."
83. - "أسمح لي بأخذ شبكة صيد السردين؟"
84. - "طبعاً."
85. لم تكن هناك شبكة صيد السردين، والصبي يذكر أنهما قد باعاها. ولكنهما كررا هذه التمثيلية الخيالية كل يوم. كما لم يكن هناك قدر رز أصفر أو سمك، والصبي يعرف ذلك أيضاً.
86. قال الشيخ:
87. - "خمسة وثمانون رقم يجلب الحظ. كيف تشعر إذا رأيتني وأنا أجلب في ذلك القارب سمكة يزيد وزنها عن ألف رطل؟"
88. - "سأخذ شبكة صيد السردين وأذهب لجلب السردين. رجاء اجلس في الشمس عند المدخل."
89. - "نعم. لدي جريدة الأمس وسأقرأ أخبار البيسبول."
90. ولم يعرف الصبي ما إذا كانت قصة جريدة الأمس خيالية كذلك. ولكن الشيخ أخرج الجريدة من تحت فراشه. وقال شارحاً:
91. - "أعطانيها بريكو في حان البوديجا."
92. - "سأعود عندما أحصل على السردين. وسأحفظ حصتي وحصتك سوية في الثلج، ونستطيع اقتسامهما في الصباح. وعندما أعود، يمكنك أن تخبرني عن البيسبول."
93. - "فريق اليانكيين لا يمكنه أن يخسر."
94. - "ولكني أخشى فريق هنود كليفلاند."
95. - "لكن لديك الثقة في فريق اليانكيين، يا ولدي."
96. - "إنني أخشى كلاً من فريق نمور ديترويت وفريق هنود كليفلاند."
97. - "احترس، وإلا ستخاف حتى من فريق حمر سنستاتي، وفريق جوارب شيكاغو البيضاء."
98. - "اقرأ الجريدة جيداً واخبرني عندما أعود."
99. - "أظن أننا ينبغي أن نشترى بطاقة يانصيب تحمل الرقم خمسة وثمانون؟ فيوم غد هو اليوم الخامس والثمانون."
100. قال الصبي:
101. - "يمكننا أن نفعل ذلك. ولكن ماذا تقول في الرقم سبعة وثمانين، فهو رقمك القياسي."
102. - "لا يمكن أن يحدث ذلك مرتين. هل تظن أنك تستطيع أن تجد بطاقة يانصيب تحمل رقم خمسة وثمانين؟"
103. - "يمكنني أن أطلب واحدة."
104. - "بطاقة واحدة تكلف دولارين ونصف. ممن يمكننا اقتراض ذلك المبلغ؟"
105. - "هذا أمر سهل. أستطيع دائماً أن أقترض دولارين ونصف."

106. - "أظن أنني ربما أستطيع ذلك أيضاً. ولكنني أحاول أن لا أستدين. فأنت في البداية تستدين ثم تستعطي."
- قال الصبي:
- 107.
108. - "تدفأ، أيها الشيخ. تذكر أننا في شهر سبتمبر/أيلول."
- قال الشيخ:
- 109.
110. - "هذا هو الشهر الذي تأتي فيه الأسماك الكبيرة. أي شخص يستطيع أن يصبح صياداً في شهر مايو/مايس."
- قال الصبي:
- 111.
112. - "سأذهب الآن للحصول على السردين."

Alqasimi (2013, pp. 77-89)

Appendix 12, Chapter 6: Baalbaki's Translation

1. كان رجلاً عجوزاً يصيد السمك وحده في قارب عريض القعر في "تيار الخليج"⁷⁴، وكان قد سلخ أربعة وثمانين يوماً من غير أن يفوز بسمكة واحدة. وفي الأيام الأربعين الأولى كان يصحبه غلام صغير. حتى إذا قضى أربعين يوماً من غير أن يوفق إلى صيد ما، قال ابوا الغلام لابنهما إن الشيخ منحوس نحساً لاريب فيه ولا براء منه، وسألاه أن يعمل في قارب آخر ما لبث أن فاز بثلاث سمكات رائعات في الأسبوع الأول. ولقد أحزن الغلام أن يرى الشيخ يرجع كل يوم خالي القارب، فكان ما يفتأ يمضي للقائه ويساعده في حمل صنائيره الملتفة أو محجته وحربونه⁷⁵ والشراع المطوي حول السارية. وكان الشراع مرقعا بأكياس دقيق عتيقة، فهو يبدو وقد طوي على هذه الشاكلة أشبه ما يكون برياسة الهزيمة السرمدية.
2. وكان الشيخ معروفاً شاحباً انتشرت في مؤخر عنقه تجاعيد عميقة، وعلت خديه القروح السمراء الناشئة عن سرطان الجلد غير المؤذي الذي هو ثمرة انعكاس الشمس على صفحة المياه في المناطق الاستوائية. وكانت تلك القروح تغطي جانبي وجهه، على حين كانت في يديه ندوب عميقة الغور خلفتها الحبال التي علقت في أطرافها ضروب من الأسماك الثقيلة. ولكن أيا منها لم يكن غضاً. كانت قديمة قدم التآكل في صحراء خلوٍ من السمك.
3. كان كل شيء فيه عجوزاً خلا عينيه، وكان لونهما مثل لون البحر. وكانتا مبتجتين باسلتين.
4. وقال له الغلام فيما هما يصعدان الضفة بعد أن دفعا القارب إلى اليابسة.
5. - "سانتياغو! في استطاعتي أن أذهب معك من جديد. لقد فرنا بشيء من المال."
6. كان الشيخ قد علم الصبي صيد السمك، وكان الصبي يحبه.
7. وقال الشيخ:
8. - "أنت تعمل الآن على ظهر مركب محظوظ. إبق حيث أنت."
9. - "ولكن اذكر كيف سلخت سبعة وثمانين يوماً من غير أن توفق إلى سمكة واحدة ثم تدفقت علينا الأسماك الكبيرة، فكنا نصطاد منها كل يوم عدداً غير يسير، طوال أسابيع ثلاثة."
10. فقال الشيخ:
11. - "أذكر ذلك. أنا أدري جيداً أن فراقك لي لم يكن ناشئاً عن شكوكك."
12. - "بابا هو الذي أكرهني على فراقك. أنا ما أزال غلاماً صغيراً، ويتعين علي أن أطيعه."
13. فقال الرجل العجوز:
14. - "أدري. هذا شيء طبيعي جداً."

⁷⁴ Gulf Stream وهو تيار اوقيانوسي دافئ ينبثق من خليج مكسيكو ويجري شمالاً في محاذة الساحل الأمريكي ومن ثم يتخذ اتجاهها شمالياً شرقياً نحو الجزر البريطانية. (المعرب)

⁷⁵ الحربون: رمح مريش لصيد الحيتان. (المعرب)

15. - "ليس لديه إيمان".
16. فقال الشيخ:
17. - "لا. أما نحن فإيماننا قوي. أليس كذلك؟"
18. - فقال الغلام:
19. - "نعم. هل أستطيع أن أقدم لك شيئاً من الجعة في "السطيحة"، ثم نحمل هذه الأدوات كلها إلى البيت؟"
20. - فأجابه الشيخ:
21. - "ولم لا؟ سوف أشربها بين الصيادين."
22. وجلسا على "السطيحة"، وأنشأ عدد من الصيادين يسخر من الرجل العجوز، ولكن ذلك لك يستتر غضبه قط. أما الصيادون الشيوخ فنظروا إليه وقد عصر الحزن قلوبهم. ولكنهم لم يظهروا ذلك، وراحوا يتحدثون في كياسة عن التيار، والأعماق التي قذفوا بخيوطهم إليها، والجو الجميل المتواصل، وما شاهدوه. وكان الصيادون الذين فازوا برزقهم ذلك النهار قد دخلوا، وشقوا بطون أسماكهم وحملوها ممددة على لوحين خشبيين كان رجلان يترنحان عند طرف كل منها - إلى المسمكة حيث انتظرت سيارة الثلج الكبيرة لنقلها إلى السوق في هافانا. وكان الذين اصطادوا أقراشاً⁷⁶ قد حملوها إلى مصنع الأقراش في الضفة الأخرى من الخليج، حيث توضع على الآلات الرافعة وتزال أكبادها، وتقطع زعانفها، وتنزع جلودها، ويقطع لحمها قديماً بصار بعد إلى تمليحها.
23. وحين تهب الريح من ناحية المشرق كانت روائح مصنع الأقراش تملأ جنبات المرفأ. أما اليوم فلم تبلغ المرفأ غير رائحة واهنة لأن الريح انقلبت إلى الشمال ثم همدت فجأة. وكان الجو جميلاً مشمساً على "السطيحة".
24. وقال الغلام:
25. - "سانتياغو!"
26. فأجابه الشيخ:
27. - "نعم!". كان حاملاً كأسه يفكر في الأيام الخالية.
28. - "هل تريد أن أذهب وأتيك بشيء من السردين تستعين به على الصيد غداً؟"
29. - "لا. اذهب والعب البيسبول. أنا لأزال قادراً على التجديف. وسوف يلقي روجيليو الشبكة."
30. - "كم أحب أن أذهب. وإذا كنت لا أستطيع أن اصطاد معك فليس يمنعني ذلك من أن أخدمك بطريقة ما."
31. فقال الشيخ:
32. - "لقد قدمت إلي كأساً من الجعة. ويبدو لي أنك صرت رجلاً قبل الأوان."

⁷⁶ جمع قرش، وهو سمك ضخم شبيه بكلب البحر. (المغرب)

33. - "كم كان عمري عندما اصطحبتني، أول مرة، في قارب؟"
34. - "خمس سنوات. ولقد كدت تقتل عندما حملت السمكة وكانت مازالت غضة العود، فكادت تمزق القارب إرباً إرباً. هل تذكر؟"
35. - "أستطيع أن أذكر ذنبها يضرب ويخبط، ومقعد التجديف ينكسر، والدوي الذي أحدثه ذلك التضريب. أستطيع أن أذكر كيف قذفت بي إلى مقدم المركب حيث كانت الخيوط الندية الملتفة. لقد شعرت بالمركب كله يرتجف، وسمعت صدى ضربك للسمكة الضخمة وكأنك تجتث شجرة من الأشجار، وشممت رائحة الدم العذبة تفوح من حولك."
36. - "هل تذكر ذلك حقاً أم أنني أنا الذي حدثت بك به؟"
37. - "أنا أكر كل ما وقع لنا منذ أول يوم انطلقنا فيه معاً."
38. ونظر الشيخ العجوز إليه بعينين ناضحتين بالحب والثقة، عينين لوحتهما أشعة الشمس، وقال:
39. - "لو كنت ولدي لانطلقت بك وغامرت ولكنك ابن أبيك وأمك، وأنت تعمل على قارب محظوظ."
40. - "هل أتيتك بالسردين؟ في استطاعتي أن أجيء بأربعة أطعام⁷⁷. أنا أعرف من أين."
41. - "لا تزال أطعام اليوم عندي. لقد وضعتها في الصندوق وغمرتها بالملح."
42. - "دعني أذهب وأتيتك بأربعة جديدة."
43. فقال الشيخ:
44. - "جئ بواحد فقط."
45. إن أمله وثقته لم يعترهما الوهن قط. ولكن الانتعاش دب فيهما كما ينتعشان حين يهب النسيم العليل.
46. فأصر الصبي:
47. - "بل باتنين."
48. فما كان من الشيخ إلا أن أقره قائلاً:
49. - "لا بأس، إتني باتنين. أنت لم تسرقهما؟"
50. - "أنا لا أعف عن ذلك. أما هذه الأطعام فقد اشتريتها."
51. فقال الشيخ:
52. - "شكراً."
53. كان أبسط من أن يتساءل متى تعود الازعان. ولكنه عرف أن تعوده، وعرف أنه غير معيب، وليس يضر الكبرياء الحقيقية على الإطلاق.
54. وقال:
55. - "سوف يكون الجو رائقاً، غداً، بعد هذا التيار."
56. وسأله الغلام:

⁷⁷ جمع طعم (بضم الطاء) وهو ما يلقي إلى السمك ليصطاد.

