

CHAPTER II

THEORETICAL FRAMEWORK

2.1 Characterization

As a story-existent, characters are the most crucial category of a narrative because they are individuals who differ from each other; in other words, characters are the resemblances of people (Bal, 2009: 110). Chatman (1978: 126) and Rimmon-Kenan (2002: 39) agreed that characters can be described in terms of a paradigm of traits by looking at text elements which may serve as indicators of characterization. Chatman (1978) elaborated that a trait, in this sense, is a “relatively stable or abiding quality” (126); thus, traits are different from ephemeral psychological phenomena, for example, feelings, temporary motives, and attitudes.

Within the text, a trait can be explicitly mentioned or not. In this respect, Ewen (1971, as cited in Rimmon-Kenan, 2002: 61) proposed two kinds of textual indicators of characters; one of which is the indirect presentation done with several methods including action and speech. Traits of a character may be represented by both habitual and one-time actions; the former represents the dynamic aspect of a character, and the latter tends to reveal the static aspect of a character. Rimmon-Kenan (2002: 65) asserted that even though one-time action does not delineate permanent qualities, it is still counted as a character’s characteristic since the traits, one-time actions reveal, are more pivotal.

Besides, a character's speech, either in conversation with other characters or a silent activity occurring in the mind, may also denote traits through its content (Rimmon-Kenan, 2002: 66). In terms of contents, a character’s speech implies their

thoughts and feeling; also, something a character says about others does not only characterizes the spoken character, but it also characterizes the speaker.

Chatman's (1978) paradigm of traits provides the argument that characterization analysis, which is the main focus of this research, is a way to study a character, the object of this research. Meanwhile, Rimmon-Kenan's (2002) textual indicators of character explains that a text is the resource to study a character's traits. This theory helped me to collect the data from the data source which was a screenplay.

2.2 Transitivity System

Halliday and Matthiessen (2014: 30) introduced three main language functions incorporated into the concept of metafunctions. Metafunctions consist of ideational metafunctions, interpersonal metafunctions, and textual metafunctions. These functions derive ideational meaning, interpersonal meaning, and textual meaning.

First, ideational meaning is related to language as a reflection. This meaning of language is used to represent reality in language configurations (Eggins, 2004: 206). Halliday and Matthiessen (2014: 30) distinguished ideational meaning into two categories, experiential meaning, and logical meaning.

The experiential meaning refers to the function of language that is used to talk about the world, both the external and the internal. Thus, it focuses on the propositional content of language rather than, for example, the purpose of language (Thompson, 2014: 91). The content of a message is expressed through the transitivity system in terms of processes involving participants and additional

elements called circumstances (Thompson, 2014: 92). The logical meaning concerns with the connection between events in clause complex.

Second, interpersonal meaning regards language as an action because language does not only construe reality, but it also enacts an individual's relationship and social relationship with others (Halliday and Matthiessen, 2004: 29). Here, language is not a figure symbolizing some process, it is a proposition. People use language to inform, question, demand, and express their appraisal of and attitude toward other people and things (Halliday and Matthiessen, 2004: 29).

Third, textual meaning relates to the construction of text to deliver its message. To clarify, Halliday and Matthiessen (2004: 30) explained that textual meaning is a function of language which allows the construction of text to build up sequences of discourse. It also enables individuals to organize the discursive flow and create cohesion and continuity.

As mentioned, the transitivity system is used to reveal the experiential meaning of a language. It is a theory that constructs the world of experience into a set of process types. Each process wields its schema for developing a certain domain of experience and "is associated with different participant roles, occurring in different configurations" (Eggins, 2004: 214). Therefore, to analyze the transitivity structure in a clause, three components should be explained.

First, the process, which is realized by the verbal group, is divided into six categories, namely the material process, the mental process, the relational process, the behavioral process, the verbal process, and the existential process (Halliday and Matthiessen, 2004: 170). Second, the participants, realized by the nominal group,

are entities that are directly involved in the process in some way (Eggins, 2004: 214). Third, the additional elements of circumstances, which are expressed by the adverbial group or prepositional phrases, are not directly involved in the transitivity processes; they are attendant on the processes (Eggins: 2004: 215).

Transitivity system is an appropriate theory to study characterization because it focuses on the representation of actions and participants in a clause. Therefore, it provides insights into how characters are constructed. For example, when a character appears to frequently use processes that require an input of energy, the character can be described as active and strong.

2.2.1 Material Process

The material process reflects the outer experience composed of actions and events; “things happen and people [...] do things” (Halliday and Matthiessen, 2004: 170). In a nutshell, it is a process of doing or happening. Specifically, the process of doing requires an **actor**, the obligatory participant of the material process, to purposely input energy to do a material process. Eggins (2004: 216) classified the material process into two. First, the intransitive material process means ‘someone does something;’ in this category, the only participant occurring in the material process is the actor.

