

CHAPTER II

THEORY AND METHOD

2.1. Theoretical Framework

2.1.1. Characterization

Chatman (1978) argues for a conception of character as a paradigm of traits. It was suggested that paradigmatic view of character implies “a set of traits is a vertical assemblage intersecting the syntagmatic chain of events that comprise the plot” (Chatman, 1978, p. 127). In this sense, 'traits' refer to 'a relatively stable or abiding personal quality'. In simpler terms, it could be explained that a character may exhibit a set of qualities that tends to remain consistent and constant throughout the story. These traits intersect with the flow of events that make up the storyline of a narrative.

Rimmon-Kenan (2002, p. 36) defines a character by saying that “character in a story is a construct put together by the reader from various indications dispersed throughout the text.” In constructing the character, various character indicators distributed along the text-continuum will be assembled used to infer the traits (Rimmon-Kenan, 2002, p. 59). In linguistics principle, any element contained in the text can serve as an indicator of character. These elements are most frequently associated with characterization.

Ewen (1971, as cited in Rimmon-Kenan, 2002, p. 59) identified two types of textual indicators of character: direct definition and indirect presentation. Direct definition involves specifying traits through adjectives, abstract nouns, or part of speech. Indirect presentation, on the other hand, reveals traits through various ways involving action and speech. The traits may be implied through different kinds of actions: act of commission (an act carried out by the character), act of omission (something the character ought to do but chooses not to), and contemplated act (the character's unrealized plan or intention). Besides, the traits can also be inferred from the content of characters' speech, whether in conversation with others or in internal monologue. Rimmon-Kenan (2002, p. 64) noted that the speech produced by a character may indicate the traits or characterize the one being spoken about or the one who speaks.

Chatman's (1978) paradigm of traits and Rimmon-Kenan's (2002) textual indicators are closely interconnected, as they both contribute to characterization analysis in narrative studies. Chatman's paradigm of traits suggests that a character can be described in terms of a set of traits. Meanwhile, Rimmon-Kenan's textual indicators offers an approach to text analysis that can implies the traits associated with characterization. By examining these textual indicators, one can better understand how characters are depicted and portrayed in a literary text.

2.1.2. Transitivity System

Halliday & Matthiessen (2014, p. 30) proposed a concept of ‘metafunction’ that demonstrates the identification of three main language functions in a clause. The metafunctions comprise ideational metafunction, interpersonal metafunction and textual metafunction. Halliday and Matthiessen (2014, p. 30) further classified ideational metafunction into two sub-functions or modes: the experiential and logical.

The metafunction constructs strands of meaning embodied in the structure of a clause. It encompasses three distinct types of meaning: experiential meaning, interpersonal meaning, and textual meaning (Halliday & Matthiessen, 2014, p. 85). Each is contributing to the overall message of a clause. Experiential meaning sees clause as a representation (Halliday & Matthiessen, 2014, p. 211). It serves as a reflection of a phenomena occurring in the world experience. A clause has meaning as a representation to convey an idea of the speaker's world experience and to describe what is happening. Thompson (2004, p. 91) argues that experiential perspective is largely concerned with language as a set of resources, focusing on the propositional content, to reflect our view of the world as consisting of entities in the world and the ways they act on or relate to each other. Meanwhile, logical metafunction pertains to logical relations between ideas in combination of clauses or clause complex.

Interpersonal meaning views clause as an exchange (Halliday & Matthiessen, 2014, p. 134). It focuses on how language facilitates interpersonal relationship and interaction between individuals. Interpersonal meaning examines language as a means of enacting social relationship between a speaker or writer and interlocutor. On the other hand, textual meaning views clause as information or message (Halliday & Matthiessen, 2014, p. 88). Textual meaning relates to the construction of text in which a clause is organized by building up sequences of discourse and creating cohesion to constitute a message.

In this research, experiential meaning, as a subcategory of ideational metafunction, serves as the primary focus. Experiential meaning is implemented through a grammatical system called transitivity. Halliday & Matthiessen (2014) contends that “transitivity system construes the world of experience into a manageable set of process types” (p. 213). Eggins (2004) explains that each process of transitivity is associated with different participants' roles and possible selection of circumstances. Therefore, in analyzing the grammar of the clause as representation, three aspects of transitivity structure in a clause need to be explained, including the selection of a process, participants and circumstances. The selection of a process will be realized within the verbal group of the clause. The clause is categorized as a unit analysis, and the main verb serving as a base that is implemented in six types of processes: material, mental, relational, verbal, behavioral, and

existential (Halliday & Matthiessen, 2014, p. 214). Eggins (2004) explains that participants are typically expressed by nominal groups and are associated with the process (p. 214). Meanwhile, circumstances, the third element of transitivity, are typically actualized by prepositional phrase or adverbial phrases (p. 215). In transitivity clauses, participant and process are two obligatory elements, while circumstance is optional.