57. - "إلى أين تريد أن تذهب؟"
58. - "إلى أبعد ما أستطيع، لكي أعود حين تتحول الريح، يجب أن أنطلق قبل أن يبيزغ الفجر."
59. فقال الغلام:
60. - "سوف أحاول أن أحمل معلمي على الانطلاق إلى عرض البحر، وهكذا يكون في استطاعتي أن أسارع لمساعدتك إذا اصطدت شيئاً كبيراً حقاً."
61. - "إنه لا يحب الانطلاق إلى مدى بعيد."
62. فقال الغلام:
63. - "هذا صحيح. ولكنني أحاول أن أرى شيئاً لا يستطيع هو أن يراه: ولنقل أنه طائر يختلس شيئاً، وعندئذ أغريه بالجري وراء الدلفين."
64. - "هل يشكو ضعفاً في البصر؟"
65. - "إنه أعمى تقريباً."
66. فقال الشيخ:
67. - "هذا شيء غريب. ذلك لأنه لم يصطد السلاحف البحرية في يوم من الأيام. وهذا هو الي يقتل العينين."
68. - "ولكنك سلخت عدة سنوات تصطاد السلاحف في "ساحل البعوض"، ومع ذلك فعيناك جيدتان."
69. - "أنا عجوز غريب."
70. - "ولكن هل تظن أنك لاتزال من القوة بحيث تستطيع أن تصطاد سمكة كبيرة، كبيرة حقاً؟"
71. - "أظن ذلك. وإلى هذا فهناك حيل كثيرة."
72. فقال الغلام:
73. - "فلنحمل هذه الأدوات كلها إلى المنزل. وهكذا أستطيع أن آخذ الشبكة الخاصة بصيد السردين واصطاد منه شيئاً كثيراً."
74. وجمعا العدة من القارب. وحمل الشيخ السارية على كتفه، وحمل الغلام الصندوق الخشبي المنطوي على الخيوط السمراء الملتفة المضفورة ضفراً محكماً، والمحجن، والحربون. وكان صندوق الأ طعام في مخر القارب إلى جانب الهراوة التي تصنع لإخضاع السمكات الضخام بعد اصطيدها وجذبها. إن أحداً لن يسلب الشيخ عدته. ومع ذلك فمن الخير أن يحمل الشراع والخيوط الثقيلة إلى البيت مادام الندى يؤذيهما. وعلى الرغم من أن الشيخ كان على مثل اليقين من أن أحداً من أهل البلد لن يسرقه، فقد قال في ذات نفسه إن في ترك محجن وحربون في قعر قارب ما إغراء بالسرقة لا داعي له.
75. وتقدما معاً نحو كوخ الشيخ، ولجا بابهُ المشرع. وأسند الرجل العجوز السارية وشراها المطوي إلى الجدار، ووضع الغلام الصندوق وسائر الأدوات إلى جانبها. وكان طول السارية يكاد يبلغ طول الغرفة الوحيدة التي يتألف منها الكوخ. وكان الكوخ مبنياً بتلك المادة الصلبة التي يدعونها "غوانو"

Guano والتي لا تعدو أن تكون سعف النخلة الملكية المتراكم. وكان فيه سرير، وطاولة، وكرسي. وكان الطبخ يجري على الفحم في جانب من أرضه القذرة. وعلى الجدران السمراء، حيث برزت ههنا وههناك أوراق الـ "غوانو" المذلة المتراكبة ذات النسيج الصلب، كانت صورتان ملونتان: إحداهما تمثل قلب يسوع الأقدس والأخرى تمثل عذراء كوبر، وكانت هاتان الصورتان من آثار زوجته. وذات يوم كان الجدار مزديناً بصورة ملونة لزوجته نفسها، ولكن شعور الشيخ بالوحدة كان يتعاضم كلما نظر إليها. وهكذا نزعاها عن الجدار ووضعها على الرف الذي في وسط الغرفة تحت قميصه النظيف.

76. وسأله الغلام:
77. - "ما عندك من الطعام؟"
78. - "قدر من الرز المزعر⁷⁸ مع السمك. أتحب أن تأكل شيئاً من ذلك؟"
79. - "لا. سوف أكل في البيت. هل أضرم لك النار؟"
80. - "لا. سأضرمها في ما بعد. وقد أكل الأرز بارداً."
81. - "هل أستطيع أن أخذ شبكة صيد السردين؟"
82. - "طبعاً."
83. ولم تكن عند الشيخ شبكة خاصة بصيد السردين، وكان الغلام يذكر أنه قد باعها. ولكنهما كانا يمثلان هذه الكوميديا الصغيرة كل يوم. ولم تكن ثمة قدر من الأرز المزعر مع السمك. وكان الغلام يعرف ذلك أيضاً.
84. وقال الشيخ:
85. - "إن الخمسة والثمانين رقم سعيد. فماذا تقول لو رأيتني راجعاً بسمكة تزن أكثر من ألف رطل، في قاربي ذلك؟"
86. - "سوف أخذ الشبكة وأمضي لصيد السردين. هل لك أن تقعد عند المدخل تحت أشعة الشمس؟"
87. - "أجل. عندي جريدة البارحة، وأحب أن أطلع الصفحة الخاصة بالبيسبول."
88. ولم يدر الغلام ما إذا كانت جريدة البارحة جزءاً من الكوميديا أيضاً. ولكن الرجل العجوز سحبها من تحت السرير.
89. ثم أوضح:
90. - "لقد أعطاني بيريجو إياها في الـ "بوديغا"."
91. - "سوف أعود حين أحصل على السرديئات. ولسوف أبقى حصتك وحصتي في الثلج، وغداً صباحاً نقتسمها. وعندما أرجع تحدثني حديث البيسبول."
92. - "اليانكيون⁷⁹ لا يمكن أن يهزموا."

⁷⁸ زعفر الطعام: وضع فيه الزعفران.
⁷⁹ Yankees لفظ يطلق على سكان الولايات الأمريكية الشمالية على وجه الخصوص. (المعرب)

93. - "ولكني أخشى هنود كليفند."
94. - "ليكن إيمانك باليانكيين قوياً، يا بُني. فكر في دي ماغيو العظيم."
95. - "أنا أخشى أنمار ديترويت وهنود كليفند في وقت واحد."
96. - "كن حذراً، وإلا خشيت حمر سينسيناتي، وجوارب شيكاغو البيضاء."
97. - "أدرسها، وخبرني عندما أعود."
98. - "ألا ترى أن علينا أن نشتري ورقة يانصيب منتهية بخمسة وثمانين؟ غداً هو اليوم الخامس والثمانون."
99. فأجابه الصبي:
100. - "هذه فكرة. ولكن ما قولك بالسبعة والثمانين التي بلغها رقمك القياسي الكبير؟"
101. - "لن يقع ذلك مرتين. هل تظن أن في استطاعتنا أن نجد ورقة تنتهي بخمسة وثمانين؟"
102. - "في إمكاني أن أطلب واحدة."
103. - "عشر ورقة فقط. وهذا يساوي دولارين ونصف. ممن نستطيع أن نفترض هذا المبلغ؟"
104. - "هذا شيء سهل. في ميسوري دائماً أن أجد من يقرضني دولارين ونصف."
105. - "وأحسب أنني أيضاً قادر على ذلك. ولكني لا أحاول أن أستدين. إن المرء يستدين أولاً، ثم يستعطي."
106. فقال الصبي:
107. - "التحف جيداً، أيها الشيخ. تذكر أننا في أيلول."
108. - "شهر السمكات الكبار. إن أيما إنسان يستطيع أن يعمل صياداً في نوار."
109. فقال الصبي:
110. - "سوف أمضي التماساً للسردين."

Baalbaki (2012, pp. 7-17)

Appendix 13, Chapter 6: The ST Profile Template

Analysis of the ST					
I. FIELD	1. General Description:				
	2. Lexical Means				
	a. General description				
	Means		Effect		Examples
	b. Degree of generality, specificity or granularity				
	Rubric	Ava.	Extent	Examples	
	Specialised				
	General				
	Popular				
3. Syntactic Means					
Means		Effect		Examples	
4. Textual Means					
a. Coherence and Cohesion					
Coherence	Cohesion	Cohesive Devices	Extent	Examples	
b. Textual Aspects					
I. Theme-dynamics					
Position		Ava.	Extent	Function/Effect	Examples
Objective (unmarked)					
Subjective (marked)					
II. Clausal Linkage (Logical Relation)					
Relation	Ava.	Extent	Function/Effect	Examples	
III. Iconic Linkage					
Ava.	Extent	Examples			

1. Author's Temporal, Geographical and Social Provenance:				
Unmarked	Marked	Description		
2. Author's Personal (Emotional and Intellectual) Stance:				
3. Lexical Means				
Means	Effect	Examples		
4. Social Role Relationship				
Role Relationship	Ava.	Position	Description	Examples
Symmetrical				
Asymmetrical				
a. Lexical Means				
Means	Effect	Examples		
b. Syntactic Means				
Means	Effect	Examples		
c. Textual Means				
Means	Effect	Examples		
5. Social Attitude				
Style Level	Description	Suitability/Effect		
a. Lexical Means				
Means	Effect	Examples		
b. Syntactic Means				
Means	Effect	Examples		
c. Textual Means				
Means	Effect	Examples		

1. Medium

a. General View

Channel	Degree	Type		
		Text Production	Reference	Presentation of Information

b. Lexical Means

Means	Effect	Examples

c. Syntactic Means

Means	Effect	Examples

2. Participation

a. General View

Level	Type	Description

b. Lexical Means

Means	Effect	Examples

c. Syntactic Means

Means	Effect	Examples

d. Textual Means

Means	Effect	Examples

Text Type	Ava.	Description
Emic		
Etic		

IV. GENRE	1. Type	
	2. Communicative Purpose/Goal	
	3. Feature(s)	

V. Statement of Function	1. Genre	
	2. Field	
	3. Tenor	
	4. Mode	

Appendix 14, Chapter 6: The Match Tracer

Category	Assessment			Brief Explanation	Examples	
	Match	Mismatch	In-between			
I. Field	1.					
	2a.					
	2b.					
	3.					
	4a.					
	4bI.					
	4bII.					
	4bIII.					
II. Tenor	1.					
	2.					
	3.					
	4.					
	4a.					
	4b.					
	4c.					
	5.					
	5a.					
	5b.					
	5c.					
	III. Mode	1a.				
		1b.				
1c.						
1d.						
2a.						
2b.						
2c.						
2d.						
IV. Genre	1.					
	2.					
	3.					
Overtly Erroneous Errors						
No.	ST	TT	BT	Description	Subtype	
1.						
2.						
Statement of Quality						
On Field: On Tenor: On Mode: On Genre:						



What distinguishes the SFL theory, in general terms, from other linguistic theories, especially generative or Chomskyan linguistics?

Introduction:

Systemic Functional Linguistics (SFL) was born in the womb of the social semiotic approach to language. **Social Semiotics** is primarily concerned with human *semiosis* (a process or action of signs) as an inherently social phenomenon in its sources, functions, contexts and effects. It is also concerned with the social meanings constructed through the full range of semiotic forms, through semiotic practices, in all kinds of human society at all periods of human history. Halliday, who is credited with being the originator of the social semiotic view of language in 1960s onwards, defines **social semiotics** as: interpreting language within a sociocultural context, in which the culture itself is interpreted in semiotic terms - as an information system. In simple words, language from the perspective of social semiotics is viewed as a product of a social process. He argues that **culture** (a social reality of a complex network of meaning potential) is a semiotic construct that controls and interprets discourse and the linguistic system.

