CHAPTER 2

LITERATURE REVIEW

2.0 Introduction

This chapter highlights the literature and analytical frameworks relevant to the current study and is divided into four main parts. Section 2.1 will provide the background of the data of the current study concerning anthropomorphism which will include animal anthropomorphism in animal fantasy stories. Section 2.2 follows by explaining how systemic functional linguistics is used and the relevance of the transitivity theory to the purpose of the current study. Section 2.3 then will highlight on the analysis of anthropomorphic animal characters pertinent to the scope of the current study. Finally, Section 2.4 will conclude with a chapter summary.

2.1 Anthropomorphism

The word a*nthropomorphic* is derived from the Greek words *anthropos* (*human*) and *morphe* (*form*) (see Miller, Vandome & McBrewster, 2010; Encyclopaedia Britannica Online, 2010). Initially anthropomorphism was used only in reference to God. According to Encyclopaedia Britannica Online (2010), by the mid 19th century, anthropomorphism had come to be used with almost any object (like transports, fruit, animals, etc.) and used in almost any field (science, art, literature, etc.). Anthropomorphism has also been metaphorically used to denote the humanity of the wind, moon, sun, in other words, nature, which can be observed in the poems of John Keats and Percy Shelley.

2.1.1 Animal Anthropomorphism

According to the Oxford English Dictionary (2006), it was only in 1858 that the term 'anthropomorphism' was extended to animals through the published work of an English philosopher, George Henry Lewes (Wynne, 2007). Up to that time, anthropomorphism was only associated with the human qualities of God and angels (ibid). Since then, animal anthropomorphism has been extensively used in science, psychology, arts, and particularly literature.

Recently, due to the overwhelming acceptance by children and adults alike, our TV screens and the cinemas have been bombarded with talking animals, to name a few, *Wonder Pets*, *Cat Dog*, *Madagascar*, and *Ice Age*. Talking animal books have also been aggressively published to cater to the needs of young readers where we can see the likes of Redwall series by Brian Jacques, Jan Brett's picture books, and the reprinting of Beatrix Potter's series. In Malaysia itself, *Hikayat Sang Kancil* (The Mousedeer Chronicles) has been retold in books with enhanced printing quality. This shows that talking animals are well loved characters from all walks of life, regardless of regional boundaries. With respect to that, it should be understood that the earliest presence of talking animal characters were from the narration of Aesop (Aesop's fables, c 550 BC) and Bidpai's (Panchatantra, c 200 BC). Probably the narrations of these two have left significant impact to the present talking animal stories. Talking animal stories are so extensive and profound that it became a genre on its own by the late 19th century, termed as *animal fantasy* (Kutzer, 2000).

2.1.1 The Animal Fantasy Genre: Its Significance in Literature

Animal fantasy is a sub-genre of fantasy. Stableford (2005, p. 13) defines animal fantasy as "a story with characters that include sentient animals credited with

the ability to communicate with others of their own species, and sometimes members of other species, but usually not with humans." In other words, characters that are involved in animal fantasy stories are most of the time entirely animals.

Generally, animal fantasy stories are directly labelled as children's literature due to their entertaining and didactic objectives. Manlove (2003) asserts that in the 19th century, children's literature showed an "extraordinary growth", "particularly in the area of fantasy" (p. 17). As mentioned previously, this remarkable progress made animal fantasy to become a genre in itself by the late 19th century (Kutzer, 2000). Some of the most famous and memorable animal fantasy characters introduced in the 19th century are *Br'er Rabbit* (in Uncle Remus folktales by Joel C. Harris), *The Kitten* (in The Robber Kitten by Robert M. Ballantyne), and *Froggy* (in The Frog Who Would A Wooing Go by Charles H. Bennett). They were featured as wearing clothes, having human emotions, and performing human actions, apart from talking.

Flynn (2004, p. 422) stresses that, "as a very ancient genre, animal stories owe a great deal to their antecedents", i.e., the fables of Aesop (c 550BC) and Panchatantra (c 200BC). These two fables were first narrated in the form of story-telling to serve both the young and old. Pawate (1986) in his research on Panchatantra and Aesop's fables finds that some of the stories in both the fables resemble each other. However, Panchatantra, as compared to Aesop's fables, has a stronger influence on some of the anthropomorphic animal stories that exist today, for example stories by *Chaucer* (Chanticleer and the Fox) and *Rudyard Kipling* (The Jungle Book), to name a few (see Pawate, 1986, chap. 6). Hitherto, these fables have been rewritten and translated into numerous languages as well as adapted to suit the culture and milieu of a nation. Table 2.1 below provides the chronology of talking animal stories.

