CHAPTER II

THEORY AND METHOD

2.1 Theoretical Framework

This chapter explores three key concepts that underlie this research. The foundational theory used is Systemic Functional Linguistics (SFL) as outlined by M.A.K. Halliday, revised by Christian M.I.M. Matthiessen (2004) in their work "An Introduction to Functional Grammar." The decision to utilize this specific text was made because it offers a more comprehensive exploration of SFL than other available resources. This in-depth exploration is crucial for thoroughly understanding the concepts applied in this research. David Banks's "A Systemic Functional Grammar of English: A Simple Introduction" (2019) is an additional reference to supplement understanding of SFL. Furthermore, the concept of Corpus Linguistics is sourced from work by Tony McEnery (2001).

2.1.1 Systemic Functional Linguistics

Systemic Functional Linguistics (SFL), developed by M.A.K. Halliday (2004), examines how language works (internal systems) and how it is used in society (external functions). It breaks language into three parts: Ideational (representing the world), Interpersonal (building social relationships), and Textual (creating structured texts). These functions work together: how to present ideas (Ideational) is influenced by social situations (Interpersonal), and how we structure the text

(Textual) reflects both. SFL goes beyond just describing language to understanding how we use it for various purposes (Halliday, 2004:29).

2.1.2 Transitivity System

In Systemic Functional Linguistics (SFL), transitivity goes beyond basic verb types. It analyzes how clauses depict actions (processes) and who or what is involved (participants) with additional details (circumstances). This helps us understand how language is used to represent our experience of the world (Banks et al., 2019:26-36) In the following excerpt, the relevant sections are highlighted.

Systemic Functional Linguistics (SFL) dives deeper than verb types, analyzing clauses as interactions between processes (actions, events) and participants (who/what is involved). Material processes focus on physical actions with agents (actors) (Halliday, 2004:179). Mental processes explore thoughts and feelings within a thinker and the thought/feeling itself (Halliday, 2004:197). Behavioral processes (behaver) analyze human actions with details about the target, target, and situation. Finally, circumstances (when, why, how) provide optional background details (Halliday, 2004:248). Relational processes explore how things are connected, including identifying features, clarifying identity, and showing ownership (Halliday, 2004:210). The verbal process in grammar revolves around communication and symbolic signaling. The core participant is the sayer, who initiates the message and isn't necessarily human. The receiver is the one on the receiving end of the communication. An additional element can be the target, which refers to the entity or idea impacted by the message. Finally, the verbiage represents the actual content of the message itself (Halliday, 2004:252). The existential

process in grammar focuses on how things come to be or exist in human experience. This process is usually identified by verbs like "be," "exist," or "arise." The things that exist can be anything, from physical objects to ideas or even feelings (Halliday, 2004:256).

2.1.3 Corpus Linguistics

Corpus linguistics studies language patterns using collections of real-world texts (McEnery & Hardie, 2001:1). These collections, called corpora, help researchers analyze how language works in various contexts, from building dictionaries to creating machine translation tools. To make a corpus, researchers gather texts fitting their goals, convert them to digital formats, and annotate them for computer analysis. Then, tools like KWIC (keyword in context) help examine how specific words are used throughout the corpus. This allows researchers to study language in detail based on real-world examples (McEnery & Hardie, 2001:2).

2.1.4 Narrative Stylistics

In the realm of narrative analysis, stylistics goes beyond dissecting plot and structure (Fludernik, 2009:69). It develops into how the author's specific language choices actively shape our understanding of the story. This includes elements like the perspective from which the story unfolds (point of view) (Fludernik, 2009:70), the chosen verb tense (past, present, future) that influences pacing, and the use of free indirect discourse to seamlessly blend the narrator's voice with the character's inner thoughts. Descriptive language also plays a role, in setting the atmosphere and emotional tone (Fludernik, 2009:73).

2.2 Methods

This chapter delves into the research's methodological framework, outlining the research design, the data, the data collection procedures, and the chosen data analysis techniques.

2.2.1 Type of Research

This research employs a sequential exploratory mixed methods design, encompassing both quantitative and qualitative approaches. This approach involves collecting and analyzing qualitative data first, followed by collecting and analyzing quantitative data. The qualitative data was used to explore the characterization of Winston Smith, the protagonist of George Orwell's novel *Nineteen Eighty-Four*. Specifically, the analysis will focus on the lexicon used in the text to depict Winston's character.

2.2.2 Data, Population, Sample, and Sampling Technique

This study utilizes narrative text data extracted from the novel *Nineteen Eighty-Four* by George Orwell. This study focuses solely on the narrator's discourses, excluding character dialogue. The population of the data comprises all clauses within the novel where Winston Smith functions as an active or passive participant, including all verb forms associated with his actions. A purposive sampling technique involved the manual annotation of selected clauses.

2.2.3 Method of Collecting Data

Following Miles and Huberman's (1994) categorization, a non-participant observation and document analysis approach was used for data collection (Miles & Huberman, 1994:40). The novel was initially read in its original format.