SFL and other Linguistic Theories

Structural Linguistics emerged in 1920s by the Swiss linguist, Ferdinand de Saussure. He looked at language as a systematic structure serving as a link between thought and sound; he thought of language as a series of linguistic signs that are purely arbitrary. Structurally speaking, the main concern is to examine language as a static system of interconnected units. More specifically, a piece of language (or utterances) can be described through different linguistic levels: the phonemes, morphemes, lexical categories, noun phrases, verb phrases, and sentence types.

Formal Linguistics studies the purely syntactic aspects of language (or the internal structural patterns forming sentences). These are defined by means of formal or *context-free grammar*. In general terms, formal linguistics concerns itself with understanding the syntactic regularities of natural languages. In a few words, the focal point of this theory is the capacity of language to formulate different forms rather than make meaning.

Generative Linguistics was developed by Noam Chomsky in the 1960s. Through the lens of this theory, the production (performance) of complex structures in speech acts results from the speaker's innate system (competence), which is a universally shared capacity. **Deep structure** (the theoretical construct that seeks to unify several related structures; input) is represented in the form of **surface structure** (the syntactic or the actual form of a sentence; output) through a set of **transformational-generative rules**. Taking these concepts into account, generative linguistics is a theory of syntax and structure (see supplement: example 1).

Systemic Functional Linguistics approaches language as a meaning-making resource through which people communicate in given situational and cultural contexts. **Meaning**, which is the core of any communication activity, is the system that construes the participants' experiences and social relationships. This meaning is based on Systemic Functional Grammar (SFG) and characterised by **a stratal organisation**

(systems of context of culture, context of situation, discourse semantics, lexicogrammar and phonological and morphological realisation) and functional diversity of both the wordings and grammatical structures. In summary, the main objective of this linguistic model is to describe the lexicogrammatical resources available in language for making meaning.

The Main Differences between Chomskyan and Hallidayan Linguistic Models

- Chomskyan linguistics is a syntactic-based model, while Hallidayan Linguistics is a meaning-based model realised by lexicogrammar.
- Chomsky studies natural language as a formal system that excludes those variations and distinctions related to sociological study of language. Halliday, on the other side, views language as interaction from the perspective of social system. Put differently, language is used to make sense of our experience and to carry out our interactions with other people. This means that grammar has to interface with what goes on outside language: with the happenings and conditions of the world, and with the social processes we engage in. But at the same time it has to organise the construal of experience, and the enactment of these social processes, so that they can be transformed into wordings (see supplement: example 2).
- The main substantive disagreement between Chomskyan and Hallidayan linguistics lies in the fact that the former is far more concerned with the mental structures underlying human language while the latter is more concerned with the actual use of language.
- Finally, Chomsky regards linguistics as a part of psychology, while Halliday views linguistics as a branch of sociology.



Definitions, basic notions and principles of SFL (language as a resource for making meaning, stratification, register dimensions, meaning of *system* and *functional* in the model) part I

Definitions and Basic Notions

Meaning is a 'system' in the sense that it considers the set of choices in a particular linguistic context. Meaning is realised by the choice of **lexicogrammar**: lexis (words) and grammar (structure). This choice is governed by the communicative social purpose of the utterance.

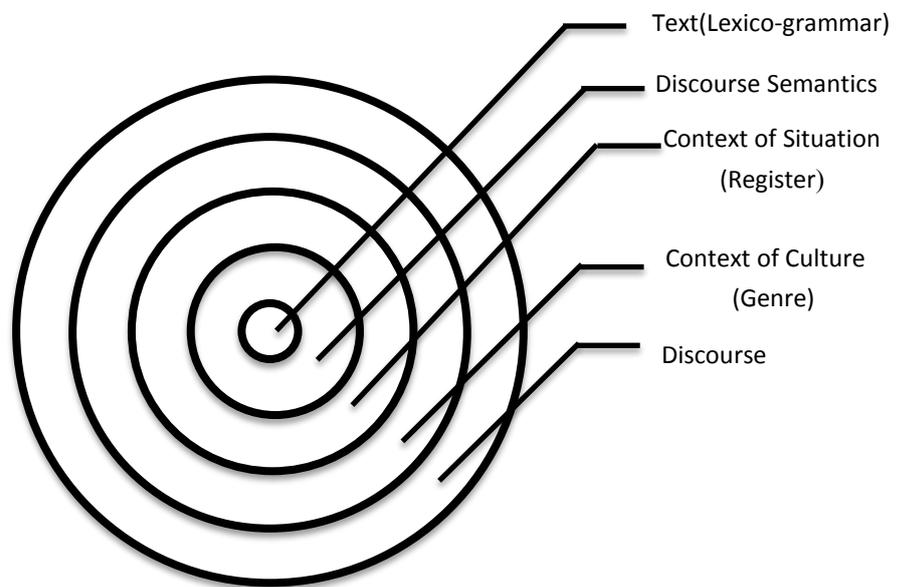
Systemic Functional Grammar (SFG) interprets language not as a set of structures but as a network of systems, or interrelated sets of options for making meaning. SFG provides a way of describing lexical and grammatical (lexicogrammatical) choices within the systems of wording so as to understand how language is being used to realise meaning. In a broader sense, SFG sets out to investigate what the range of relevant choices are, both in the kinds of meanings that we might want to express (or functions that we might want to perform) and in the kinds of wordings that we can use to express these meanings; and to match these two sets of choices.

Systemic in this linguistic model is associated with meaning which considers a set of choices in a particular linguistic context. The system describes language in terms of **paradigmatic** relations - which language elements can be substituted for each other in a particular context – but not in terms of **syntagmatic** relations - ordering of linguistic

elements within a larger unit. In a word, SFG gives priority to paradigmatic relations: it interprets language not as a set of structures but as a network of systems, or interrelated sets of options for making meaning.

This linguistic model is **functional** in the sense that language exists and, has evolved, to fulfil certain human needs, and the linguistic forms of which it is comprised necessarily reflect those basic needs. In a more comprehensive sense, the SFL model approaches language in terms of what the speaker can do with it. More narrowly, it is linked to the social purposes for which it is used.

The key concept of **stratification** manifests the fact that a language is a complex semiotic system, having various levels or strata. When we say that language is stratified in this way, we mean that this is how we have to model language if we want to explain it. The relationship among the strata – the process of linking one level of organisation with another – is called **realisation**. In simple terms, a higher level provides a context for its lower level or that a higher level cannot exist without its lower level. The following figure visualises the inward stratal relations:



Next session, we shall briefly explain what is meant by each stratum.



Definitions, basic notions and principles of SFL (language as a resource for making meaning, stratification, register dimensions, meaning of *system* and *functional* in the model) part II

Discourse: Modes of speaking and writing which involve participants in adopting a particular attitude towards areas of socio-cultural activity (e.g. racist discourse).

Context of Culture: This refers to the social processes that make it possible for the language to mediate and function for use. *Context of culture* consists of a set of factors that determine, collectively, the way the text is interpreted in its *context of situation*.

Context of Situation: *Context of situation* is sourced from *context of culture*. The former exclusively determines a constellation of choices, such as the choice of style, grammatical structures or patterns and lexical items of the text. The latter, on the other hand, exclusively determines the structure of the text according to the social purpose (Genre) of the text. *Context of situation* is the immediate environment in which a text is actually functioning. It reflects the occasional occurrence or use of a certain utterance in a given situation, and that which makes receivers able to predict what text is yet to come (see supplement: example 3).

Context of situation is represented by three constructional elements or functional-oriented kinds in language use: Field, Tenor and Mode (the Register dimensions, context parameters or discourse variables). Register is the configuration of semantic

resources that the member of a culture typically associates with a situation type; it is the meaning potential that is accessible in a given social context.

1. The **Field** of a text refers to the social action in which the meaning is perceived within the social system. It is what is being written about, e.g. the price for a delivery of goods.
2. The **Tenor** of a text concerns, in general terms, the relationship between a producer and a receiver of a text. As regards social semiotics, Tenor maintains the social distance between the two parties of a language activity. It demonstrates who is communicating and to whom, e.g. a sales representative to a customer.
3. The **Mode** of a text is basically featured by the medium or channel used in a language activity. This choice of the medium, whether written or spoken, unquestionably affects the formation of a text as a resource of meaning. It is assumed that Mode is firmly located in a certain environment in which a text serves different social functions, such as *expository*, *persuasive* and *descriptive* and the like. Mode in this case appropriately reflects not only the choice of medium and the implication of this choice on text formation, but also the social function(s) of the given text. In brief, Mode reflects the form of communication, e.g. written or spoken, formal or informal.

Each of the above variables of Register is associated with a strand of meaning (or **metafunctions**) in the text. Metafunctions are the modes of meaning that are present in every use of language in every social context. They work at the level of clause to produce the intended meaning. These associations are defined as follows:

1. **The ideational meaning or metafunction** is associated with the Field of a text. Using the *ideational* metafunction, the speaker of language encodes his cultural experience and the environment around her/him. In other words, *ideation* is the

content function of language which deals with how our experience of reality, material and symbolic is construed in discourse. *Ideation* is subdivided into *experiential* and *logical* metafunctions.

- a. **Experiential metafunction**, on the one hand, is the function through which a speaker of language expresses her/his recognitions, cognitions, perceptions and her/his linguistic acts of speaking and understanding.
 - b. **Logical metafunction**, on the other, is the function in which Logical Relations are encoded in language in the form of co-ordination, apposition and modification.
2. **The interpersonal meaning or metafunction** is associated with the Tenor of a text. The *interpersonal meaning* is the participatory function of language which represents the speaker's meaning potential as an intruder. By *intruder* we mean that the speaker intrudes himself into the context of situation, both expressing his own attitudes and judgments and seeking to influence the attitudes and behaviour of others. Put simply, the *interpersonal meaning* enacts social relationships.
 3. **The textual meaning or metafunction** is associated with the Mode of a text. The *textual* function enables language to make 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 recognise one. The *textual* metafunction serves not only to establish relations between sentences, but more importantly to contribute to the internal organisation of the sentences and represent meaning as a message both in the organisation itself and in relation to the context. In the most simplified terms, the *textual meaning* makes a text hang together in a coherent way.

All these strands of meaning are realised in a text through **lexicogrammar**. A text can best be effectively defined as: a unit of language in use; it is a process of making

meaning in context. It is a **linguistic unit** (the instances of linguistic interaction in which people actually engage) encoded in clauses which are produced by infinitely many simultaneous and successive choices in meaning, realised as *lexicogrammatical* structure. Texts are produced through ongoing selection in a very large network of systems; language is a resource for making meaning and meaning resides in systemic patterns of choice. In simple terms, **text is meaning and meaning is choice**. A text is a **semantic unit** that encompasses an actualised meaning potential (the paradigmatic range of semantic choice that is present in the system, and to which the members of a culture have access in their language), and which concerns itself with the configuration of diverse textual elements, rather than simply words. To put this concept in an analogous realisation format: a text is to the semantic system what a clause is to the *lexicogrammatical* system and a syllable to the phonological system. The relationship is a dependent one. For example, the Field determines the *ideational meaning* which is realised by *lexicogrammar*.

Taking into account this approach to text, it is clear that text is a meaning unit, not a form unit, but meaning is realised through form and without understanding the meanings of individual forms [wordings] one cannot interpret the meaning of the text as a whole. The three metafunctions are realised by the means of **lexicogrammatical choices or resources** (a systemic functional term for lexis or vocabulary and grammar of a language). *Lexicogrammar* gives users of language the ability to make a finite number of expressions units (sounds) to realise an infinite number of meanings. Put differently, we use finite means to realise infinite ends. The *lexicogrammar* allows us to combine sounds into words, which can then be arranged into different grammatical structures to make different meanings (see supplement: example 4). Accordingly, it is the structural differences that give us the meaning differences between making a statement or asking a question or commanding (technically, different Mood choices).