Table 2.1 Chronology of talking animal stories

Author/ Publisher	Title	Written / Publication Year	Language Variant
Aesop	Aesop Fables	620-560BC	Greek
unknown	Panchatantra (The Fables of Bidpai)	200-300 BC	Sanskrit
Borzuy	Kalile va Demne (translation of Panchatantra)	570	Persian
Bud of Persia	Kalilah wa Dimnah (translation of Panchatantra)	570	Old Syriac
Ibn al-Muqaffa'	Kalilah wa Dimnah (translation of Panchatantra)	c 750	Arabic
Pierre de Saint Cloud	Le Roman de Renart	c 1175	French
John of Capua	Directorium Humanae Vitae (translation of Panchatantra)	1263	Latin
Geoffrey Chaucer	Chanticleer and the Fox	c 1392	English
Robert Henryson	Taill of Schir Chanticleir and the Foxe	c 1480	English
William Caxton	Aesop Fables (translation)	1484	English
Sir Thomas North	The Morall Philosophie of Doni (translation of Panchatantra)	1570	English
Charles Perrault	Le Maître chat ou le Chat botté (Puss in Boots)	1696	French
Samuel Richardson	Aesop Fables (translation)	1739	English
Dorothy Kilner	The Life and Perambulations of a Mouse	1783	English
Brothers Grimm	Kinder- und Hausmärchen	1812	German
Hans Christian Andersen	Den grimme Ælling; De vilde svaner; Nattergalen	1835	Danish
Vincent Dill	Truant Bunny	185-?	American
Krakemsides of Burstenoudelafen	The Careless Chicken	1853?	English
R. M. Ballantyne	The Robber Kitten; The Story of Mister Fox	1856-1875	English
Alfred Elwes	The Adventures of a Dog, and a Good Dog Too	1857	English
Thomas Hood	The headlong career and woful ending of precocious piggy	1860	English
-	The Story Of Renard The Fox (retold)	1861	American
Uncle Franks' Series	Cock Robin	1862	American
Charles H Bennett	The Frog Who Would A Wooing Go	c 1864	British
Lewis Carroll	Alice's Adventures in Wonderland	1865	English
George Fyler Townsend	Aesop's Fables (translation)	1867	Std English
Harriet B McKeever	The Pigeon's Wedding	c 1869	American
James Anthony Froude	The Cat's Pilgrimage	1870	English
-	Snowdrop or The Adventures Of A White Rabbit	1873	English
Anna Sewell	Black Beauty	1877	British
Walter Bloomfield	The Bird and Insects' Post Office	1879	English
Joseph Jacobs	The Fables of Bidpai (translation of Panchatantra)	1888	English
H B Paull	Hans Andersen's Fairy Tales (translation)	1889	English
Ella Boldey	Grimm's Household Fairy Tales (translation)	1890	American
Rudyard Kipling	The Jungle Book	1894	English
Katharine Pyle	The Rabbit Witch and Other Tales	1895	American
-	Tales From Hans Andersen (translation)	1896	English
E. Veale	The Monkey's Trick	1897	English
Anthony J Drexel	The Second Froggy Fairy Book	1898	English

Biddel			
Ethel C Padley	Dot And The Kangaroo	1899	Australian
Jacqueline Clayton	Bunny Brothers	1900	American
Beatrix Potter	Peter Rabbit series	1902-1930	British
W. W. Denslow	Five Little Pigs	1903	American
Thornton W. Burgess	The Adventures of Reddy Fox; The Adventures of Unc' Billy Possum	1905-1965	American
Joel Chandler Harris	Uncle Remus and Brer Rabbit	1906	American
Frances Hodgson Burnett	The Cozy Lion	1907	British-American
Kenneth Grahame	Wind in the Willows	1908	British
Milton Goldsmith	Adventure of Walter and the Rabbits	1908	American
Charles E. Graham & Co. (publisher)	Daisy Dingle	c 1910	American
Charlotte B.Herr	Wise Mamma Goose	1913	American
Joseph C. Sindelar	Nixie Bunny in Manners-land	1914	American
Arthur Scott Bailey	The Tale Of Cuffy Bear; The Tale of Betsy Butterfly	1915 - 1929	American
Frances Margaret Fox	Adventures of Sonny Bear	1916	American
May Gibbs	Gumnut Babies	1916	Australian
Kenneth G. Duffield	The little wise chicken who knew it all	1918	American
M C H	Little Bunnie Bunniekin	1920	American
Thomas C Hinkle	Doctor Rabbit And Brushtail The Fox	c 1920	American
Dolores McKenna	The Adventures of Squirrel Fluffytail; The Robber Kitten; The Adventures Of Wee Mouse	1921 - 1923	American
John Rae	Grasshopper Green and the Meadow Mice	1922	British
Howard B Famous	Father Bear and Bobby Bear	c 1925	American
A. A. Milne	Winnie the Pooh	1926	British
Felix Salten	Bambi	1929	American
Marjorie Flack	Ask Mr. Bear	1932	American
Ida Rentoul Outhwaite	Sixpence to spend	1935	Australian
DuBose Heyward, Marjorie Flack	The country bunny and the little gold shoes, as told to Jenifer	1939	American
Paul Buddee	The Comical Adventures of Osca and Olga: A Tale of Mice in Mouseland	1943	Australian
Robert Lawson	Rabbit Hill; The Tough Winter	1944 - 1954	American
George Orwell	Animal Farm	1945	British
E B White	Stuart Little	1945	American
David Griffin	The Happiness Box	1947	Australian
Leslie Lee	Furry Tales	1950	Australian
C S Lewis	The Chronicles Of Narnia	1950 - 1956	British
Evelyn Bartlett	Dumper the Kangaroo	1955	Australian
Richard Scarry	Rabbit and His Friends; Best Storybook Ever; Pie Rats Ahoy!	1954 - 1994	American
Dr. Seuss	The Cat in the Hat	1957	American
Anita Hewett	Honey Mouse and Other Stories	1957	Australian
Barbara Cooney	Chanticleer and the Fox (adaptation)	1958	American
Michael Bond	A Bear Called Paddington	1958	British
Noreen Shelley	Three Cheers for Piggy Grunter	1960	Australian
George Selden	The Cricket In Times Square	c 1960	American
Else Holmelund Minarik	Little Bear's Visit	c 1961	American
Arnold Lobel	"Miss Suzy"; Frog and Toad series; Uncle Elephant	1964 - 1985	American