Subsequently, a digital copy (PDF format) was downloaded and converted into a plain text file using Google Documents. Manual annotation of selected clauses was then conducted and the plain text file was updated by incorporating the annotated segments. A coding scheme was developed based on the referential method described by Sudaryanto (2015:26). This scheme employed codes to mark clauses based on the role of the pronouns "he," "his," "him," and "Winston," aiming to identify process types and reveal Winston Smith's agency within the narrative. Additionally, codes were designed to capture circumstantial elements, recognizing their significance in process realization. Following coding processes and circumstances, all annotated text segments were merged into a single consolidated file for further analysis (Sudaryanto, 1993).

He/A1 crossed the room into/LOCPL the tiny kitchen.

Figure 1 Annotated Text

2.2.4 Method of Analyzing Data

The software tool AntConc 3.5.9 was employed to facilitate data analysis. This corpus processing tool utilizes a concordance function to examine keywords' surrounding context (left and right). Regular expressions were implemented within the query box to target specific search terms. The software output displays the frequency of coded processes (based on the previously defined coding scheme) alongside the corresponding process types. Following Elsa (2020), these

frequencies were then used to calculate percentages according to the following formula (Elsa, 2019):

$$\frac{x}{n} \times 100 = p$$
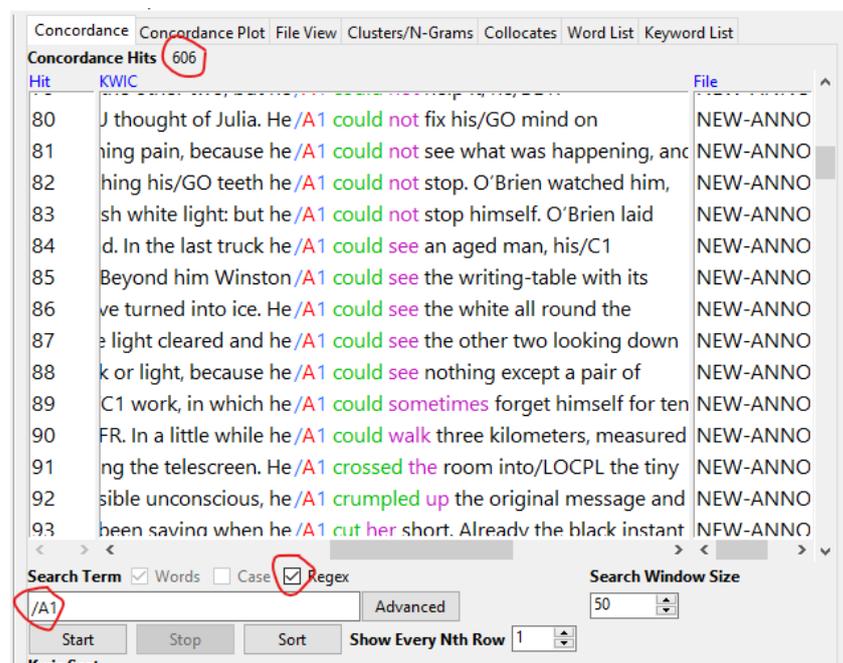
Where:
x= given quantity
n= total amount
p= percentage

Figure 2 The Concordance Feature in AntConc 3.5.9

The concordance or Key Word in Context (KWIC) feature may not cover the clause before and after a specific clause. To see the broader context, the writer clicked the codes in the concordance display to view the text. The black-highlighted code is the code clicked in concordance. The blue-highlighted clause helps the writer to see the context of whom the word him refers to.
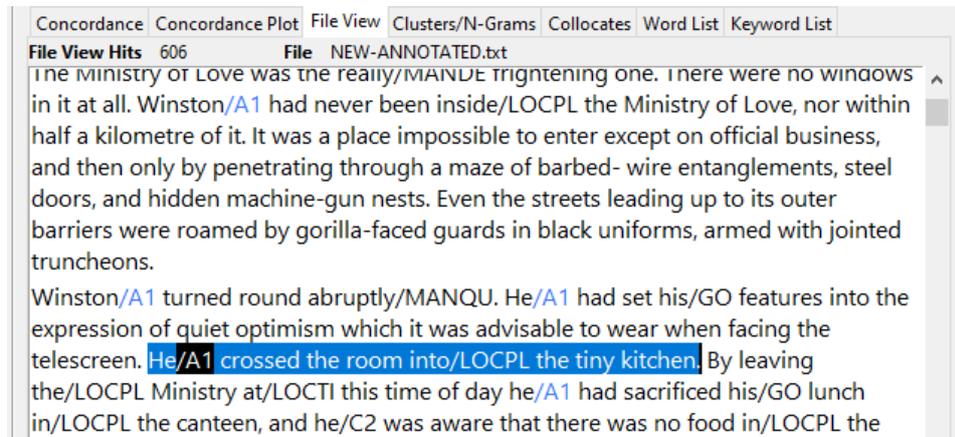
Figure 3 The File View Feature in Antconc 3.5.9

The data were mainly annotated based on the pronouns "he," "his," "him," and "Winston" to describe the dynamic roles and the static roles. Dynamic and static roles are grouped based on the type of process. Those roles are further explored to discover what lexicon is used in describing the narrator's discourse to depict the self and how it can be analyzed to depict the characterization. The selection of some lexical verbs actualizes the processes and the circumstances. The writer interprets the data in a description that correlates the lexicon used in the text and its implications for Winston's characterization.