2.1.2.1. Material Process

Halliday & Matthiessen (2014, p. 227) stated that “Material clauses construe figures of 'doing-and-happening' to express the notion that some entity 'does' something – which may be 'to' some other entity through some input of energy.” In other words, it can be explained that material process requires an entity to undertake tangible action. The actor is the obligatory participant or the doer of the action that performs material process. Eggins (2004, p. 216) explains that material process may involve only one participant (intransitive) or more than one participant (transitive).

We	climb
Actor	Pr: material

Meanwhile, transitive occurs when a clause with material process has two or more participants. The major participants in transitive material clauses are actor and the goal. Goal is the constituent of the clause that is impacted by what the actor performs.

They	carried	the books
Actor	Pr: material	Goal

A clause configuration of Actor + Process + Goal may be represented in two forms; operative (active) or receptive (passive). Operative is a form in the figure of ‘doing’ probed by *what did x do to y?* like the example in the table above, while receptive is a form of the process of ‘happening’ probed by *what happened to y?* (Halliday & Matthiessen, 2014, p. 227). In the passive, the actor may be omitted.

The snatcher	was caught	(by them)
Goal	Pr: material	(Actor)

Furthermore, Halliday draws a distinction between a Goal and a related participant called Scope. Scope is a participant of material clause that is not affected by the process in any way. Scope cannot be probed by *do to* or *do with* since nothing is being done to scope. This participant is also identified as a range because it expresses the range or domain over which a material process occurs.

He	plays	the guitar
Actor	Pr: material	Scope

Moreover, Halliday & Matthiessen (2014, p. 237) explains that there are a number of participants that may be involved in the performance of material process, including recipient and client. Recipient and client share a similar function in that they both play a beneficial role. They represent a participant who gains benefits, either goods or services, from the

performance of the process. A recipient is a participant who receives goods, and a client is a participant who receives services. Both recipient and client may appear with or without preposition considering their positions in the clause.

He	gave	me	flowers
Actor	Pr: material	Recipient	Goal
Mother	cooked	breakfast	for the children
Actor	Pr: material	Goal	Client

2.1.2.2. Mental Process

Mental process, often known as a sensing process, “...concerned with how an entity sensing the world of experiences of their consciousness” (Halliday & Matthiessen, 2014, p. 245). Mental process differs from material process that it could have either one or two participants. In contrast with material process, there must always be two nominal-type of participant associated with mental process: the senser and phenomenon. The ability to perceive, feel, or think deliberately is possessed by a senser. Meanwhile, the phenomenon refers to that which is being sensed by the conscious senser. Aside from that, the choice of active participant or a senser for mental clause is more restricted than for material clause, as only conscious human participant can be a senser of mental process (Eggins, 2004, p. 227).

There are four classes of mental process based on Halliday & Matthiessen (2014): perceptive, cognitive, desiderative, and emotive.

Perceptive pertains to the process of sensing something utilizing five senses. Cognitive involves mental activity of thinking and understanding. Desiderative refers to the process of showing desires or urges, and emotive concerns with affection and feeling.

I	heard	his scream
Senser	Mental: perceptive	Phenomenon
She	remembered	the answer
Senser	Mental: cognitive	Phenomenon
They	want	the books
Senser	Mental: desiderative	Phenomenon
I	love	my mother
Senser	Mental: emotive	Phenomenon

In addition, another major difference between mental and material processes is that mental processes can project another clause. The projection case of mental process may occur either through reporting or quoting ideas. For example, both clauses below show that the projecting mental clauses project second clauses, that is material clauses.

She	wanted		you	to get	her bag
Senser	Pr: mental		Actor	Pr: material	Goal

“I	will meet	him	in London.”		She	decided
Actor	Pr: material	Goal	Circ: place		Senser	Pr: mental

2.1.2.3. Relational Process

Halliday & Matthiessen (2014, p. 259) stated that relational process is a process of ‘being’ and ‘having’. Relational process operates three primary types of relation: intensive, circumstantial and possessive. Each of these types has two distinct modes: attributive and identifying. The principal categories of relational clause can be illustrated below:

	Attributive	Identifying
Intensive ' <i>x is a</i> '	Lyla is cruel	Lyla is the traitor; the traitor is Lyla
Possessive ' <i>x has a</i> '	Weni has a cat	The cat is Weni's; Weni's is the cat
Circumstantial ' <i>x is at a</i> '	The parade is on Sunday	Tomorrow is Chinese New Year; Chinese New Year is tomorrow

One key distinction between these two modes is that the ‘attributive’ ones are not reversible, while the ‘identifying’ modes are reversible.