Beverly Cleary	The Mouse and the Motorcycle; Runaway Ralph	1965 - 1982	American
Maurice Sendak	Higglety Pigglety Pop!	1967	American
Roald Dahl	Fantastic Mr Fox	1970	British
Richard Adams	Watership Down	1972	British
Walter Wangerin, Jr.	The Book of the Dun Cow (adaptation of Chanticleer And The Fox)	1978	American
Dick King-Smith	The Sheep Pig	1983	British
James Marshall	Fox series	1983 -1990	American
Brian Jacques	Redwall series	1986 - 2008	British
Mick Inkpen	Penguin Small	1993	British
J. Otto Seibold & Vivian Walsh	Monkey Business	1995	American
Marc Brown	Arthur series	1996	American
Babette Cole	Dr Dog	1997	British
Elizabeth Spires	The Mouse of Amherst	1999	American
Michael Hoeye	Time Stops for No Mouse	1999	American
Terry Pratchett	The Amazing Maurice and his Educated Rodents	2001	British
Jan Brett	Hedgie Blasts Off	2006	American
Janet Stevens and Susie Stevens Crummel	The Great Fuzz Frenzy	2007	American
Ramsay Wood	Kalila and Dimna (retold in modern English)	2008	American
Joel Stewart	Addis Berner Bear Forgets	2008	British

From the first era of Aesop's fables and Panchatantra until the middle of 18th century, animal stories were not narrated and written purposely for children. As has been mentioned earlier, they serve both children and adults. In the West particularly, it was in the 1740s that writers and publishers started discriminating their works into children and adults' (Tunnel and Jacobs, 2000). John Newbery pioneered the children's literature scenario with *A Pretty Book of Pictures for Little Masters and Misses*, *Tommy Tripp's History of Beast and Birds*, and *Goody Two-Shoes*. But, animal stories in that period were still hardly available. Only forty years later, Dorothy Kilner set the trend of talking animal stories for children with the book entitled *The Life and Perambulations of a Mouse* (1783). According to Tunnell and Jacobs (2000, p. 47), beginning the early part of the 19th century, "some of the most influential, honest, and lasting children's stories" were brought into the picture like Grimm's fairytales (1812) and Hans Christian Andersen's fairytales (1835). Subsequently, more

animal stories came into print like *Truant Bunny* (1850s), *The Careless Chicken* (1853), *The Story of Mister Fox* (c 1858), *The Frog Who Would A Wooing Go* (c 1864), and so forth. What can be seen is that, the late 19th century showed a progressive publication of anthropomorphic animal stories, generally children's fictions. This setting continued until the early 20th century and was named *The Golden Ages* as children's books were aggressively written and published. At this period we can see the likes of children's favourite authors for instance Lewis Caroll, Rudyard Kipling, Beatrix Potter, Anna Sewell, and Kenneth Grahame whose stories are reprinted and read till today.

After the period of The Golden Ages which is the middle of the 20th century, "a number of popular but less quality books appeared" (Tunnell & Jacobs, 2000, p. 49). Britain and America saw the potential of commercializing children's books and began to publish the kinds of books where the language and vocabulary are controlled with large attractive pictures at every page with the aim of gaining the interests of children. Some well known contemporary animal fantasy books are *The Cat in the Hat* (1957) by Dr. Seuss, *Higglety Pigglety Pop!* (1967) by Maurice Sendak, *Arthur series* (1996) by Marc Brown, *Hedgie Blasts Off* (2006) by Jan Brett, and *Addis Berner Bear Forgets* (2008) by Joel Stewart. However, there exist a few contemporary books which are linguistically rich like *The Cricket in Times Square* (c 1960) by George Selden, *The Sheep Pig* (1983) by Dick King-Smith, *Time Stops for No Mouse* (1999) by Michael Hoeye, and *The Amazing Maurice and his Educated Rodents* (2001) by Terry Pratchett. These four books and some few others are considered the rare kind contemporary books because, apart from being linguistically rich, they present captivating plots which appeal to adult readers as well.

What have been mentioned above show that the animal fantasy genre is significant in literature. Nevertheless, Copeland (2003) states that children and animals are not given importance in the literary academy. This assertion is parallel to the views of Nodelman, (1985), Hunt (1994) and Stephens (1998) that children's literature is regarded as not having the value equivalent to adult literature; therefore, children's literature has not been given importance in critical analysis. Perhaps these contentions provide the grounds to the fairly scarce linguistic studies in the animal fantasy genre. The following section will explicate a number of linguistics studies that have been carried out in the area of animal fantasy.