The following table represents these functional stratal links:

Register Dimension	Meaning (metafunction)	Lexicogrammatical Realisation
Field	Ideational (Clause as Representation)	<ul style="list-style-type: none"> • Subject-specific terminology • <i>Transitivity</i> structures: verb or process types, active/passive and the use of <i>nominalisation</i> instead of verb (see supplement: example 5).
Tenor	Interpersonal (Clause as Exchange)	<ul style="list-style-type: none"> • The use of pronouns: <i>I/we/you</i> in an imperative clause, which decides the degree of formality • <i>Modality</i> (the use of modal verbs and adverbs' e.g. <i>should possibly, hopefully</i>) • The use of <i>evaluative</i> lexis (such as <i>beautiful, ugly, dreadful</i>)
Mode	Textual (Clause as Message)	<ul style="list-style-type: none"> • <i>Cohesion</i> (the way a text hold together lexically through repetition, pronouns, collocation, etc.) • <i>Thematic and information structures</i> (such as word order)



Systems, ranks, and functional labels

Systems

System indicates how SFG is different from other functional models. One of the things distinguishing systemic grammar is that it gives priority to *paradigmatic* relations: it interprets language not as a set of structures but as a network of SYSTEMS, or interrelated sets of options for making meaning. Such options are not defined by reference to structure; they are purely abstract features, and structure comes in as the means whereby they are put into action, or realised. Language has been called ‘**a system of systems**’. To put the same thing in more systemic terms: a language is a very large network of interrelated sets of options, within which each set taken by itself is very small. SFG thus puts more emphasis on system than on structure. It is more interested in describing a set of options for each system rather than in prescribing a set of rules from the *syntagmatic* perspective. In summary, a system here is taken to mean: a range of alternatives which may be behavioural, semantic, grammatical etc., together with a specification of the environment in which selection must be made among these alternatives. In terms of translation, the working hypothesis is that: systems exist in all languages, but the way these systems are being realised can be different from one language to another.

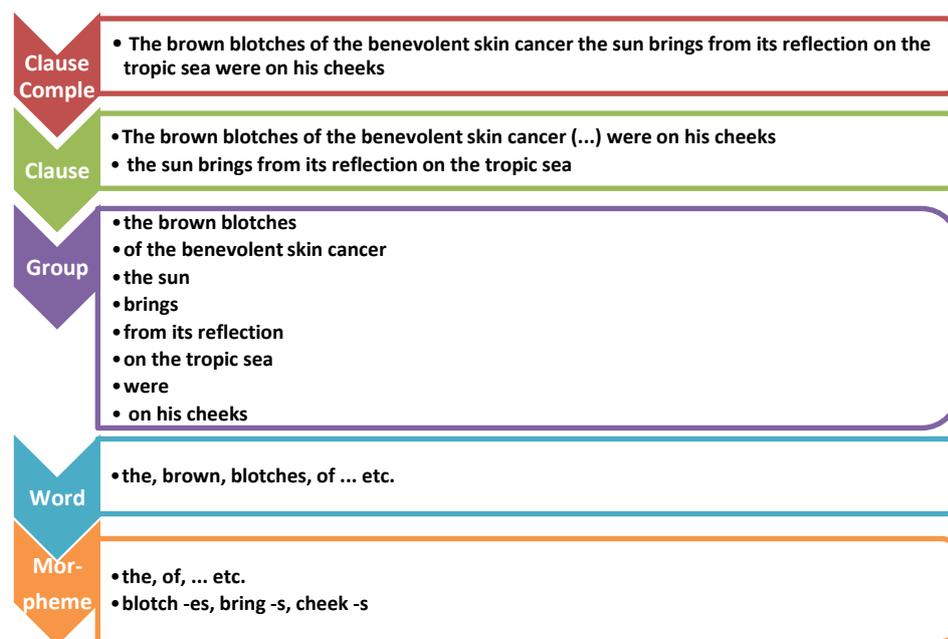
Examples of systems in language:

1. The system of **Polarity** is the opposition between positive and negative. Certainly, this system operates within the *interpersonal* system of meaning.
2. The system of **Modality**, in simple terms, is the system that represents the region of uncertainty between the two poles of 'yes' and 'no', which constitute the system of *Polarity*. *Modality* refers to a speaker's attitude, maintained in the language by the use of *lexicogrammatical* resources such as modal auxiliaries, modal adverbs, *evaluative* adjectives and adverbs and so on, towards the truth of a proposition expressed by a clause or clause complex (a sentence). In this case, the system of Modality is unquestionably actualised within the *interpersonal* system of meaning.
3. The system of **Transitivity** is a resource for construing our experience in terms of configurations of a *process*, *participants* and *circumstances*. The system of Transitivity, in a sense, is situated in the system of Ideation (or *ideational metafunction*).
4. The system of **Mood** resides in the Interpersonal system of meaning. *Mood* is the grammatical resource for realising an interactive move in dialogue. It is the major *interpersonal* system of the clause that provides the language users with required *lexicogrammatical* resources for enacting *speech functions* (or *speech acts*), such as giving or demanding information and giving or demanding goods-&-services.
5. The system of **Determination** is evolved in the organisation of *nominal groups* for locating referents in a referential space, while in contrast, the system of **Tense** is evolved in the *verbal groups* for locating a unique occurrence of a *process* in time. To clarify, the Deictic element (*this, that, these*, etc.) indicates whether or not some specific subset of the Thing is intended; and if so, which. The nature of the Deictic is determined by the system of Determination.
6. The system of **THEME** is the system where the *thematic structure* actualises. It functions within the Mode system of meaning or Mode metafunction. *Thematic*

structure is that which gives the clause its character as a message. This structure consists of two elements: Theme and Rheme. Theme is the element which serves as the point of departure of the message; it is that which locates and orients the clause within its context. Rheme constitutes the remainder of the message, the part in which the *theme* is developed (see supplement: example 6). Theme is divided into two types: unmarked and marked Theme. *Markedness* is an aspect of language use where some linguistic features may be considered less 'basic' or less 'preferred' than others. These marked features are used in a contextually motivated manner, i.e. to yield a range of effects (e.g. *It was papa made me leave* as a 'marked' variant of the 'unmarked' *Papa made me leave*).

Ranks

Rank, in simple terms, represents the organisation of phonology, morphology and *lexicogrammar*. This term is used by Halliday to refer to different linguistic units, namely morpheme, word, group, clause and clause complex (or sentence). For example, the following figure diagrammatically represents the top-down rank scale for the clause complex *The brown blotches of the benevolent skin cancer the sun brings from its reflection on the tropic sea were on his cheeks*:



Functional Labels

Within each system in language, there are functional labels elaborating what function each component or element performs. The significance of any functional label lies in its relationship to the other functions with which it is structurally associated. For example, when the Process (which is the basic component in the Transitivity system) is Material, the elements are functionally labelled as: Participant (Actor) + Process (Material) + (Goal) + (Circumstance). But when the Process is Relational, the elements are functionally labelled as: Participant (Carrier) + Process (Relational) + Attribute. The following two examples will illustrate the idea.

Clause	The boat	caught	three good fish	the first week
Experiential Transitivity	Actor	Process: material	Goal	Circumstance: location

Clause	He	was	an old man
Experiential Transitivity	Carrier	Process: relational	Attribute



The top-down analysis; clause complex and clause divisions: part I

The clause is considered the main resource through which meaning is expressed. It is defined according to SFG as: a meaning that includes a verbal group that functions as a Process. Systemically speaking, systems are seen to stem from the clause. Therefore, text as a semantic unit of language does not only consist of clauses; it is rather realised by clauses and clause complexes. **In translation, great value is attached to clause division as we need to identify the relationships signalled between clauses in order to understand the structural resources that construe the logical connections between experiential events.** The clause is divided into four types:

1. **Independent clause** is one which can stand alone, or function independently of other messages. This type of clause can be referred to as a *free clause*, which is one that can stand by itself as a complete sentence. An independent clause is always *finite* (a form of the verb that carries the tense marker of the clause and is inflectable according to the subject, singular or plural, unless in the imperative Mood where the *participant* is implied).
2. **Dependent clause**, on the other hand, is one which cannot stand alone but functions to provide some kind of supportive information for other clauses. It can be *finite* or *non-finite* (a verb that does not have an inflectional form in the clause). It can be termed *bound clause*, which refers to the type of clause that

gives a supporting reason or information to an independent clause or another dependent clause.

3. **Embedded clause** is one which is used as a constituent part of another clause, functioning within a group as a noun, an adjective or an adverb. Again, it can be *finite* or *non-finite*.
4. **Interrupting clause** is one which a language user inserts to interrupt the flow of the original clause, which is, in its turn, completed in due course. The interrupting clause can be also *finite* or *non-finite*.

We shall give herein below an illustrative example:

He was an old man who fished alone in a skiff in the Gulf Stream and he had gone eighty-four days now without taking a fish. In the first forty days a boy had been with him. But after forty days without a fish the boy's parents had told him that the old man was now definitely and finally *salao*, which is the worst form of unlucky and the boy had gone at their orders in another boat which caught three good fish the first week.

Cl.C.	No.	Clause	Type
I	1	He was an old man	Ind.
	2	who fished alone in a skiff in the Gulf Stream	Emb.
	3	and he had gone eighty-four days now	Ind.
	4	without taking a fish	Dep.
single	5	In the first forty days a boy had been with him	Ind.
II	6	But after forty days without a fish the boy's parents had told him	Ind.
	7	that the old man was now definitely and finally <i>salao</i>	Dep.
	8	which is the worst form of unlucky	Int.
	9	and the boy had gone at their orders in another boat	Ind.
	10	which caught three good fish the first week	Emb.



Clause complex and clause divisions: part II

Exercise 1

Divide the following short text into its constituent clause complexes and clauses, and decide (as shown in session 5) if the clause is *independent*, *dependent*, *embedded* or *interrupting*.

It made the boy sad to see the old man come in each day with his skiff empty and he always went down to help him carry either the coiled lines or the gaff and harpoon and the sail that was furled around the mast. The sail was patched with flour sacks and, furled, it looked like the flag of permanent defeat.

Cl.C.	No.	Clause	Type
	1		
	2		
	3		
	4		
	5		
	6		
	7		
	8		
	9		
	10		



Lexicogrammatical relations (metafunctions) as stylistic choices

As indicated earlier in session 3, *metafunctions* are modes of meaning or resources of language for making meaning. *Metafunctions* are discussed particularly in relation to the negotiation of meanings between the producer and receiver at the level of *social semiotic* interaction. In the case of translation, analysing the grammatical realisations of the text by means of SFG enables the translator to divide the text into translatable units, and the flow of discourse into lexicogrammatical units, which result in identifying different kinds of meanings in the text or metafunctions (ideational, interpersonal and textual) to be reproduced in the TL. For example, breaking down an English clause into *actor/process/goal/client/circumstance* labels, which reveal the *ideational* meaning activated by a certain Field of discourse, will make the translator more focused when reproducing the same meaning ideationally in the TL.

We have to state clearly that the working hypothesis here is that **languages are metafunctionally congruent (correspondent)** and, in consequence, there is a need to preserve the metafunctional effect as much as possible even if the SL and TL are systemically different, especially in system realisation. Some Researchers have concluded that the SFL model suits the description of Arabic grammar as the model leans towards meaning rather than towards syntactic structure; it is a semantically-oriented model of description. The basic argument is that many notions that Halliday proposed either have similar correlates in the Arab tradition or can be better understood,

interpreted and developed through Halliday's systemic functional theory than through other structural ones.

Style, in general terms, refers to the way in which the message is conveyed. It is the way in which language is used in a given context, by a given person, for a given purpose. Our concern here is mainly characterised by analysis of *register* as recognised by the *lexicogrammatical choices* associated with meanings drawn from language use and/or language user. Here we adopt the approach that **all lexicogrammatical choices are meaningful, and thus they are stylistic**. Halliday's *lexicogrammatical* analysis locates stylistic significance in the *ideational* function of language; that is, in the cognitive meaning or sense which for the dualist is the invariant factor of content rather than the variable factor of style. In conclusion, style is a meaning-based phenomenon that is viewed from the perspective of the SFL model functionally, i.e. **every lexicogrammatical choice carries a function of meaning**.