Intensive relational process establishes the relationship between two terms, where the relationship is expressed with typical intensive verb *be* and its various synonyms. Intensive type has two categories: intensive attributive and intensive identifying. Attributive intensive process expresses the relationship between carrier and attribute, where the attribute such as a quality or a description is assigned to a carrier. In contrast, identifying intensives process is about defining the identity of an entity. This process involves two participants, identified as token and value. Token contains the

‘name’ that is being defined, while value is that which defines and gives the classification (Eggins, 2004, p. 243). Additionally, token and value are involved as obligatory participants in any type of identifying modes.

She	is	smart
Carrier	Pr: intensive	Attribute
She	is	the smartest one
Token	Pr: intensive	Value

The other type of relational process is circumstantial, which encode meanings about the circumstantial dimension. In attributive circumstantial, the circumstance can be expressed as attribute and process. When the circumstantial is expressed in attribute, the attribute will be either in the form of prepositional phrase or an adverb while the verb remains intensive. However, if the circumstantial meaning is being encoded within the process, the clause will specify the process as ‘circumstantial’.

The books	were	in his car
Carrier	Pr: intensive	Attribute /Circ. location
The ceremony	lasted	One and a half hour
Carrier	Pr: circumstantial	Attribute

With identifying circumstantial, the meaning may be encoded within either participant or the process.

Tomorrow	is	the last time we work
Token/Circ: time	Pr: intensive	Value/Circ: time
The quiz	took	two hours
Token	Pr: circumstantial	Value

The next type of relational process is possessive process. Possessive process embeds meaning of ownership or possession. Both types of possessive process—attributive and identifying, may be encoded through participants and process. In attributive possessive, when the possession is being encoded through participant, the attribute has a role as possessor. Meanwhile, if the possession is being encoded through the process, the carrier will be possessor.

The car	is	yours
Carrier	Pr: intensive	Attribute/possessor
He	has	a Lamborghini
Carrier/possessor	Pr: possession	Attribute: possessed

In identifying possessive, the intensive verb *to be* is employed when possession is expressed through participant, and the token and value encoding the possessor and the possessed. Furthermore, the possession meaning may be encoded within the process realized by the use of the verb *to own*.

The car	was	her friend's
Token/Possessed	Pr: intensive	Value/possessor
Her friend	owned	the car
Token/possessor	Pr: possessive	Value: possessed

2.1.2.4. Verbal Process

Eggins (2004, p. 235) stated that “verbal processes are the processes of verbal action—saying and all its many synonyms.” Sayer is the performer

of the verbal that is involved in any verbal process. Halliday accommodates three further participant functions besides the sayer: Receiver, Verbiage, Target (Halliday & Matthiessen, 2014, p. 306). Receiver is the one to whom the verbal process is addressed, realized by a nominal group that either occurs with or without preposition. Thompson (2004, p. 107) defines verbiage as the messages or the topic of what is said in the form of nominal group functioning as participant.

I	told	my sister	a tale
Sayer	Pr: verbal	Receiver	Verbiage

Target is the entity at which the verbal process is directed, and appears only to construe a saying related to complimenting or criticizing someone or something.

The shareholder	keeps	criticizing	company's procedures
Sayer	Circ: manner	Pr: verbal	Target

Similar to mental clause, verbal processes also project a second clause. The projection cases of the second clauses give two types of form, either quoting (direct speech) or reporting (indirect speech). For example, both data below—the projected verbal clauses project second clauses, material clauses.

The teacher	said,		“carry	the books.”
Sayer	Pr: verbal		Pr: material	Goal

I	told	her		to close	the door
Sayer	Pr: verbal	Receiver		Pr: material	Goal

2.1.2.5. Behavioral Process

Based on Eggins (2004, p. 233), behavioral process deals with psychological and physiological behavior which has to be experienced by a conscious being. Breathing, smiling, coughing, snoring, staring, and dreaming, serve as examples of the behavioral process. Halliday (2014, p. 301) describes “behavioral processes are partly like the material and partly like the mental.” Behavior is the participant engaged in ‘behaving’ and is typically a conscious human being like the senser in mental process. While the process itself is grammatically represented as a type of ‘doing’ but does not usually involve another participant.