2.1.2 Review of Linguistics Studies in the Genre of Animal Fantasy

Analytical studies on children's literature, specifically animal fantasy stories for children are fairly scarce especially when related to the purpose of the current study. One study found to be relatively relevant to the current study has been carried out by Mondada (2000) on Curacao talking animal tales. Other linguistic studies in the animal fantasy genre are by Guijarro and Sanz (2008), examining the multimodality of a picture book; and Mazid (2009), undertaking a critical discourse-narrative analysis of an adapted Arabic fable.

Mondada (2000) in her study chooses a collection of 32 oral *Nanz*i stories in Papiamentu. Nanzi stories are Curacao folktales about a spider who wanted to trick the tiger. The purpose of her study was to analyze the narrative structure of the stories. Since characters are part of narrative structure, characters involved in the stories are as well analyzed. To attain the objectives of her study, Mondada (2000) draws on the theories of narratology of Van Dijk (1982/1992), Labov (1972), Barthes (1975) and Chatman (1978). As for the analysis on the characters, Mondada (2000) draws upon

the -er/-ed roles of Hasan (1989) and process analysis of Halliday (1997), known as transitivity, and theory of interrelationship between characters of King (1992). Her findings demonstarate that all the Nanzi stories have a similar basic structure, and that the actions and activities of the characters reflect real human experiences.

In contrast, Guijarro and Sanz (2008) aim at uncovering the meanings embedded in the texts and visuals of a picture book about two hares entitled *Guess How Much I Love You*. In other words, the study aims to uncover the extent the texts and the visuals "complement one another" (Guijarro & Sanz, 2008, p. 1616). Grounded in the three metafunction approaches of Halliday (1985/1994/2004) – ideational, interpersonal and textual – and the multimodality approach of Kress and Van Leeuwen (1996/2006), the "representational, interactive and compositional meanings" communicated through the illustrations and the "ideational, interpersonal and textual meanings" conveyed through the written texts are compared (Guijarro & Sanz, 2008, p. 1607). The analyses reveal that the texts and the illustrations correlate well with one another that make the story attractive and easier to be understood by very young children.

Mazid (2009) chooses one fable – *The Crow and the Partridge* – from Kalila and Dimna (Arabic version of Panchatantra) to uncover the narrative techniques, power, knowledge and ideology embedded in the fable. This examination is grounded mainly on the fable genre itself ("the contexts of the fable") and narrative embedding devices of Herman (2006) (Mazid, 2009, p. 2523). Critical discourse and systemic functional models are also integrated as minor tools. He finds that this kind of fable has "a sense of timelessness" which provides "knowledge and delight for the audience" (Mazid, 2009, p. 2531).

The linguistic studies mentioned above have somehow or rather drawn on the systemic functional approach of Halliday to attain a more comprehensive result to their analyses. This approach of Halliday, known as systemic functional linguistics (SFL), is used for "describing languages in functional terms" (Martin, Matthiessen & Painter, 1997, p. 1). Due to the functionality of SFL, it has been used as a basis in other discourse theories like Fairclough's (1992) critical discourse analysis, and Kress and Van Leeuwen's (1996) semiotic systems (Martin, Matthiessen & Painter, 1997). The following Section 2.2 will explicate the functions of SFL and its relevance to the scope of the current study.

2.2 Systemic Functional Linguistics

Systemic functional linguistics (SFL) was conceived and developed purposely for doing text analysis (Martin, Matthiessen & Painter, 1997). It concerns describing how the different purposes of using language in different contexts and situations can shape the structure of the language. This language theory of Halliday was initially influenced by the works of Firth. Bloor and Bloor (2004, p. 245) citing Firth (1957) reported that "language is polysystemic, a system of system". Upon this assertion, Halliday extends his work holding the view that "a language ..... is a system for making meanings" (Halliday, 1985, p. xvii). He further argues that "in order to provide insights into the meaning and effectiveness of a text, a discourse grammar needs to be functional and semantic in its orientation" (ibid). What SFL is trying to rationalize is that its functional proposition is not to examine whether a text is grammatical or otherwise, but how a text attains its communicative objectives and the kinds of meaning that can be uncovered. As a consequence, a systematic judgment can be enacted rather than producing arbitrary inference and assumptions.

Anchored in the grammatical constituencies of a clause – the nominal group, verbal group, adjectival group, adverbial group, and prepositional group – Halliday has come out with more delicate components to show how each clause is realized by three meanings which are called metafunctions, i.e., "the broad category of how language is used" (Bloor & Bloor, 2004, p. 10). This sense of metafunction denotes a clause as concurrently able to function as an expression of exchange (interpersonal metafunction), as a representation of our experiences (experiential metafunction), and as a message (textual metafunction) (Halliday & Mathiessen, 2004, pp. 29-31). The following sub-section will briefly explain the functions of the three metafunctions.

2.2.1 The Multifunctionality of SFL

In SFL, each metafunction (interpersonal, experiential and textual) functions to bring out meanings in language, in this case written texts..