Ideational (experiential and logical) metafunction and its functional labels

As shown earlier in session 3, the *ideational* metafunction is the content function of language which deals with how our experience of reality, material and symbolic is construed in discourse. The *ideational* metafunction is divided into *experiential* and *logical* metafunction. The *experiential* function is mainly realised by the system of Transitivity represented by the *lexicogrammar* of a clause and the *logical* metafunction is mainly realised by two dimensions which operate most saliently between clauses (i.e. in a clause complex): the *logical dependency relations* and *logico-semantic relations*. The system of Transitivity analyses the *lexicogrammatical* relations between the three basic components of the clause as representation of experience: Process, Participant and Circumstance. This session will be dedicated to discussing the lexicogrammatical resources for Logical Relations, while next session will be devoted to analysing the *experiential* system of Transitivity.

The **logical dependency relations** are technically referred to as Taxis. Taxis is subdivided into three categories: *parataxis*, *hypotaxis* and *embedded*. **Parataxis** refers to the symmetrical, transitive logical 'linking' of elements of equal status, while **hypotaxis** is the non-symmetrical, non-transitive logical 'binding' of elements of unequal status. **Embedded**, as a third logical relation category, function as a constituent in other *paratactic* or *hypotactic* clauses. The second dimension of realising the logical metafunction is the *logico-semantic relations* between clauses. **Logico-**

semantic relations refer to the relationships that can be signalled between clauses and function in very different ways. *Logico-semantic relations* are dichotomised into *expansion* (subdivided into *elaborating*, *extending* and *enhancing* relations) and *projection* (subdivided into *locution* and *idea* relations). This terminological difficulty can be cleared away by the following examples illustrating the basic types of clause complex relations:

1.

Logico-semantic	Expanding	Projecting
Logical dependency		
Paratactic	They are not employees, they are students.	I said: 'No, I can't do it'.
Hypotactic	If you start trouble, we'll finish it.	A top official denied that the meeting took place.
Embedded	It depicts a little boat <i>sailing through stormy seas</i> .	I told him about the university to sponsor the trip.

2.

Logical dependency (Taxis)		Paratactic	Hypotactic
Logico-semantic			
Expansion	Elaboration	(1) John didn't wait; (2) he ran away.	(α) John ran away, (β) which surprised everyone.
	Extension	(1) John ran away, (2) and Fred stayed behind.	(α) John ran away, (β) whereas Fred stayed behind.
	Enhancement	(1) John was scared, (2) so he ran away.	(α) John ran away, (β) he was scared.
Projection	Locution	(1) John said: (2) "I'm running away".	(α) John said (β) he was running away.
	Idea	(1) John said to himself: (2) "I'll run away".	(α) John thought (β) he would run away.

α : an independent clause, β : a dependent, interrupting or embedded clause

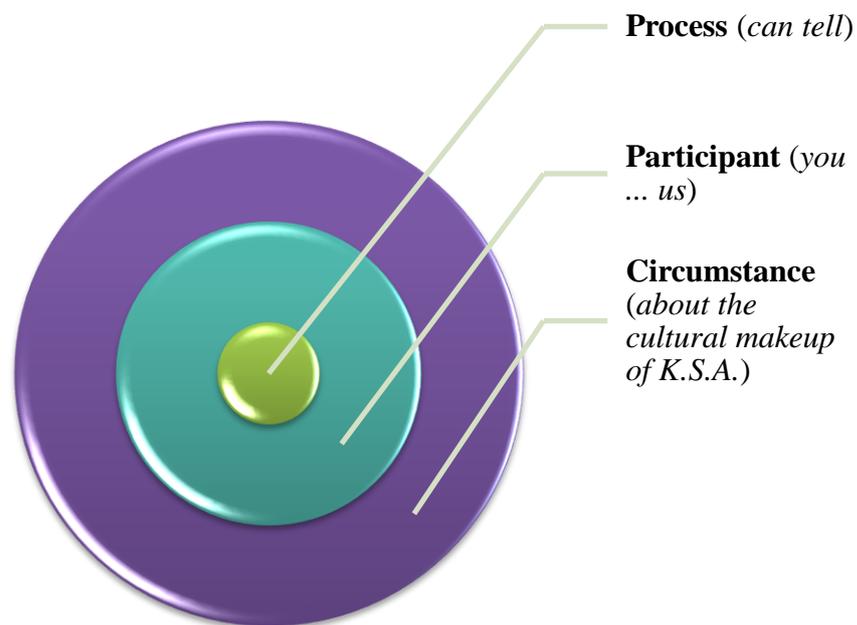
3. (1) He was an old man (2) who fished alone in a skiff in the Gulf Stream (3) and he had gone eighty-four days now (4) without taking a fish.

Clause No.	Clause Complex	Logical Relation
1	α_1	Embedded Extending
2	$\beta_1 \alpha_1$	
3	$\alpha_2 \alpha_1$	Paratactic Extending
4	$\beta_2 \alpha_2$	Embedded Extending



System of Transitivity (Process type, Participant and Circumstance)

The system of Transitivity constitutes the backbone of the *ideational* metafunction. This term is traditionally used to distinguish between verbs according to whether they have an *object* or not. In SFL, it refers to a system for describing the whole clause. In a word, Transitivity constitutes the clausal realisation of contextual choices. The basic components of the Transitivity system are: Process, Participant and Circumstance. The Transitivity system centres on Process in providing a configuration of *lexicogrammatical* resources that construe a quantum of change in the flow of events as a figure. In other words, it is the type of Process which determines how the Participants are functionally labelled. The relationship between the three constituents of the Transitivity system can be functionally described as: Circumstance, if it exists, constitutes the *lexicogrammatical* element that is associated with Participant involved in Process. The following figure diagrammatises this relationship for the clause: *You can tell us about the cultural makeup of K.S.A.*



Processes can be defined as: expressions of happening, doing, being, saying and thinking. The *lexicogrammatical* resources accountable for realising these functional constituents of Processes in English are the verbal groups. Processes are divided into six Process Types (Material, Behavioural, Mental, Verbal, Relational and Existential). In a narrative text, which is the *text type* involved in this course, these Process types are used to construe the narrative plot. The six different primary Process types make distinct contributions to the construction of text. For example in construing a narrative plot, the grammar deploys Material clauses to construct the main event line, Verbal clauses to construct dialogic passages, Mental clauses to construe the participants' emotive reactions to events, and Relational clauses to construct descriptive background and both preconditions and outcomes of Material clauses. Each of these is associated with different Participant roles or functions (as shown in the table below). Circumstances are defined as those *lexicogrammatical* resources that cover such matters as the settings, temporal and physical, the manner in which the Process is implemented, and the people

or other entities accompanying the Process rather than directly engaged in it. Circumstance is realised by adverbial groups (as *definitely*), prepositional phrases as *in another boat* or nominal groups as *forty days* (the examples are taken from the extract in session 5).

Transitivity	Clause	1. Process Type	2. Participant (Subtype)	Examples
		Material	Actor-Goal (<u>Beneficiary</u> : <u>Recipient</u>) (or <u>Client</u>)	They left <i>their dinner</i> . They give <u>you</u> <i>nothing</i> . Sami gave <u>Maha</u> <i>a gift</i> . I will heat <u>you up</u> <i>some soup</i> .
			Actor-Range *	They ran <i>the race</i> . They were playing <i>tennis</i> . Maha served <i>the dinner</i> . Give <i>a smile</i> .
		Mental	<u>Senser</u> + <u>Phenomenon</u>	Processes like: <i>love, hate, understand, know, want</i> , Mental Processes of perception: <i>see, hear, notice</i> , etc. <i>She</i> believed <u>his excuse</u> .
		Behavioural*	<u>Behaver</u> (+ <u>Behaviour</u>) (Phenomenon)	<i>She</i> sighed . <i>He</i> smiled <u>a broad smile</u> . <i>He</i> sniffed <u>the soup</u> .
		Verbal	<u>Sayer</u> (+ <u>Receiver</u>) (+Verbiage)	<i>He</i> told <u>her</u> <i>a lot of stories</i> .
		Existential	<u>Existence</u>	There was <i>snow</i> on the ground.
		Relational*	1. Attributive <u>Carrier</u> + <u>Attribute</u> 2. Identifying <u>Token</u> + <u>Value</u>	<i>You</i> are <u>very skinny</u> . <i>You</i> are <u>the skinniest one</u> here.
		3. (Circumstance)*		

* **Range** is a continuation of the Process itself, it expresses the extent or 'range' of the Process, or is created by the use of 'dummy' verbs, like *do, have, give, take, make*. Sometimes, it is not easy to distinguish a Range from a Goal. Consider the following examples:

Range	Goal
Shoot a gun	Shoot a kangaroo
Kick a goal	Kick the dog
Serve dinner	Serve the party
Give a smile	Give a present
Make a mistake	Make a cake
Take a bath	Take a biscuit

My daughter	was	given	blood
Recipient	Process: Material		Range

* **Behavioural** Processes are mid-way between Material and Mental Processes. That is, they are in part about action, but it is action that has to be experienced by a conscious being. Behaviourals are typically Processes of physiological and psychological behaviour, such as *breathe, cough, dream, laugh, smile, sniff, taste, stare, watch, sigh, frown, and gawk*.

* **Relational** Processes cover the many different ways in which 'being' can be expressed in the clause.

* **Circumstances** are essential components in the Transitivity system. They are defined as those *lexicogrammatical* resources that cover such matters as the settings, temporal and physical, the manner in which the Process is implemented, and the people or other entities accompanying the Process rather than directly engaged in it. Circumstances are realised by adverbial groups, prepositional phrases or nominal groups. Circumstance is not an obligatory component of the Transitivity system. But when it is once used, it plays an essential role in Transitivity pattern.

Types of circumstantial element		Wh-item	Examples of realisation
1. Extent	Distance	How far?	For, throughout
	Duration	How long?	For, throughout
	Frequency	How many times?	Measured nominal group
2. Location	Place	Where?	At, in, on, by, near ...
	Time	When?	At, in, on, to, until ...
3. Manner	Means	How?	By, though, with, by means of ...
	Quality	How?	In + a + quality (e.g. dignified) + manner/way, with + abstraction (e.g. dignity), adverbs in -ly, -wise, fast, well, jointly, separately, respectively
	Comparison	How? What like?	Like, unlike, differently ...
	Degree	How much?	To + a high/low/... degree/extent, Adverbs of degree: much, greatly, deeply, considerably ...
4. Cause	Reason	Why?	Because of, as a result of, thanks to, due to ...
	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 ...
5. Contingency	Condition	Why?	In case of, in the event of
	Default		In default of, in the absence of, short of ...
	Concession		Despite, in spite of
6. Accompaniment	Comitative	Who/what with?	With, without
	Additive	And who/what else?	As well as, besides, instead of
7. Role	Guise	What as?	As, by way of, in the role/shape/guise/form of
	Product	What into?	Into
8. Matter		What about?	About, regarding, concerning, on, of, with reference to, with respect to
9. Angle	Source		According to, in the words of
	Viewpoint		To, in the view/opinion of, the standpoint of



Interpersonal metafunction and its functional labels: the systems of Mood and Modality

The System of Mood

As indicated earlier in session 4, the *interpersonal* metafunction constitutes another important purpose of language, which is using language not only to convey *experiential* meaning but also to interact and exchange meaning. In order to recognise the functional components of grammar of the clause as exchange, we need to differentiate two main constituents of the Mood: MOOD and RESIDUE. MOOD comprises the **Subject** (which is reinterpreted functionally here, but not traditionally) and **Finite**. RESIDUE, on the other hand, represents what is left over once the MOOD has been established. RESIDUE includes three main functional components: **Predicator**, **Complements** and **Adjuncts**. Here is an illustrative example:

Clause	which	caught	three good fish	the first week
Experiential	Actor	Process: material		Goal
Interpersonal	Subject	Finite	predicator	Complement
	MOOD		RESIDUE	

The function of each Modal component will be presented herein below:

Subject realises the thing by reference to which the proposition can be affirmed or denied. It provides the person or thing in whom is vested the success or failure of the proposition, what is 'held responsible'.