I	ran
Actor	Pr: material

Table 1 Intransitive Material Process

Second, the transitive material process means ‘someone does something and the doing implicates another entity.’ Thus, this category needs other participants to occur in the process besides an actor. The other participant may be a **goal** or a **scope**.

She	kicked	the ball
Actor	Pr: material	Goal

Table 2 Transitive Material Process with Goal

The goal is a participant that is affected by the process; it is the target to whom a material process is directed, and the scope is the unaffected participant. Halliday and Matthiessen (2014: 227) further explained that if there is a goal of the process together with an actor, the representation may come in two forms, the **operative** (active) like the example in table 2, or the **receptive** (passive) as follows.

The ball	was kicked	by her
Goal	Pr: material	Actor

Table 3 Receptive Material Process

They	found	the statue
Actor	Pr: material	Scope

Table 4 Transitive Material Process with Scope

Halliday and Matthiessen (2004: 190) and Eggins (2004: 217) agreed that scope may specify an entity indicating the domain over which a material process occurs, and it may also express the range of the material process.

Besides the goal and the scope, Halliday and Matthiessen (2014: 236) proposed that there are three supplementary participants of the material process, namely a **recipient**, a **client**, and an **attribute**.

Amir	gave	chocolate	to Malti
Actor	Pr: material	Goal	Recipient
He	baked	her	a cake
Actor	Pr: material	Client	Goal

Table 5 Recipient and Client

A recipient and a client are called beneficiary participants since they are benefited from the material process. The recipient is the one that receives things, a

participant to whom goods are given; meanwhile, the client is a participant for whom a service is done (Halliday and Matthiessen, 2014: 237).

She	has grown	taller
Actor	Pr: material	Attribute

Table 6 Attribute

Halliday and Matthiessen (2014: 242) explained that an attribute is used to elaborate the qualitative state of the actor or goal after the process has been done.

2.2.2 Mental Process

The mental process refers to experiences occurring in the world of consciousness; it is the process of sensing. The central attention of the mental process is not actions but mental reactions (Eggins, 2004: 225). The mental process involves two participants, the **senser** and the **phenomenon**; the **senser** is the conscious entity that does the process of sensing; the senser can be a whole human being or parts of a human such as brain, body, hand, et cetera. The **phenomenon** refers to what is sensed by the senser.

Halliday and Matthiessen (2004: 198-199) divided the mental process into four types of sensing: 1) **emotive** concerns with feelings or degrees of affection; 2) **cognition** deals with the process of thinking as ideas are created by the cognitive ability; 3) **perception** means the process of perceiving something through five senses; 4) **desiderative** is related to expressing urges.

She	loves	the cats
Senser	Pr: mental/emotive	Phenomenon
He	considered	the offer
Senser	Pr: mental/cognition	Phenomenon
They	saw	the gang
Senser	Pr: mental/perception	Phenomenon

I	want	the car
Senser	Pr: mental/desiderative	Phenomenon

Table 7 Mental Processes

Egins (2004: 230) further explained that one of the major differences between the material process and the mental process is the projection case which may occur in the mental process. The projection case happens when the first mental clause projects the second transitivity clause which can be any type. For instance, in table 6, the cognitive mental process projects the material process.

I	think		you	should go
Senser	Pr: mental		Actor	Pr: material

Table 8 Projection Case in Mental Process

2.2.3 Relational Process

The relational process is the process of being and having; it serves to characterize and identify (Halliday and Matthiessen, 2004: 210). The relational process has two types, the attributive process and the identifying process. In the attributive type, an **attribute** such as a description or a quality is assigned to a **carrier**, and this subtype has three categories. First, the intensive attributive process establishes a relationship between the attribute and the carrier where the relationship is expressed with the verb *be* or a synonym, for example.

She	is	beautiful
Carrier	Pr: relational attributive intensive	Attribute

Table 9 Intensive Attributive Process

Second, the circumstantial attributive process has a circumstantial element which is expressed in the attribute. Moreover, the circumstantial meaning may appear in the process itself with a verb that has the same meaning as *be*. Here, the process is labeled as ‘circumstantial.’

Linda	is	at the office
Carrier	Pr: relational attributive intensive	Attribute/Circ: loc
The renovation	lasted	nine days
Carrier	Pr: circumstantial	Attribute/Circ: extent

Table 10 Circumstantial Attributive Process

Third, the possessive attributive process indicates ownership and possession between the participants; here, possession is encoded through the participants where the process remains intensive or through the process.

The chocolate	is	mine
Carrier	Pr: relational attributive intensive	Attribute/Possessor
They	has	a son
Carrier/Possessor	Pr: possession	Attribute: possessed

Table 11 Possessive Attributive Process

On the other hand, identifying process is not about classifying but defining. The participants are the **token** (what is defined) and the **values** (what defines). Similarly, this subtype is also divided into three categories. First, the intensive identifying process uses the verb *be* or a synonym to define the participants.

She	is	the prettiest
Token	Pr: relational identificative intensive	Value

Table 12 Intensive Identifying Process

Second, the circumstantial identifying process has the token and the value appears in the form of circumstantial elements with the verb remaining intensive. The circumstantial meaning can also be encoded in the process.