The interpersonal metafunction serves to bring out not only how interactants communicate but also between writer and audience. Specifically, it is able to illustrate how participants establish and maintain relationships, how they influence each other's behaviour, how they express their own stance, and how they elicit and exchange their stance (Thompson, 2004). The elements that constitute this metafunction are called Mood and Residue.

The experiential metafunction functions to describe "patterns of experience" (Halliday, 1985, p. 102). In other words, the conception of "doing, happening, feeling and being" (ibid). The theory that realizes the experiential metafunction is called transitivity, encompassed of processes, participants and circumstances.

The textual metafunction then is a function that indicates how messages "fit in with other messages" in the wider spoken or written context (Thompson, 2004, p. 30).

The theory to this metafunction is called Theme-Rheme. Theme looks at the point of departure (the first constituent) of a clause, while the rest of the clause is called Rheme. Table 2.2 below summarizes the definition and function of the interpersonal, experiential and textual metafunctions.

Table 2.2 Metafunctions: Definition and function. Adapted from Halliday & Matthiessen, 2004, p. 61.

Metafunction	**Definition**	**Corresponding status in clause**
interpersonal	enacting social relationships	clause as exchange
experiential	construing a model of experience	clause as representation
textual	creating relevance to context	clause as message

When analyzing a text, each metafunction can work in isolation, in accordance to the objective of the analyst in bringing out the meanings of a text, whether interpersonal, experiential or textual metafunction, and the kind of choices that the writer or speaker has enacted. Figure 2.1 below illustrates the three kinds of meaning (metafunction) that can be realized in a clause.

Metafunction:	*I*	*'ll*	*have*	*just a touch more soup.*
interpersonal	**Mood**		**Residue**	
experiential	**Participant**		**Process**	**Participant**
textual	**Theme**	**Rheme**		

Three kinds of meaning in a declarative clause

Metafunction:	*How much*	*do*	*they*	*take out*	*of you?*
interpersonal	**Residue …**	**Mood**		**Residue …**	
experiential	**Circumstance**		**Participant**	**Process**	**Circumstance**
textual	**Theme**	**Rheme**			

Three kinds of meaning in an interrogative clause

Metafunction:	*Do*	*tell*	*me*	*about your daughter*
interpersonal	**Mood**	**Residue**		
experiential		**Process**	**Participant**	**Circumstance**
textual	**Theme**		**Rheme**	

Three kinds of meaning in an imperative clause

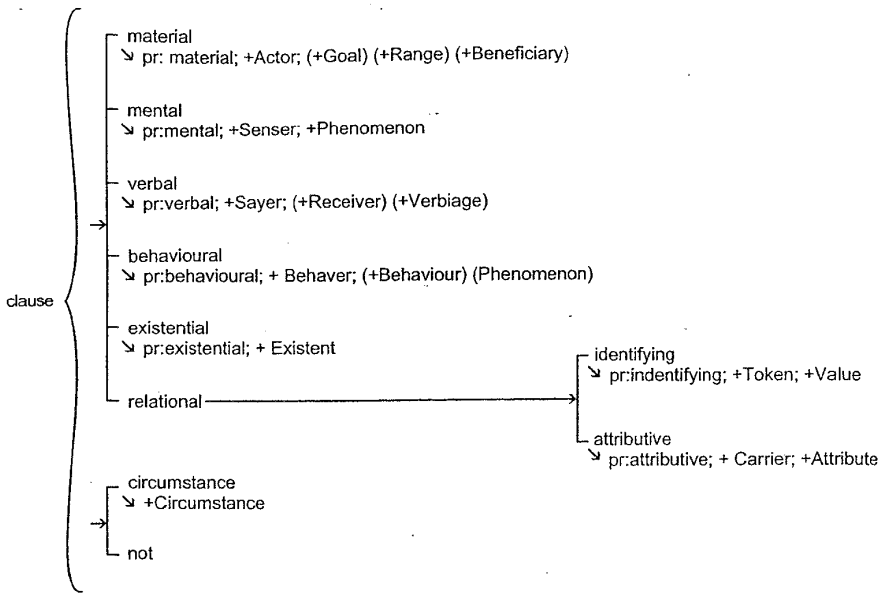
Figure 2.1 Three kinds of meaning in a clause. Adapted from Eggins, 2004, pp. 309-311.

As the current study draws upon the transitivity framework as its major tool, the following section will describe the relevance of the transitivity framework to the scope of the current study which is the analysis of character, one of the areas in stylistics study.

2.2.2 Transitivity: Its Relevance to the Analysis of Character

Transitivity is "concerned with the type of process expressed in the clause, with the participants in this process, animate and inanimate, and with various attributes and circumstances of the process and the participant" (Halliday, 1967, p.

38). The word "process" is traditionally known as Verb, and it is realized by a verbal group. Transitivity is made up of six types of process: material (verb of doing and happening), mental (verb of sensing), relational (verb of being and having), verbal (verb of saying), behavioural (verb of behaving), and existential (verb of existing). Participants, traditionally known as Subject and Object are realized by nominal groups. To each of the six processes, participant roles are assigned. And then circumstances which are realized by adverbials, are concerned with how, when, and why something happened. A more in-depth explanation of transitivity, including examples, will be provided in Chapter 3. Figure 2.2 below illustrates the system



network of transitivity.