Finite is defined here in terms of its function in the clause to make the proposition definite, to anchor the proposition in a way that we can argue about it.

Predicator is one that fills the role of specifying the actual event, action or process being discussed.

Complement is defined as a non-essential participant somehow affected by the main argument of the proposition.

Adjunct is the clause element which contributes some additional information to the clause.

The following table will summarise the subtypes of Adjuncts:

Type	Sub-type	Meaning	Class of Item	Location
Ideational	Circumstantial	Time, location, manner, etc. See session 9.	Prepositional phrases, adverbs	In RESIDUE
	Mood	Intensity, probability and usuality presumption	Adverbs, e.g. <i>usually, probably</i>	In MOOD
Interpersonal	Polarity	Positive or negative	Yes/no (elliptical)	In MOOD
	Comment	speaker's assessment of whole message	Prepositional phrases, adverbs, e.g. <i>frankly</i>	Not in MOOD or RESIDUE
	Vocative	Nominating next speaker	Names	Not in MOOD or RESIDUE
Textual	Conjunctive	Logical linking of messages	Cohesive conjunctions, e.g. <i>and, but</i>	Not in MOOD or RESIDUE
	Continuity	Message coming	Minor clauses, adverbs (yeh/nah)	Not in MOOD or RESIDUE

The System of Modality

As shown earlier in session 4, the system of Modality actualises within the *interpersonal* metafunction. We can distinguish two basic types of Modality: *modalisation*, which is subdivided into *probability* (e.g. The child might be hers) and *usuality* (e.g. She often went there), and *modulation*, which is subdivided into *obligation* (e.g. You should go now) and *inclination* (e.g. I will give you a hand).



Textual metafunction: the system of THEME

When we look at language from the point of view of the *textual* metafunction, we are trying to see how speakers construct their messages in a way which makes them fit smoothly into the unfolding language event (which may be a conversation, or a newspaper article, for example). The main constituents of the message are the Theme and Rheme (For more on this point, see session 4). We now briefly look at other *lexicogrammatical* resources for creating '**texture**' – the quality of being recognisably a text rather than a collection of unconnected words or clauses. These resources are *cohesion* and *coherence*. **Cohesion** represents the network of surface relations which link words and expressions to other words and expressions in a text. It refers to the linguistic devices by which the speaker can signal the experiential and interpersonal *coherence* of the text – and is thus a textual phenomenon – we can point to features of the text which serve a cohesive function. **Coherence**, on the other hand, is the network of conceptual relations which underlie the surface text. It refers to the accessibility, relevance and logic of the concepts and relations underlying the surface *texture* of a text. We shall limit our discussion to the *cohesive devices* or systems, which can be presented and exemplified in the following table.

Cohesive Device or System	Definition	Examples
Conjunction	Conjunction refers to the combining of any two textual elements into a potentially coherent complex semantic unit.	and, but, in other words, on the other hand, that is, apart from, on the contrary, in the end, finally, etc.
Reference	Reference is the set of grammatical resources that allow the speaker to indicate whether something is being repeated from somewhere earlier in the text, or whether it has not yet appeared in the text.	They came again into their bedroom . A large bed had been left in it .
Ellipsis	Ellipsis is the set of resources by which full repetition of a clause or clause element can be avoided.	'How old is he?' 'Two months.' [You'd] Better go home and rest.
Substitution	In substitution, a linguistic token is put in the place of the wording to be repeated from elsewhere.	I preferred the other one . Using <i>so, also, too</i> , etc.
Lexical Cohesion	This includes <i>repetition, synonymy, hyponymy</i> (be a kind of, e.g. fruit is a kind of food.) and <i>collocation</i> .	<ul style="list-style-type: none"> - I strove for none, for none was worth my strife. - <i>sound</i> with <i>noise</i> - Open government, campaign finance reform and big money – these are the kinds of issues. - Epithet + Thing: strong tea, heavy traffic, powerful argument.



The applicability of SFG in English-to-Arabic translation

Whether the SFL model is viable in English-to-Arabic translation is the question to be fundamentally addressed. The working hypothesis is that **languages are metafunctionally congruent**. There is a need then to preserve the metafunctional effect as much as possible even if the SL and TL are systemically different. The default case is that metafunctions remain constant as we translate text from one language into another. This linguistic model suits the description of Arabic grammar as the model leans towards meaning rather than towards syntactic structure; it is a semantically-oriented model of description. It is assumed that many notions that Halliday proposes either have similar correlates in the Arab tradition or can be better understood, interpreted and developed through Halliday's systemic functional theory than through other structural ones. The working principle here is that **in translation metafunction tends to be preserved**. Let's explore the metafunctional match between a ST extract and its translation.

Clause	and	the boy	had	gone	at their orders	in another boat
Experiential		Actor	Pr: material		Cir: cause	Cir: location
Interpersonal	Adj: conj.	Subject	Finite	Predicator	Adj: circ.	Adj: circ.
	MOOD			RESIDUE		
Textual	Theme (unmarked)		Rheme			

Clause	إلى قارب صيد آخر	بناء على أوامرهما	الصبي	انتقل	ف
Experiential	Cir: location	Cir: cause	Actor	Process: material	
Interpersonal	Adj: circ.	Adj: circ.	Subject	Predicator	Adj: conj.
	RESIDUE			MOOD	
Textual	Rheme			Theme (unmarked)	



Metafunction analysis of short English fiction

Exercise 2

Divide the following extract from a novel into its constituent clauses. Then analyse them metafunctionally:

The blotches ran well down the sides of his face and his hands had the deep-creased scars from handling heavy fish on the cords. But none of these scars were fresh. They were as old as erosions in a fishless desert.

Cl.C.	No.	Clause	Type
	1		
	2		
	3		
	4		
	5		

Clause	The blotches	ran	well	down	the sides of his face
Experiential					
Interpersonal					
Textual					

Clause	and	his hands	had	the deep-creased scars	from handling heavy fish	on the cords
Experiential						
Interpersonal						
Textual						

Clause Complex	Logical Relation

Clause	But	none of these scars	were	fresh
Experiential				
Interpersonal				
Textual				

Clause	They	were	as old as erosions in a fishless desert
Experiential			
Interpersonal			
Textual			



Discussion of examples of metafunction shifts or mismatches in English-to-Arabic translation of fiction: part I

In sessions 15 and 16, two examples of metafunctional shifts in English-to-Arabic translation of fiction will be cited. The aim is to show how metafunction analysis contributes to translating from English into Arabic.

ST	The blotches ran well down the sides of his face
TT	جرت البقع إلى أسفل جانبي وجهه تماما
BT	The blotches ran down the sides of his face exactly

In the ST above, the *manner* Circumstance *well* describes the manner in which the Material Process *ran* is realised through the involvement of the Participant *the blotches*. While in the TT clause, *well* is likely to be associated with the preceding *location* Circumstance *the sides of his face*. Even though the adverb *تماما* is inaccurately chosen by the translator, it would be structurally acceptable if it read *جرت البقع تماما إلى أسفل جانبي وجهه*. The suitable *lexicogrammatical* resource for this *manner* Circumstance in Arabic is *جليية* or *كبيرة* or *بصورة واضحة* or *بشكل واضح*.

If the TT clause is analysed metafunctionally, it will look similar to that of the ST clause, especially in the *experiential* and *interpersonal* lines. But when a careful *cohesion* analysis of the *textual* line is applied, the translation shift unfolds. *Collocation* refers to the phenomenon of the co-occurrence tendency of particular lexical items; it is not governed by any general semantic relationship like the other types of lexical

cohesion (repetition, synonymy, hyponymy, etc.). It is governed rather by the association between the given lexical items. The primary dictionary meaning of the verb *run* is جری, but this does not collocate with the Actor البقع in this context. One of its meanings that goes with this context is *to spread* انتشر or امتد: they both give the precise meaning and preserve the function of the ST since they typically collocate with the Actor البقع.



Discussion of examples of metafunction shifts or mismatches in English-to-Arabic translation of fiction: part II

ST	'No,' the old man said. 'You're with a lucky boat. Stay with them.
Related Clause(s)	1-4
TT	فقال له العجوز: كلا. واستطرد قائلاً: أنت تعمل في مركب ابتمس الحظ لأصحابه. امكث معهم.
Translator	1
BT	The old man said to him, no. And proceeded to say: you work in a boat fortune smiled for its owners. Remain with them.

This example covers a variety of issues discussed through SFG analysis. Firstly, the Relational Process in clause 2 is *materialised* in the TT. The Relational Process clause is concerned with our experience modelled as *being*, while the Material Process clause construes our experience of the material world as *doing*. The *materialisation* here causes a translation *shift* as the event is clearly *concrete*. Material clauses do not necessarily represent concrete, physical events; they may represent abstract doings and happenings. The focus of the ST Relational clause, as realised by the verb *be*, is on identifying the relationship between the Carrier *you* and Attribute or Accompaniment Circumstance *with a lucky boat* through a change of 'state' without an input of energy. The TT Material Clause in which the Participant is the source of energy, on the other hand, shifts the focus to be highlighted on the Process *تعمل*, which constitutes a quantum of change in the flow of events as taking place through some input of energy. Secondly, the Attribute (or the Accompaniment Circumstance) *with a lucky boat* is inappropriately translated by the Behavioural Process *ابتسم الحظ لأصحابه*, and causes a translation shift. Even though the TT phrase sounds natural in Arabic, its meaning is not revealed at least

explicitly by the ST. Saying that *fortune smiled for its owners* means that this boat was not lucky but now is, and there is no cue to that in the context. Thirdly, the logical Paratactic Locution relation is not successfully composed in the TT. However, the use of the process استطرده is a good attempt to create a similar textual continuity in the TT between the projected clause 'No' and the projecting clause *the old man said*. Fourthly, the *marked* Theme is improperly reproduced. Finally, the *lexicogrammatical* resource امكث in Arabic does not match the original *stay* in English. According to many monolingual Arabic dictionaries, the verb مكث means: 'to remain in place and wait', which is sharply different from the ST resource *stay*. The functional equivalent in Arabic is simply بقي.

Reviewing the other translators' versions will sketch out more useful aspects of functional resemblance and discrepancy between English and Arabic in translation.

ST: 'No,' the old man said. 'You're with a lucky boat. Stay with them.	
Translator	TT
T2	"لا" أجاب الشيخ "أنت في مركب محظوظ وأريدك أن تبقى حيث أنت".
T3	قال الرجل العجوز: "لا. أنت مع زورق محظوظ. إبق معهم".
T4	قال الشيخ: - "لا. أنت الآن مع قارب محظوظ. إبق معهم".
T4	وقال الشيخ: - "أنت تعمل الآن على ظهر مركب محظوظ. إبق حيث أنت".
T5	فقال للغلام: - لا يا ولدي انك تعمل في مركب حسن الطالع فابق مع أصحابه.
T6	فقال للفتى: - لا يا ولدي. ها أنت تعمل في مركب حسن الطالع فابق مع أصحابك ودعك مني.

T2 fails to compose the same Process *said* in the TT. He uses أجاب instead of قال. T2, T4, T5 and T6 have the same shift in *materialising* the Relational Process, whereas T3 and T4 just keep the same Process type in the TT, and consequently preserves the function as in the ST. T4 and T5 explicitate the meaning (or add extra meaning) unjustifiably by interjecting the Circumstance الآن into the TT clause. There are also other instances of *explicitation* (the phenomenon which frequently leads to TT stating ST information in a more explicit form than the original) such as يا ولدي and ودعك مني.



