

CHAPTER II

THEORY AND METHOD

The second chapter deals with the theoretical framework that is used to conduct the research. This chapter is divided into two sub-sections. Sub-section 2.1 presents the theories that are used in this research. Next, in sub-section 2.2 presents the research methods.

2.1 Theoretical Framework

Theories about Halliday's metafunction and interpersonal meaning are used as a theoretical basis in conducting this research. This subsection is divided into two sections.

2.1.1 Interpersonal Meaning

Systemic Functional Linguistics (SFL) views language as a resource for meaning, utilizing three metafunctions: interpersonal, ideational, and textual. These metafunctions convey meaning in communication, based on its situational and cultural context, and are realized in its own grammar system.

The interpersonal metafunction concerns how language is used to create and maintain social interactions between speakers. It shapes social relationships by reflecting the speaker's assessment of probability and the importance of the message (Halliday & Matthiessen, 2014). This function conveys the speaker's potential meaning as an active participant in communication, whether as speaker

or listener. Grammatically, it is expressed through clauses that arise from interactions involving both parties. Halliday and Matthiessen (2014) explain that when two people communicate, one key purpose is to establish a relationship between them.

The ideational metafunction is an essential part of language that enables people to express their experiences and perceptions of both the outside world and their inner thoughts. It is divided into two parts: experiential meaning and logical meaning. The experiential metafunction explains how meaning is created through processes, participants, and circumstances, while the logical metafunction focuses on the connections between different events or ideas.

The textual metafunction concerns how language is used to produce discourse that is complete, continuous, cohesive, and coherent (Halliday and Matthiessen, 2014). This function explains how speakers and writers organize their messages to ensure they are communicated clearly and logically. Through the textual metafunction, language users can construct texts that effectively guide the flow of communication.

Interpersonal meaning reflects the speaker's attitudes and judgments (Gerot and Wignell, 1994). It primarily involves engaging with others through language. This type of meaning emphasizes the interactive nature of language, focusing on how we influence each other by requesting or providing information, goods, or services. Halliday and Matthiessen (2014) describe this interaction as a form of exchange.

However, interpersonal meaning is particularly suitable for this research as it specifically relates to human social relationships. In contrast, employing the ideational meaning would lead to an analysis of transitivity, which is not aligned with the research objectives. Similarly, utilizing the textual meaning would redirect the focus towards examining themes rather than character analysis, thereby deviating the primary goal of the research.

2.1.2 Mood

People use interpersonal meaning to express their feelings and emotions (Sadighi, 2008; Feng & Liu, 2010). This expresses the speaker's or writer's attitude toward the content of the message. 'Mood' and 'residue' are the elements of interpersonal meanings. According to Halliday and Matthiessen (2014), the mood element carries the interpersonal functions of the clause and consists of a 'subject' and a 'finite'.

Halliday and Matthiessen (2014) suggest that mood is formed by subject and finite, forming a single component in a clause. Subject determines mood and is realized by nominal groups. Finite forms may take the shape of auxiliary verbs or tense markers within simple processes. As a component of the verbal group operators, finite expresses time or tense (e.g., be, has/have, was), modality (e.g., can, must, should), and polarity, indicating whether the clause is positive or negative.

Residue refers to those elements which are not included in the mood elements. Residue elements consist of predicator, complement, and adjunct. Predicator is described as the rest of the verbal group which includes any other

auxiliaries. It is realized by the use of non-finite elements of a verbal group, such as in the use of 'to' + verb and verb + 'ing'. As we can see in the clause, "He is baking cake for his mother", the word *baking* is formed from *bake* + ing answers to what subject is doing.

Complement is realized by other nominal groups that are used to complete the argument in the clause. It answers the question 'to *whom*', 'did to *what*', and 'is/ had *what*' (Eggins, 2004). For example, in the clause "He is baking cake for his mother", the word *cake* answers the question 'did to (bake) *what*?'. Thus, it owns the position of complement.