Figure 2.2 The transitivity system. Taken from Eggins, 2004, p. 214.

As a theory that describes "patterns of experience" (Halliday, 1985, p.102), it is found to be in parallel with the definition of characterization, i.e., what a character does, thinks, says, and what others say and think about the character (see Glazer,

2000; Mohammad & Rosli, 2000). Kennedy (1982), Mongomery (1993), Toolan (2001), and Simpson (2004) assert that transitivity is an apt tool to undertake the analysis of character. This is because, through its delicate categories of process types, participant roles and circumstantiations, transitivity is able to systematically uncover the relationship between roles and actions, and the extent the actions have been performed.

Although not much studies have been carried out focusing on character as compared to stylistics, character analysis has somehow begun to gain attention, specifically when researchers are aware of the value and dynamism of transitivity as an analytical tool (Gallardo, 2006). The following section will review a number of linguistic studies that have been carried out in the area of character, foregrounding the transitivity framework.

2.2.3 Studies in Character that Foreground the Transitivity Framework

The analysis of character is described by Kirszner and Mandell (2007) as examining "the character's language, behaviour, background, interaction with other characters, and reaction to his or her environment" (p. 58). As character analysis is one of the components of stylistics, accordingly, this section will begin with the early studies in stylistics by Halliday (1971) and Kennedy (1982). These studies are followed by a pioneering systematic study on character by Montgomery (1993) whose method of selecting clauses will be followed closely by the current study in selecting clauses related to the characters in analysis. Following the work of Montgomery (1993) are recent studies by Hubbard (1999), Martinez (2002) and Junior (2005).

Halliday's (1971) sample analysis on William Golding's *The Inheritors* is the pioneering work in stylistics within the SFL framework. This examination is

particularly to show how semantic is embodied in the study of style (Halliday, 1971). Halliday asserts that, in doing the analysis, any of the three functions (ideational, interpersonal and textual) is meaningful; but for the purpose of his examination, he uses the transitivity theory. In his examination of *The Inheritors*, Halliday selects three passages to evaluate with the first passage having a long account of the central character *Lok* who is making observations on his people. That is through Lok's observations that most of the events in the story are constructed. In his interpretation, he begins with the elements that the clauses constitute, and he finds that the clauses are mainly constituted of physical actions and acts of consciousness; and the dominant mode of expression are intransitive verbs and the non-human subjects. He then relates how Lok's understanding of the situation and his limited cognition processes contribute to the construction of the events of the story.

Similar to the study above, Kennedy (1982) gave a sample analysis of style on Joseph Conrad's *The Secret Agent* and James Joyce's short story *Two Gallants*. For the analysis of *The Secret Agent*, Kennedy chooses a murder scene. He chooses this particular scene because it contains "some literary effects" that are related "in particular to the central character" (Kennedy, 1982, p. 86). Kennedy finds out that the transitivity analysis is able to define the roles of the central characters and able to derive reasons for making their actions. As for the *Two Gallants*, Kennedy's purpose of analysis is to see whether language patterning projects the differences between the two 'gallants', Lenehan and Corley. For analysing this particular text, Kennedy adopts the three main functions of SFL – experiential, interpersonal and textual – together with lexical cohesion theory. It is found that the three functions are able to uncover the differences in the central characters' personalities, and the lexical cohesion analysis, on the other hand, is able to describe the differences in their physical appearance.

Through the works of Halliday (1971) and Kennedy (1982), Montgomery (1993) sees that there has been an implicit description as to how characters can be theoretically evaluated. He further asserts that, "if character is 'the major totalizing force' (see Culler 1975/2002), then it is important to discover how characters are constructed and on the basis of what kinds of linguistic choices" (p. 141). Hence, to illustrate his observation, he selects Hemingway's short story entitled *The Revolutionist*. In the story, the revolutionist is the central character. Although the title of the story signals some traits about the central character, he further asserts that "a more comprehensive picture" of the revolutionist "can be gained by inspecting those clauses where he figures as a participant role with respect to a process" (p. 135). Montgomery (1993) begins his inspection by looking into clauses that mention the central character either as a Subject or Object. Drawing upon four process types of the transitivity theory (Relational, Mental, Verbal and Material), he examines the selected clauses relating to the central character, including elliptical non-finite clauses. Through his examination, Montgomery (1993, p. 140) finds that the grammar of transitivity at clause level is able to impart the construction of character. Following the work of Montgomery (1993), literary study focusing on character has begun to gain attention. Hubbard (1999), Martinez (2002), and Junior (2005) are observed to cite the work of Montgomery (1993).

The study of Hubbard (1999) aims to emphasize the value of transitivity in explicating readers' understanding of the characters in a story. *The Moor's Last Sigh* written by Salman Rushdie is the narrative choice for examination. This story revolves around the life of *Aurora* and her husband *Abraham*. Through the eyes of the narrator, *Moor*, he sees his mother *Aurora* as a lively person. Through reading this novel, Hubbard (1999) says, reader can glimpse power imbalances between the two

characters. Therefore, he would like to move further in looking into the linguistic features that underlie such perception. By fully deploying the transitivity framework of participant roles, actions and circumstances, Hubbard (1999) finds that Aurora is more of an active person while Abraham is more at the receiving end of actions. From the analyses, he deduces that a transitivity examination is able to confirm or deconfirm readers' understanding and perception of characters in a story.