English-to-Arabic translation practice: part I

Exercise 3

Translate the following extract from Dickens' *Great Expectations* into Arabic:

My father's family name being Pirrip, and my Christian name Philip, my infant tongue could make of both names nothing longer or more explicit than Pip. So, I called myself Pip, and came to be called Pip.



English-to-Arabic translation practice: part II

Exercise 4

Translate the following extract from Dickens' *Oliver Twist* into Arabic:

As Oliver gave this first proof of the free and proper action of his lungs, the patchwork coverlet which was carelessly flung over the iron bedstead, rustled; the pale face of a young woman was raised feebly from the pillow; and a faint voice imperfectly articulated the words, 'Let me see the child, and die.'



English-to-Arabic translation practice: part IV

Exercise 6

Translate the following extract from Hemingway's *The Old Man and the Sea* into Arabic:

They picked up the gear from the boat. The old man carried the mast on his shoulder and the boy carried the wooden box with the coiled, hard-braided brown lines, the gaff and the harpoon with its shaft. The box with the baits was under the stern of the skiff along with the club that was used to subdue the big fish when they were brought alongside. No one would steal from the old man but it was better to take the sail and the heavy lines home as the dew was bad for them and, though he was quite sure no local people would steal from him, the old man thought that a gaff and a harpoon were needless temptations to leave in a boat.

Appendix 16, Chapter 7: Supplement to Training



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School of Languages, Cultures and Societies
PhD, Centre for Translation Studies

Training Course
Supplement to Training

Example 1

Students should not drink milk every morning. (Negative)

Should students drink milk every morning? (Interrogative: yes/no)

Why should students drink milk every morning? (Interrogative: wh-) ... etc.

Example 2

Mum, you aren't enjoying your dinner, are you? – I am.

Using an **expletive**, a speaker is enacting the participation of the addressee in the exchange of meaning; it marks the interpersonal relationship (it plays an *interpersonal metafunction* but does not have any *ideational metafunction*). This is realised by the Mood System. The same applies to **vocatives** and **swear words**.

Example 3

The clause '**you're being stupid**' in English can have different 'meanings' according to a number of different contexts reflecting different social relations:

English Situation	Arabic Meaning
a parent teaching a game to a child who continues to make mistakes playing it	لا تَكُنْ غَيبًا.
a teacher responding to an erroneous remark a student makes in class	هذا غِباءٌ مِنْكَ.
one child to another while playing a game of monopoly	أنتَ غِيبٌ بِالْفِعْلِ.
a wife chiding her husband for his inability to grasp an innuendo while watching a misogynistic film on TV	كَمْ أَنْتَ غَيْبِي!

Example 4

Lexicogrammatical levels or differences:

If we have the lexical items (Maha, eat, poached and eggs), then we can get a range of meanings if they are arranged in different grammatical structures:

Expression	Meaning
Maha eats poached eggs.	Statement about Maha's habitual behavior vis-à-vis <i>eggs</i>
Maha is eating poached eggs.	Statement about Maha's current behavior regarding <i>eggs</i>
Maha ate poached eggs.	Statement about Maha's past action
Poached eggs are eaten by Maha.	Statement about something that happens to eggs
Did Maha eat poached eggs?	Request for information about Maha's past action
Does Maha eat poached eggs?	Request for information about Maha's habitual behavior
Maha, eat poached eggs.	Command to Maha to carry out action of eating
Poached eggs ate Maha.	Statement about what Maha ate
Poached eggs, Maha. [And so on.]	Command to Maha to carry out action of poaching.

Example 5

The use of the *lexicogrammatical* choice of nominalisation and *receptive voice* (traditionally, passive):

The decision is made to reject your proposal may hide a reality that could otherwise be expressed by an *operative* Process (traditionally, an active verb): *I and the other members of the committee have decided to reject your proposal.*

Example 6

The old man	had taught the boy to fish
Theme (unmarked)	Rheme

But after forty days without a fish the boy's parents	had told him
Theme (marked)	Rheme

The material of the training course has basically been compiled from the following primary resources:

Baker, M. 2011. *In Other Words: A Coursebook on Translation*. 2nd ed. London and New York: Routledge.

Bardi, M. A. 2008. *A Systemic Functional Description of the Grammar of Arabic*. PhD Thesis: Department of Linguistics, Macquarie University.

Eggins, S. 2004. *An Introduction to Systemic Functional Linguistics*. 2nd ed. London and New York: Continuum. (chapters 1, 4, 5, 6, 7, 8, 9, 10).

Halliday, M.A.K. and C. Matthiessen. 2014. *Halliday's Introduction to Functional Grammar*. 4th ed. London and New York: Routledge. (chapters 1-5).

Kim, M. 2010. Translation error analysis: A Systemic Functional Grammar approach. In: C. Coffin, T. Lillis and K. O'Halloran, eds. *Applied Linguistics Methods: A Reader*. London and New York: Routledge, pp. 84-94.

Matthiessen, C. 2001. The environments of translation. In: E. Steiner and C. Yallop, eds. *Exploring Translation and Multilingual Text Production: Beyond Content*. Berlin and New York: Mouton de Gruyter, pp. 41-124.

Appendix 17, Chapter 7: The Initial Exam (with the model answer)



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Training Course
Time: 75 minutes

The Initial Exam

Please, answer all the questions below. You are free to use your dictionaries.

Q1) In your opinion, which part of the source text has a translation problem or shift in the following translations? Choose from the list below the number identifying the label or type of your choice.

The List of Labels

1. Participant (subject, complement)
2. Process (verb)
3. Circumstance (adverb, prepositional phrase)
4. Attribute (adjective)
5. Tense
6. Logical Relation (between clauses)

Here is an illustrative example:

He drove his car fast in the evening.

A B C D

قاد سيارته بسرعة ليلاً.

The part is: The label is:

1. The old man was thin and gaunt with deep wrinkles in the back of his neck.

A B C D

كان الرجل العجوز نحيلاً تنتشر التجاعيد العميقة في أنحاء وجهه.

The part is: The label is:

2. He was an old man who fished alone in a skiff.

A B C D

كان قد بلغ من العمر عتياً، إلا أنه مازال وحيداً في قاربه.

The part is: The label is:

3. The boy had gone at their orders in another boat which caught three good fish.

A B C D

نزل الغلام عند رغبة أبيه وذهب يعمل في زورق آخر جاد البحر على ذويه بثلاث سمكات طيبات.

The part is: The label is:

QII) Circle the most accurate translation in your view. Then briefly justify your choice:

1. I know you did not leave me because you doubted.

- a. أعرف أنك لم تتركني بسبب شكك.
b. أعلم جيداً أنك لم تفارقني لأنك في ريب من أمري.
c. أنا أدري جيداً أن فراقك لي لم يكن ناشئاً عن شكوكك.
d. أعرف أنك لم تتركني بسبب ارتيابك في عمل غير مؤكد، وبدون نتائج مضمونة.

Reason: In (b) and (c), the Circumstance جيداً is unnecessarily added. Similarly, in (d), the two Circumstances are also added as explanation. Translation (a) seems to be more accurate as it preserves the functions of the ST.

2. It was papa made me leave.

- a. أرغمني أبي على الرحيل.
b. إن أبي هو الذي حملني على تركك.
c. بابا هو الذي أكرهني على فراقك.
d. كان بابا هو الذي حملني على أن أتركك.

Reason: The Participant ببا in translations (c) and (d) is not Arabic as a lexical choice. Translation (a) does not preserve the *lexicogrammatical* choice of the expletive *it*, and begins with the Process أرغم instead. That is why translation (b) is the most accurate translation.

3. The old man had taught the boy how to fish and the boy loved him.

- a. كان العجوز قد علم الصبي كيف يصطاد الأسماك، وقد تعلق الغلام به وأحبه.
b. كان الغلام يحب الشيخ كثيراً، إذ كان أول من علمه فنون الصيد.
c. كان الرجل العجوز قد علم الولد أن يصطاد فأحبه الولد.
d. كان يحب العجوز لأنه هو الذي لقنه أصول مهنة الصيد.

Reason: In translation (a), the Process تعلق is added, and consequently gives a greater *interpersonal* effect. In translations (b) and (d), the order of the clauses is altered, and consequently a *hypotactic logical* relation replaces the *paratactic logical* relation in the ST.

QIII) Translate the following short extract from a novel into Arabic:

They walked up the road together to the old man's shack and went in through its open door. The old man leaned the mast with its wrapped sail against the wall and the boy put the box and the other gear beside it. The mast was nearly as long as the one room of the shack. The shack was made of the tough bud shields of the royal palm which are called *guano* and in it there was a bed, a table, one chair, and a place on the dirt floor to cook with charcoal.

سارا في الطريق معاً إلى كوخ الشيخ، ودخله من بابه المفتوح. أسند الشيخ السارية وشراعها المطوي إلى الحائط، ووضع الصبي الصندوق والمعدات الأخرى بجانبها. وكانت السارية تقريباً بطول الغرفة الوحيدة في الكوخ. كان الكوخ مبنياً من كرب النخيل الملكي الصلب المسمى 'جوانو'، ويوجد في داخله سرير ومنضدة وكروسي واحد ومكان على الأرضية الترابية للطبخ بالفحم.

Appendix 18, Chapter 7: The Final Exam (with the model answer)



UNIVERSITY OF LEEDS

School of Languages, Cultures and Societies
PhD, Centre for Translation Studies

Training Course
Time: 75 minutes

The Final Exam

Please, answer all the questions below. You are free to use your dictionaries.

QI) In your opinion, which part of the source text has a translation problem or shift in the following translations? Choose from the list below the number identifying the label or type of your choice.

The List of Labels

1. Participant (subject, complement) 2. Process (verb) 3. Circumstance (adverb, prepositional phrase)
4. Attribute (adjective) 5. Tense 6. Logical Relation (between clauses)

Here is an illustrative example:

He drove his car fast in the evening.

قاد سيارته بسرعة ليلاً.

The part is: The label is:

1. I could go with you again. We've made some money.

A B C D

أستطيع أن أرافقك ثانية، فالمال معنا.

The part is: The label is:

2. In the first forty days, a boy had been with him.

A B C D

في الأربعين يوماً الأولى منها، رافقه طفل صغير يعينه على أمره.

The part is: The label is:

3. But remember how you went eighty-seven days without fish.

A B C D

لكن تذكر كيف ظللت فيما مضى سبعة وثمانين يوماً بدون أن يوجد علينا البحر بشيء.

The part is: The label is:

QII) Circle the most accurate translation in your view. Then briefly justify your choice:

1. You're with a lucky boat. Stay with them.

- a. أنت تعمل في مركب ابتسم الحظ لأصحابه. امكث معهم.
b. ها أنت تعمل في مركب حسن الطالع، فابق مع أصحابك ودعك مني.
c. أنت مع زورق محظوظ. ابق معهم.
d. أنت في مركب محظوظ، وأريدك أن تبقى حيث أنت.

Reason: In translation (a), the Attribute or the Circumstance *a lucky boat* is translated as the Process *ابتسم الحظ* which gives a meaning that is not intended in the ST. In (b), the imperative clause *دعك مني* adds an *interpersonal* effect which is not intended in the ST. In (d), the structure of the second clause is longer because of the *shift* in the Mood *وأريدك*.