An adjunct is a component that cannot or does not have a potential to become subject (Eggins, 2004). This means it cannot be raised to the level of interpersonal modal responsibility (Halliday and Matthiessen, 2014). Adjunct is additional information which is added to the clause without influencing it. It can be realized as adverbial, nominal or prepositional groups. In the clause "He is baking cake for his mother", an adjunct is placed with 'for his mother'. Because, the clause 'for his mother' answers the question 'by *whom*' in a circumstantial adjunct.

There are two types of mood which are used in a verbal interaction; they can be identified as indicative (declarative or interrogative) and imperative mood. The mood types can be shown in the figure below.

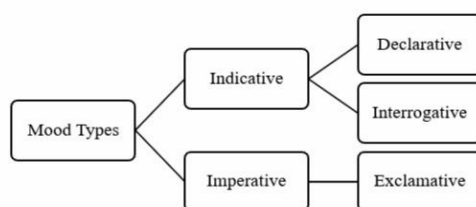


Figure 1. Mood Types

Adapted from Gerot and Wignell, 1994:38

According to Haratyan (2011), mood is classified into two types: indicative and imperative. The indicative mood includes both declarative and interrogative forms. In declarative clauses, the speaker provides information to the listener, taking on the role of the information source, while the listener receives this information. In contrast, interrogative clauses involve the speaker posing questions to the listener, expecting a response. The speaker becomes the information receiver, and the listener is the potential provider. Interrogative clauses can be either polar questions, which only require a 'yes' or 'no' answer, or Wh-questions, which necessitate a more elaborate answer. Lastly, the imperative mood is used when the speaker is issuing commands or making demands.

The indicative and imperative moods differ in their system of person. The imperative mood, used for exchanging goods and services, typically has 'you', 'me', or 'you and me' as the subject. The base form is often the second person, 'you'. Exclamative clauses, while expressing exclamation, do not have a unique exclamatory grammatical structure.

Mood	Order
Declarative	Subject + Finite
Yes/No interrogative (Polar question)	Finite + Subject
WH-interrogative (Content question)	Wh/Subject ¹ Finite
Imperative	Subject + Finite/Subject Only/Finite only/no Subject or Finite

¹ ‘^’ is the symbol for ‘followed by’ (Thompson, 2014:58)

Table 1. Mood Structure

Adapted from Gerot and Wignell, 1994:38

In declarative moods, the structure always includes both a Subject and a Finite element. For polar interrogative moods (yes/no questions), the Finite typically appears at the beginning of the clause. In WH-interrogative moods, the clause starts with a WH-question word followed by the Finite. In imperative moods, the Mood element can vary—it may have a Subject and Finite, only a Subject, only a Finite, or sometimes no Mood elements at all. Regardless, the predicator is always present in imperative clauses (Gerot and Wignell, 1994).

2.1.3 Modality

Besides mood, modality is another important part of the interpersonal metafunction. According to Halliday (2014), modality shows how the speaker takes part in the conversation. It indicates whether the speaker is giving their opinion or making a prediction. Halliday and Matthiessen (2014) explain that modality involves choices about polarity—basically, whether something is true or false, or somewhere in between like "maybe" or "sometimes." Modality expresses different levels of certainty or uncertainty, as well as possibility or impossibility, falling between positive and negative poles. By looking at modal verbs and modal adverbs, we can understand the speaker's attitude, such as doubt, desire, or regret. Both Eggins (2004) and Halliday & Matthiessen (2014) mention that modality can be divided into two types: modalization and modulation. Modalization is about the

speaker’s judgment or opinion on the information being shared, while modulation deals with the speaker’s attitude towards offers or requests.

According to Eggins (2004: 172), modalization is one part of the broader grammatical category of modality in English. It allows speakers to insert their attitudes and judgments into a message. Modalization, also known as epistemic modality, includes two main scales: probability and usuality. Probability refers to how likely the speaker thinks something will happen or has happened, using words like "probably," "possibly," and "certainly." Usuality, on the other hand, relates to how often the speaker believes something occurs, with examples such as "sometimes," "usually," and "always”.

According to Halliday and Matthiessen (2014), modulation refers to how speakers express their judgments or attitudes toward actions and events. This type of modality, also called deontic modality, includes two main scales: obligation and inclination. Obligation relates to when a speaker issues commands, demands, suggestions, or advice to someone else. On the other hand, inclination reflects the speaker’s personal willingness or tendency to do something, as well as their feelings about it.