Somewhat similar to Hubbard's study is Martinez's (2002) which looks into the linguistic differences in the construction of character when a fiction is revised. Her selection of fictions are entitled *Under the Rose* and *V.*, with the latter being the revision of the former. By deploying the transitivity framework, Martinez seeks to analyze two main characters, *Porpentine* and *Goodfellow*, for the changes in their roles. On the whole Martinez sees that those characters foregrounded in *Under the Rose* were backgrounded in *V*; conversely, characters who were previously in the background were foregrounded in *V*. Thus, Martinez (2002) concludes that the examination of the differences in the two stories affirms the meaning-making role of language in narrative fiction.

While Hubbard (1999) and Martinez (2002) relate reader's perception to linguistic features, Junior (2005) on the other hand seeks to explore gay characters representation in short stories. In his study, Junior uses a parallel corpus of English/Portuguese gay short stories. The original story entitled *Stud* was first published in USA in 1966, and more than thirty years later it was re-textualized in Brazil by the name *As Aventuras de um Garoto de Programa* (Garoto). To uncover how the gay characters are represented, the transitivity theory is deployed. Junior (2005) finds that there exist similar lexico-grammatical patterns in the representation of gay characters in both the English and Portuguese texts. In his concluding remarks,

he states that the system of transitivity may help the society to understand how language functions to constitute human reality.

By and large, all the studies highlighted in this particular section have pointed out interesting and different scenarios on the analysis of character. Yet, these studies hold similar features in the sense that they draw on fictions which are of weighty plot with adults as the target audience. Moreover, the characters involved in the fictions are all humans. Therefore, as delineated in Chapter 1, the current study would like to enrich the perspective of character analysis by focusing on anthropomorphic characters, notably talking animals found in children's fictions. The following Section 2.3 is of particular relevance to the current study.

2.3 Analysis of Anthropomorphic Animal Characters

The animal fantasy stories mentioned earlier are not merely fantasies. They are written based on experiences of authors and their views of the world. Therefore, they reflect the real world they live in. The only difference is that they use animals instead of humans to portray the story characters. Kutzer (2000) aptly observes that "fantasy is written in the real world by real writers who are influenced by the world they live in" (p. 80). Beatrix Potter for instance, all her more than 20 books (e.g. The *Tale of Peter Rabbit*, *The Tale of Mr. Tod*, *Jemima Puddle Duck*) were written based on her life on the picturesquely landscaped farm in Scotland and as well reflects her love for nature. Similarly, Kenneth Grahame's *The Wind in the Willows* reflects his high-end but unhappy life by the River Thames.

As discussed earlier, the genre of animal fantasy holds huge significance to children's literature. But, as asserted by Copeland (2003), it has not been regarded as interesting nor sophisticated in the literary academy. Stephens (1999, p. 56) as well

shares the same idea where he sees that "the language of children's literature receives little explicit attention" due to children's literature being highly predictable. Perhaps Peddicord's (1980) findings, in her study on the syntactic structures of literature for children is able to bring to light the magnitude of children's literature. In her study, Peddicord (1980, p. 15) reports that a number of writers for children's books unanimously came out with these points of view: 1) "children's literature contains the same element on which adult literary criticism is based – characterization, setting, plot, theme, and style"; 2) "it is important to study these elements critically"; and 3) "children's literature differs from adult literature in subject matter, not in the quality of writing". Similarly, Peddicord (1980, p. 260) finds that, "the difference in syntactic style between literature for children and literature for adults lie not with the kinds but the degree of complexity".

The points highlighted above show that children's literature still has room for critical evaluation. The animal fantasy genre in particular seems to provide a promising area for analysis and needs to be extensively explored. Hence, it is in the interest of the current study to explore this particular genre by specifically looking at the characterization of anthropomorphic frogs and foxes.

2.3.1 Transitivity Analysis of Anthropomorphic Frog and Fox Characters

The current study deploys the transitivity framework to bring the anthropomorphic characterization of frogs and foxes to the fore. The transitivity examination on talking animal characters in Curacao folktales carried out by Mondada (2000), mentioned earlier, is relatively similar to the current study. According to Mondada (2000), the transitivity theory is suitable to analyzing an individual character as a separate entity. This assertion by Mondada (2000) is in parallel with the choice of

the current study in drawing upon the transitivity framework as its major tool for the analysis of a single main character of each story. Nevertheless, there exist differences between the current study and the study of Mondada (2000) in bringing the characters to the fore.

Firstly, the current study focuses on only a single main anthropomorphic character of a story, and only on the human characteristics of the main character, i.e., by drawing the line between animal and anthropomorphic animal. However, Mondada (2000) looks at the relationship among the talking animal characters that are involved in the stories, and the characteristics of each character on the whole without discriminating between animal and human characteristics.