2. The brown blotches of the benevolent skin cancer the sun brings from its reflection on the tropic sea were on his cheeks

- a. علت خديه القروح السمراء الناشئة عن سرطان الجلد غير المؤذي الذي هو ثمرة انعكاس الشمس على صفحة المياه في المناطق الاستوائية.
b. ظهرت على وجنتيه بثور سمراء من سرطان الجلد الحميد الناشئ من انعكاس الشمس على مياه البحر في هذه المنطقة الاستوائية.
c. وعلى خديه بقع بنية هي نوع من سرطان الجلد الذي سببته الشمس من جراء انعكاسها على البحر في تلك المنطقة الاستوائية.
d. انتشرت على خديه البقع البنية لسرطان الجلد الحميد الذي تسببه الشمس من انعكاسها على البحر المداري.
ملاحظة: سرطان الجلد الحميد: the benevolent skin cancer

Reason: In translations (a) and (b), the Participant *blotches* and the Circumstance *the tropic sea* are mistranslated. In (a), the word *ثمرة* is used positively in Arabic while the context here is about a disease. In (c), the Circumstance *the tropic sea* is mistranslated. Translation (d) preserves the functions of the ST.

3. It made the boy sad to see the old man come in each day with his skiff empty.

- a. ولقد أحزن الغلام أن يرى الشيخ يرجع كل يوم خالي القارب.
b. في نهاية كل يوم، يحزن الطفل وهو يرى معلمه يعود خاوي الوفاض.
c. مست كبد الصبي لوعة حزن وهو يرى العجوز يجيء كل يوم بمركبه خاويًا.
d. كان الحزن يجتاح قلب الفتى، حين يرى العجوز عائداً إلى الشاطئ كل يوم صفر اليدين.

Reason: Translation (b) involves unnecessary shift in the word order; the Circumstance is located initially. In (b), (c) and (d) the *lexicogrammar* involving the expletive *it* is not respected. There is an addition of some functional elements, such as *إلى الشاطئ* in (d). But in (a), however, the *it* choice is respected, with no additions.

QIII) Translate the following short extract from a novel into Arabic:

The old man and the boy sat on the Terrace and many of the fishermen made fun of the old man and he was not angry. Others, of the older fishermen, looked at him and were sad. But they did not show it and they spoke politely about the current and the depths they had drifted their lines at and the steady good weather and of what they had seen. The successful fishermen of that day were already in and had butchered their marlin out and carried them laid full length across two planks, with two men staggering at the end of each plank, to the fish house where they waited for the ice truck to carry them to the market in Havana.

جلس الشيخ والصبي في 'الشرفة، وراح كثير من الصيادين يسخر من الشيخ، ولم يكن غاضباً. أما الصيادون الآخرون الأكبر سناً فنظروا إليه وهم حزينون، ولكنهم لم يظهروا ذلك، وتحدثوا بلباقة عن التيار والأعماق التي حولوا خيوطهم إليها، وعن الجو الجميل الهادئ، و عما رأوه. كان الصيادون الموفقون في ذلك اليوم قد عادوا، وشقوا بطون أسماكهم من نوع 'المارلين'، وحملوها وهي ممددة بالكامل على لوحين خشبيين يترنح رجلان تحت وطأة طرفيهما، وتوجهوا بها نحو دار السمك حيث انتظروا شاحنة الثلج لحملها إلى السوق في هافانا.

Appendix 19, Chapter 7: The Scoring Rubric for the Pilot Exam Study

Participant's Code: The Pilot Study (two different participants)

Assessment Element (Sub-competence)	Scale Point/Statement of Measurement					Initial		Final	
	4	3	2	1	0	Score	%	Score	%
I) Metafunction-based comprehension of the ST	To demonstrate in all 3 questions a masterful ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions a proficient ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions a good ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions a weak ability to analyse and understand the metafunctional constituents and configuration of the ST.	To demonstrate in all 3 questions an inability to analyse and understand the metafunctional constituents and configuration of the ST.	2	12.5	1	6.25
						4	25%	4	25%
II) SFL-based assessment of translation	To demonstrate in questions 1 and 2 (part 1) a masterful ability to find out the correspondence between the <i>lexicogrammatical</i> resources of both texts (getting 6 correct answers)	To demonstrate in questions 1 and 2 (part 1) a proficient ability to find out the correspondence between the <i>lexicogrammatical</i> resources of both texts (getting 4 or 5 correct answers)	To demonstrate in questions 1 and 2 (part 1) an average ability to find out the correspondence between the <i>lexicogrammatical</i> resources of both texts (getting 3 correct answers)	To demonstrate in questions 1 and 2 (part 1) a weak ability to find out the correspondence between the <i>lexicogrammatical</i> resources of both texts (getting 1 or 2 correct answers)	To demonstrate in questions 1 and 2 (part 1) an inability to find out the correspondence between the <i>lexicogrammatical</i> resources of both texts (getting 0 correct answer)	3	11.25	2	7.5
						4	15%	4	15%
III) Functional-oriented justification for choosing the most accurate translation	To provide a strong, specific functional-oriented justification for question 2, part 2.	To provide a good, mostly specific functional-oriented justification.	To provide a satisfactory, functional-oriented justification.	To provide a weak, functional-oriented justification.	To provide an invalid, functional-oriented justification or when it is left unanswered.	1	2.5	1	2.5
						4	10%	4	10%
IV) Production of a metafunctionally equivalent TT in the TL system	To produce a complete, metafunctionally creative equivalent TT in the correct TL system.	To produce a complete, good metafunctionally equivalent TT in the acceptable TL system.	To produce an almost complete satisfactory metafunctionally equivalent TT with some mistakes in the TL system.	To produce an almost incomplete, incorrect metafunctionally equivalent TT with many mistakes in the TL system.	To produce an incomplete, invalid metafunctionally equivalent TT with very many mistakes in the TL system or when it is left unanswered.	3	37.5	2	25
						4	50%	4	50%
Total						9	63.75	6	41.25
						16	100%	16	100%



Information Sheet

1. Research Project Title: Applying Systemic Functional Linguistics (SFL) to English-to-Arabic Translation of Fiction.

The researcher plans to achieve a didactic (pedagogical) objective through a translation training course experiment given to final-year university students (majoring in English) at Taif University, Saudi Arabia.

You are being invited to take part in the above research project. Before you decide, it is important for you to understand why the research is being done and what it will involve. Please take time to read the following information carefully and discuss it with others if you wish. Ask the researcher if there is anything that is not clear or if you would like more information. Take time to decide whether or not you wish to take part.

2. What is the project's purpose?

The main concern here is to take advantage of the possible outcomes of SFL as an analytical and assessment framework and examine its applicability in developing the students' performance in translation through acquainting them with SFL and the Systemic Functional Grammar (SFG) knowledge required to produce a target text (TT) that can match as a metafunctional (ideational, interpersonal and textual) equivalent to

the source text (ST). The present research adopts the approach that the SFL model posits language as a systemic resource for making and exchanging meaning in given situational and cultural contexts, and thus, it significantly contributes to translation both in theory and practice. The general working hypothesis is this: languages are metafunctionally correspondent, and there is thus a need in translation to preserve the metafunctional effect as fully as possible even if the source language (SL) and target language (TL) are systemically different.

3. Why have you been chosen?

You are particularly chosen because you have not been exposed to the well-known and well-developed theory of Systemic Functional Linguistics (SFL) in linguistics or in translation modules in your BA programme.

4. Do you have to take part?

Your participation in the research training course is entirely voluntary. **You will have a minimum of four days to decide whether to take part or not.** You are strongly urged to take part in initial and final exams (for the control and experimental groups) and a translation training course (for the experimental group only). The training course will provide a new and beneficial linguistic model showing how this can be usefully applied to translation. It is up to you to decide whether or not to take part. If you do decide to take part, you will be given this information sheet to keep, and be asked to sign a consent form. You can still, however, withdraw at any time without it affecting any benefits that you are entitled to in any way.

5. Where and when will the exams and the training course take place?

The following table outlines the suggested time and date of the research project:

Venue	Faculty of Arts and Education, Taif University
Date	From 19/10/2014 to 15/01/2015
Length of the course (for the experimental group)	3 months (about 12 weeks)
Classes	An hour, twice a week
Hours required (for the experimental group)	About 24 hours, distributed as follows: 1 hour as an introduction (distributing and discussing the information sheet) * 30 minutes for taking the participants' signatures on consent forms * 75 minutes for initial * 20 hours for the training course 75 minutes for final exam *

* Time required for both groups.

6. What procedure is to be followed in this project?

- I. You will sit a 75-minute initial exam. You will be free to use monolingual and bilingual dictionaries.
- II. The training course (for the experimental group only) will cover 20 hours, one hour twice a week. The teaching aids include a hand-out for each session and a data show. The contents of the course will include:
 1. Differences between SFL theory, in general terms, and other linguistic theories, especially generative or Chomskyan linguistics.
 2. Definitions, basic notions and principles of SFL (language as a resource for making meaning, stratification, register dimensions, meaning of *systemic* and *functional* in the model): part I.

3. Definitions, basic notions and principles of SFL (language as a resource for making meaning, stratification, register dimensions, meaning of *systemic* and *functional* in the model): part II.
 4. Systems, ranks, and functional labels.
 5. The top-down and bottom up analyses; clause complex and clause divisions: part I.
 6. Clause complex and clause divisions: part II.
 7. Lexicogrammatical relations (metafunctions) as stylistic choices.
 8. Ideational (experiential and logical) metafunction and its functional labels.
 9. System of Transitivity (Process type, participant and circumstance)
 10. Interpersonal metafunction and its functional labels (the systems of Mood and Modality).
 11. Textual metafunction: the system of THEME.
 12. Applicability of SFG in Arabic.
 13. Metafunction analysis of short English fiction: part I.
 14. Metafunction analysis of short English fiction: part II.
 15. Discussion of examples of metafunction shifts or mismatches in English-to-Arabic translation of fiction: part I.
 16. Discussion of examples of metafunction shifts or mismatches in English-to-Arabic translation of fiction: part II.
 17. English-to-Arabic translation practice: part I.
 18. English-to-Arabic translation practice: part II.
 19. English-to-Arabic translation practice: part III.
 20. English-to-Arabic translation practice: part IV.
- III. You will sit a 75-minute final exam. You will be free to use monolingual and bilingual dictionaries.
- IV. Finally, you will be warmly thanked for your participation.

7. What is the possible benefit of taking part?

The major benefit of the project is to learn a well-known and well-developed linguistic theory and how it is used fruitfully and effectively in text analysis and translation.

8. What are the possible disadvantages and risks of taking part?

No disadvantages from taking part in the research project can be foreseen. The only risk that you may encounter is the time devoted to taking the exams and attending the training course (for the experimental group). This risk is significantly reduced by specifying just one hour for each class, twice a week.

9. Will your taking part in this project be kept confidential?

No personally identified data will be collected in this project as all students belong to the same academic level, and thus, there is no need whatsoever to write your name on the exam papers. The data will be collected and processed on the basis of information drawn from your response to initial and final exams, but not on the basis of any personal background. **Please note that the tests results will be specifically used for an academic purpose (PhD research). You will not be able to be identified in any reports or publications.**

Sami Althumali, a PhD researcher in Translation Studies

School of Languages, Cultures and Societies, University of Leeds, UK.



Participant Consent Form

Title of Research Project: Applying Systemic Functional Linguistics (SFL) to English-to-Arabic Translation of Fiction

Name of Researcher: Sami Althumali

Please, initial the box if you agree with the statement to the left:

1. I confirm that I have read and understand the information sheet explaining the above research project and I have had the opportunity to ask questions about the project. I also have had enough time to decide whether or not I wish to take part.
2. I understand that my participation in the exams as well as the translation training course (for the experimental group) is voluntary and that I am free to withdraw at any time without giving any reason and without there being any negative consequences.
3. I give permission for the researcher above to have access to my anonymised responses, and use them only for academic purposes. I understand that my name will not appear on the initial and final exam papers or be linked with the research materials, and I will not be identified or identifiable in the report or reports that result from the research.
4. I agree to take part in the above research project.

Student's name/ _____

Student's signature/ _____

Today's date/ _____

Researcher's signature/ _____

Today's date/ _____