	Probability	Usuality	Obligation	Inclination
Both modalization and modulation can be further divided into three levels: high, medium, and low, which indicate the strength or degree of the speaker’s attitude.	Certain	always	Required	Determined
	Possible	Usually	Should	Keen
	Possible	Sometimes	Allowed	Willing

Table 2. Three Values of Modality
Source from Halliday and Matthiessen, 2014

In a clause, modal operators are the elements that express modality, indicating the speaker's stance or attitude. They form part of the finite element, together with polarity and tense. Halliday (2014) classifies modal operators into three categories based on their intensity: high, medium, and low. These categories relate to interpersonal meaning and are affected by factors such as the social status of the speakers, how well they know each other, and the emotions involved.

Kinds of Modality	Realization	Values of Modality		
		High	Medium	Low
Modalizations	Probability	must be, should be, must, certainly	probably	maybe, may, possible
	Usuality	always	often, usually	ever, never, sometimes
Modulations	Obligation	required, must, have to, ought to, need to	should, shall, will, would, supposed	may, might, can, could, allowed
	Inclination	determined	keen	willing

Table 3. The Classification of Modal Operators and Mood Adjuncts

Source from Halliday and Matthiessen, 2014

Besides modal operators, mood adjuncts also play a role in showing modality within a clause. These adjuncts express aspects like polarity, modality, and temporality, and they are part of the mood element in a sentence. Because of this, mood adjuncts usually appear close to the finite verb in a clause, helping to clarify the speaker's attitude or the timing of the action.

2.2 Research Method

This chapter explains the method that was used in conducting the research. This subsection is divided into four parts. These are the type of research, data and data source, the method of data collection, and analyzing the data.

2.2.1 Type of Research

This research applies a descriptive qualitative approach to identify the mood and modality used in the *Divergent* (2014) movie. Qualitative research focuses on exploring the characteristics of a subject or event by collecting non-numerical data such as words or pictures (Bogdan & Biklen, 2006). The purpose is to achieve a deep and comprehensive understanding of the data through detailed description.

2.2.2 Data and Data Source

The data are obtained from texts in the screenplay script of the *Divergent* (2014) movie, but limited to Tobias Eaton's dialogues to other characters. The data source of the research is taken from website www.scripts.com, which provides the *Divergent* (2014) movie script in pdf file. The population of the data is the utterances spoken by Tobias Eaton which are 215 clauses. Meanwhile, the sample consists of 54 clauses containing mood system processes underlining modality spoken by Tobias Eaton. The writer highlights lexicogrammar elements following and preceding the processes that contain mood and modality. To conduct the research, the writer applies purposive sampling technique by manually annotating the chosen clause based on its process type which underlining modality of Tobias Eaton's character.

2.2.3 Method of Collecting Data

The writer collected the sample of data through non-participant observation. Since the research focuses on analyzing literary text, the writer also combine it with

note-taking technique methods. There are several steps to be done and the first thing to do is reading the screenplay script as a whole. As the screenplay script in PDF format, the writer uses Adobe Reader as a tool for editing. The data in PDF file is manually imported to MsWord to separate the utterances produced by Tobias Eaton and to identify the frequency of the occurrences.

2.2.4 Method of Analyzing Data

MsWord is accessed to assist the writer in discovering the frequency result of each process type represented by several codes in the annotated clauses. To obtain the calculated data, the writer manually creates annotation code for the main male characters' utterances. First, the writer types annotation code in the find or search term. After clicking enter, the result can be found in the concordance hits section. The data are highlighted in annotation codes based on Tobias Eaton's clauses belong to mood and modality system.

The writer examines the clauses by using the interpersonal metafunction theory based on Systemic Functional Linguistics by Halliday and Matthiessen (2014). Furthermore, to determine the most dominant type of mood and modality, the writer used this formula:

$$X = \frac{f}{N} \times 100\%$$

X : Percentage of use

F : Frequency of use

N : Total number of use