Secondly, the current study gives emphasis to circumstantial elements instead of only process types and participant roles. The linguistic studies mentioned earlier, including the study by Mondada (2000) show that circumstantial elements have not been given importance in analysis. This observation agrees to the assertion by Thompson (2004) that circumstantial elements are usually ignored. Mondada (2000) focuses only on who sees, does and thinks, and what is seen, done and thought. Even though characterization is defined as 'what a character does, thinks and says, and the comments about the character', through a deeper perspective, circumstantial elements play a vital role in accurately describing the execution of the actions. Thus, the current study seeks to find out which circumstantial elements significantly contribute to the human characterization of the anthropomorphic animals, and how the circumstantial elements add magnitude to their human characteristics.

Finally, the current study rationalizes the purpose of the texts using particular type of animals in portraying particular human characteristics. Since the data of the current study are of two different frog and fox stories – unlike the study by Mondada

(2000) that uses similar tale – the current study seeks to investigate whether different texts would portray the anthropomorphic animals in the same way. In other words, to investigate whether the portrayals are influenced by the nature of the animals, conceptions (similes, proverbs, etc.), or merely random selection (see Cadden, 2005). To arrive at the answer, it is relatively helpful to have some general idea about how frogs and foxes are associated to humans. The following section will provide some general idea about the conceptions humans have about frogs and foxes.

2.3.1.1 Frogs and Foxes as Depicted by Humans

Humans, for generations have been imbued with negative conceptions about frogs and foxes. These are reflected through similes, proverbs, metaphors and even early narratives. Although the data used in the current study are written by English authors, it is relatively helpful to have some general idea about how frogs and foxes are portrayed in other cultures, apart from English, to justify the ground of the texts choosing the particular animals.

In English similes, frogs (as the closest to toads) are associated as lazy, loathsome and ugly (see Metcalfe, 2007; Nandy, 2001). One example that adheres to this association is the popular fairytale *The Frog Prince*. This fairytale about a frog that turns into a handsome prince shows that a frog (and not any other animal) has been used to indicate ugliness. Ancient Greek fables, Aesop's, as well use frogs to point the negative traits humans hold. In Aesop's fables, frogs are used to remind humans not to do things beyond their capability as in *The Frog and the Ox*, and not to ask too much as in *The Frogs Who Desired a King*. In Asian cultures also there are a number of proverbs that use frogs to denote the negative traits in humans. For instance, in Malay and Indian cultures, there are proverbs that say 'frog under the

coconut shell' and 'frog in the well' to denote a person who is narrow-minded. In Chinese and Vietnamese cultures, there is a proverb that goes 'sitting in the well, looking to the sky' which points to the frog, denoting a person who is not knowledgeable but arrogant (see Wikipedia, 2010). Nonetheless, narratives about frogs in Asian culture are hardly available. In Panchatantra itself, there is only one fable about frogs – *The Frogs that Rode Snakeback* – where they are featured as gullible and foolish.

In comparison to frogs, foxes are more widely negatively portrayed. English similes signify foxes as crafty, cunning, selfish, sly, wary, and wily (see Metcalfe, 2007; Nandy, 2001). There is also a metaphor that says 'he was foxing' to mean the act of pretending (see Metcalfe, 2000). The folktale of Uncle Remus, *Br'er Fox*, from Southern United States, adapted and compiled by Joel C. Harris (1880), depicts the fox as a trickster. His depiction might be highly influenced by Aesop's fables that extensively use foxes in its stories like *The Fox and the Crow*, *The Fox and the Goat*, *The fox and the Grapes*, *The Fox and the Sick Lion*, and *The Fox and the Stork*. All these five fables portray the fox as a trickster, cunning, dissonant, and wary. There are many more English narratives that project foxes as tricky and wily like Mister Fox (by Robert M. Ballantyne, 1856), The Fox's Story (by E. Veale, 1892), and Fantastic Mr. Fox (by Roald Dahl, 1970), to name a few. The Old French folklore *Reynard the Fox* by Pierre de Saint Cloud (c 1175) as well portrays the fox as a trickster. However, in Asian culture, similes, proverbs or metaphors relating to foxes are hardly found. But, there is a Japanese-Chinese-Korean folktale that also portrays foxes as tricksters. Unlike the English and European narratives, this Asian folktale features foxes in the form of spirit possessing magical powers named *Kitsune* (Japanese), *Huli-jing* (Chinese), or *Kumiho* (Korean). In the same way, Panchatantra does not give direct

exposition on foxes; but, there are a number of instances of jackals, as the closest to foxes, which are also negatively portrayed.

While the conceptions provided above may not be entirely complete and comprehensive, in some way, it can be concluded that frogs and foxes are more of a popular subject in the West. Thus, it may support the current study to objectively and systematically rationalize whether the frog and fox stories used in the current study generally hold negative conceptions toward the animals, like most other stories.

2.4 Chapter Summary

The reviews on the relevant literature reveal that not much studies have been carried out in the area of character in the genre of animal fantasy classified under children's literature. Most linguistic studies in the area of character are predominated by the analysis of real human characters with adults as the target audience. Therefore, the current study aims to give value to the genre of animal fantasy by exploring the human characteristics of anthropomorphic frogs and foxes. The findings of the current study will determine the value the animal fantasy genre holds, amenable to adult literature. The following chapter will elucidate the theoretical framework and methodology used to carry out the study.