Today	is	the day he arrived
Token/Circ: loc	Pr: relational identificative intensive	Value/Circ: loc
More than 50 years	span	her age and mine
Token	Pr: circumstantial	Value

Table 13 Circumstantial Identifying Process

Third, in the possessive identifying process, possession relation may be encoded in the participants where the token and the value appear as the possessor and the possessed or in the process itself.

The hat	was	her brother's
Token/Possessed	Pr: relational identificative intensive	Value/Possessor
Her brother	had	the hat
Token/Possessor	Pr: possessive	Value/Possessor

Table 14 Possessive Identifying Process

2.2.4 Behavioral Process

The behavioral process represents both activities of 'sensing' and 'doing' (Simpson, 2004: 23); thus, the behavioral process partly resembles the material process and is partly like a mental process. Halliday and Matthiessen (2004: 248) added that it is a process of physiological and psychological behavior. This process recognizes two participants, the **behavior** (obligatory) or a conscious being who is behaving and the **behavior** (supplementary) which is a restatement of the process. Eggins (2004) further elaborated "If there is another participant which is not a restatement of the process, it is a phenomenon" (234).

He	cried
Behavior	Pr: behavioral

Table 15 Behavioral Process

The behavioral process does not have clearly defined characteristics, and its boundary is indecisive, but some kinds of this process are acknowledged. One, near-mental behavior covers conscious processes which are represented in forms of behavior, such as *look* and *dream*. Two, near-material behavioral processes are

body postures such as *flinch*. Three, near-verbal behavior refers to verbal processes in the shape of behaviors, like gossip, murmur, and chatter. Four, psychological process that denotes the state of consciousness, such as *cry*, *laugh*, and *nod*. Five, other psychological processes such as *breath* and *sleep* (Halliday and Matthiessen: 2004: 251).

2.2.5 Verbal Process

The verbal process is a process of saying using the verb ‘say’ and its abundant synonyms as well as symbolic exchanges (Halliday and Matthiessen, 2004: 252, Eggins, 2004: 235). The main participants of the verbal process are the **sayer**, the compulsory participant who is responsible for a verbal process, the **receiver** or the entity to whom a saying is addressed, and the **verbiage** referring to the message or the name of the saying (Halliday and Matthiessen, 2004: 256).

She	told	him	the truth
Sayer	Pr: verbal	Receiver	Verbiage

Table 16 Verbal Process

In some cases, the verbal process may have a participant called the **target** to whom a verbal is directed, and there are two ways to differentiate a target and a receiver; first, a target does not need to be a human; second, a verbal clause may have a target and a receiver at the same time (Thompson, 2014: 107).

Linda	criticized	the writing
Sayer	Pr: verbal	Target

Table 17 Verbal Process with Target

Similar to the mental process, the verbal process may have the projection case, yet unlike the mental process that reports or quotes ideas, the verbal process reports or quotes locutions (Eggins, 2004: 236). For example, in table 16, the verbal

clause projects the relational clause. Eggins (2004: 236) added that the projecting case in the verbal process can be direct/quoted speech or indirect/reported speech.

She	said		siomay	is	tasty
Sayer	Pr: verbal		Carrier	Pr: intensive	Attribute

Table 18 Projection Case in Verbal Process

2.2.6 Existential Process

The existential process is used to tell that something exists or happens (Simpson, 2004: 25). Halliday and Matthiessen (2004: 257) revealed that the existential process is not common in discourse. This category is marked by the use of the word ‘there’ which, in this case, does not express representational meaning; it exists in an existential clause solely because a subject is obligatory in English clauses (Eggins, 2004: 238). The participant of this process is called **existent**, “The entity or even which is being said to exist” (Halliday and Matthiessen, 2004: 258).

There	are	two potatoes
	Pr: existential	Existent

Table 19 Existential Process

2.3 Circumstances

Besides processes and participants, circumstances may occur in all types of transitivity clauses. Circumstantial elements are not obligatory as it provides extra information to a clause. Halliday and Matthiessen (2014: 310) proposed nine types of circumstance: the extent circumstance (distance, duration, frequency), the location circumstance (time, place), the manner circumstance (quality, mean, degree, comparison), the cause circumstance (purpose, reason, behalf), the contingency circumstance (default, concession, condition), the accompaniment

circumstance (additive, comitative), the role circumstance (guise, product), the matter circumstance, and the angle circumstance (point of view, source).

No	Circumstances	Examples
1.	Extent	for two miles, twice, for a minute
2.	Location	on the bench, tomorrow
3.	Manner	quietly, by experiment, like a star, deeply
4.	Cause	because of her, for school, for you
5.	Contingency	in case of emergency, in the absence of the father, regardless of the situation
6.	Accompaniment	with Julia, as well as Tom
7.	Role	as a friend, into a tall man
8.	Matter	about the movie
9.	Angle	according to Eggins

Table 20 Examples of Circumstances