She	laughed
Behaver	Pr: behavioral

Behavioral clauses may extend to a second participant, which is analogous to the ‘scope’ and functions like a ‘range’ in material clause, serving as a restatement of the process labeled as Behavior. Eggins (2004) explains further that, “If there is another participant which is not a restatement of the process, it is called a phenomenon” (p. 234).

He	sang	a song
Behaver	Pr: behavioral	Behavior

2.1.2.6. Existential Process

Existential processes state the existence of an entity or things. According to Eggins (2004, p. 238), “existential process represents

experience by positing that ‘there is/was something’.” However, the word “there” does not convey any representational meaning. It simply appears in a clause merely to be used as a required subject.

There is just one participant in existential process functioning as the representation of an entity or “something” that exists in the clause, labelled as Existent. Additionally, existential clauses have typical verbs that are commonly involved, including synonyms such as *exist*, *arise*, *happen*, and *occur*.

There	was	a good looking guy	at the office
	Pr: existential	Existent	Circ: place

2.1.2.7. Circumstances

As explained above, there are particular participants involved for each transitivity process. It means that through understanding the participants, someone may also understand the different sorts of processes, and vice versa. Furthermore, transitivity clauses may carry some selection of circumstances that give extra information for the processes occur. The circumstances are expressed through adverbial groups or prepositional phrases. There are seven categories of circumstances presented by Eggins (2004, p. 222), consisting extent circumstance (duration and distance), location circumstance (time and place), cause circumstance (cause, reason, behalf), manner circumstance (means, quality, comparison), accompaniment circumstance, matter circumstance, and role circumstance.

No	Circumstances	Examples
1.	Extent	twelve times, all day
2.	Location	on Monday, in Bromo mountain
3.	Cause	because of flooding, for charity, for my boyfriend
4.	Manner	through the pipe, properly, unlike him
5.	Accompaniment	with Gilbert
6.	Matter	about his relationship
7.	Role	as a teacher

2.2. Research Method

The research design in this study is classified as descriptive-qualitative research since the study relies more on descriptive interpretation of the data rather than rely on numerical or statistical data. Sudaryanto (1993) stated that descriptive research means a study of describing the facts and phenomenon of the language. In this research, I identified the characterization phenomenon in the text using transitivity theory. The theory is used to identify and describe the scriptwriter's major pattern in constructing the characterization of Gilbert Blythe.

2.2.1. Data, Data Source, Population, and Sampling Technique

The data source is the subtitle containing characters' utterances of the TV series *Anne with an E* (2017, 2018, 2019). The data population consist of all transitivity clauses from Gilbert Blythe's utterances and other characters' utterances in which Gilbert is assigned as an active participant, a passive participant, or a circumstantial element in the transitivity processes.

Purposive sampling technique is utilized by focusing on the population that shows the qualities of Gilbert Blythe as a character. Meanwhile, the data consists of transitivity clauses where Gilbert Blythe appears either as a participant or as a circumstance, followed by the verb form. The selected lexicons or verb forms—categorized as process in the transitivity system, are which that can describe the character of Gilbert Blythe as used by the scriptwriter. The sampling data was selected based on its relevance to reveal the characterization of Gilbert Blythe.

2.2.2. Method of Collecting Data

Sudaryanto (1993) proposed four methods for data collection: participant observation, non-participant observation, recording and note-taking. For collecting the data, I used the non-participant observation because I merely observed and did not involve myself in the text or narrative. Furthermore, I also employed the note-taking technique for gathering data. As I observed the subtitles, I took notes on selected clauses from Gilbert Blythe's utterances and other characters' utterances where Gilbert Blythe is an active participant, a passive participant, or a circumstantial element.

2.2.3. Method of Analyzing Data

After collecting the data, I employed Creswell's (2007) data analysis steps. This research closely examined types of process and Gilbert's role within the transitivity clauses utilizing Halliday and Matthiessen's (2014)

transitivity system. The data analysis was conducted through the following steps:

- a. First, data management process. In the early stage, I organized the selected data in Google Docs according to Gilbert's role in the transitivity clauses.
- b. Second, reading and memoing step. I scanned the transitivity structure of each datum in detail. Then, I wrote notes or memos on key ideas associated with Gilbert Blythe's qualities as a character.
- c. Third, classifying and interpreting step. I classified the data into categories representing Gilbert Blythe's characterization. I then proceeded to provide an interpretation in light of transitivity perspective.
- d. Fourth, representing or visualizing step. I present the result through a visual representation in the form of a table.