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e
- a cura di Miller D.R. e Monti E. (2014) *Selected Papers* di quelli presentati al convegno internazionale CeSLiC del 12-14 dicembre, 2012, dal titolo "**Tradurre Figure / Translating Figurative Language"**, a
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Sono molto lieta di presentare un nuovo *Occasional Paper*, che accolgo con piacere da Antonella Luporini, giovane studiosa e professore a contratto di Lingua e linguistica inglese presso il Dipartimento LILEC e la Scuola di Lingue, Letterature, Traduzione e Interpretazione dell'Università di Bologna. Da diversi anni è membro attivo del CeSLiC,

dove attualmente porta avanti due progetti di ricerca: uno, con Sabrina Fusari e Donna R. Miller, sulla comunicazione docente/discenti mediata dal computer (CO-METS); l'altro, con Donna R. Miller, sull'analisi stilistica assistita da corpora in una prospettiva Sistemica Socio-Semantica (SSS), secondo il modello di Ruqaiya Hasan. I più recenti sviluppi della sua attività di ricerca riguardano, nell'ambito dei progetti sopra menzionati, la comunicazione docente/discenti mediata dal computer (Fusari e Luporini 2016) ed SSS come metodo di insegnamento/apprendimento dell'inglese come lingua e cultura straniera a livello universitario (Miller e Luporini 2016 e *forthcoming*) I suoi interessi di ricerca si estendono allo studio di metafora concettuale e grammaticale con strumenti della linguistica dei corpora, in particolare nella stampa finanziaria, argomento della Tesi di Dottorato discussa nel 2013. In questo campo, portando avanti lo studio iniziato nel corso del Dottorato, Luporini sta attualmente investigando le sinergie tra metafora concettuale e metafora grammaticale nell'espansione metaforica del potenziale significante dei parlanti (Luporini, *forthcoming* 2017).

Riferimenti bibliografici citati

Fusari, S. e Luporini, A. (2016). 'La comunicazione tra studenti e docenti via forum e e-mail: strategie di cortesia'. In F. Bianchi e P. Leone (a cura di), *Linguaggio e apprendimento linguistico. Metodi e strumenti tecnologici. Studi AItLA 4*. Milano: Officinaventuno, 67-82.

Luporini, A. (forthcoming 2017). '"In the depths of the world's credit crisis": Compelling synergies between conceptual and grammatical metaphor in a corpus-assisted study of the British and Italian financial press, 2008'. In A. Baicchi and A. Bagasheva (Eds), *Figurative Language We Live By: The cognitive underpinnings and mechanisms of figurativity in language*. *Textus* 1(2017).

Miller, D.R. e Luporini, A. (2016). '*Systemic Socio-Semantic Stylistics*: un metodo per insegnare la lingua e la cultura del/nel testo letterario'. Paper, Giornata di studio CeSLiC *Il testo letterario nell'apprendimento linguistico: esperienze a confronto*. Università di Bologna, Dipartimento LILEC, 13 maggio 2016.

Miller, D.R. and Luporini, A. (*forthcoming*). 'Systemic Socio-Semantic Stylistics (SSS) as appliable linguistics: the cases of literary criticism and language learning/ teaching'. In A. Sellami Baklouti and L. Fontaine (Eds), *Perspectives from Systemic Functional Linguistics*.

Il saggio che pubblichiamo oggi s'intitola:

Spotlighting fantasy literature with the tools of Frame Semantics and Systemic Functional Linguistics: A case study

In questo studio la Luporini presenta un duplice approccio all'analisi stilistica del testo letterario, concentrandosi sulla letteratura *fantasy* come caso di studio e utilizzando gli strumenti forniti da due modelli teorici distinti ma proposti come potenzialmente complementari: *Frame Semantics* (FS; Fillmore 1985; 2006 [1982]; Fillmore and Baker 2010) e il sistema di *TRANSITIVITY* sviluppato nel quadro della *Systemic Functional Linguistics* (SFL; Halliday and Matthiessen 1999; 2014).

I suddetti modelli vengono applicati in questo contributo all'analisi di due brani tratti dalla serie *fantasy Harry Potter*: nello specifico, le parti relative al primo e all'ultimo di una lunga serie di scontri tra il protagonista, Harry Potter, e il principale antagonista, Lord Voldemort. All'interno di ogni brano, vengono presi in considerazione i gruppi verbali che vedono i due personaggi, o parti del loro corpo (*meronymic agency*: Simpson 2014), nel ruolo di soggetti logici (*logical subjects*; Halliday and Matthiessen 2014: 80-82). Ciascun gruppo verbale viene quindi classificato in base al *frame* semantico o al tipo di Processo, in termini di *TRANSITIVITY*, che rappresenta nel testo.

L'analisi qualitativa dei singoli brani rivela come i *pattern* di agentività siano funzionali alla costruzione di una relazione chiaramente asimmetrica tra i due personaggi, in termini di potere e controllo sulla situazione. In prospettiva contrastiva, i dati evidenziano un processo di evoluzione/involuzione tra i due brani – riguardante, rispettivamente, il protagonista e l'antagonista – qualificando quindi la saga di *Harry Potter* come un *bildungsroman* 'esteso'.

I risultati dell'analisi confermano anche l'ipotesi iniziale sulla compatibilità tra i due modelli teorici adottati, permettendoci di avanzare una proposta: integrare la nozione di *prospettiva* linguistica su un evento, elaborata nell'ambito di FS (Fillmore 1977 a; 1977b), all'interno degli studi stilistici basati sul sistema di *TRANSITIVITY*, dando così ancor più rilievo agli effetti che le scelte lessico-grammaticali dell'autore possono avere sul processo di ricezione ed interpretazione del testo da parte dei lettori.

Allo stesso tempo, il valore dell'approccio FS in campo stilistico viene, a nostro avviso, messo in risalto dal confronto e dalla giustapposizione con il modello SFL, il quale ha una più lunga tradizione di applicazioni all'analisi stilistica del testo letterario.

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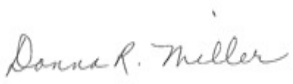
Keywords: Frame Semantics, FrameNet, Systemic Functional Linguistics, transitivity, stylistics, Harry Potter



Donna R. Miller

Responsabile scientifica del CeSLiC e *General Editor* dei Quaderni del CeSLiC

Bologna, li 23 maggio 2016

Spotlighting fantasy literature with the tools of Frame Semantics and Systemic Functional Linguistics: A case study

Antonella Luporini

University of Bologna

1 Introduction

This paper presents an approach to literary text analysis that makes use of two theoretical-descriptive models of language: Frame Semantics (henceforth FS; Fillmore 2006 [1982]; 1985; Fillmore and Baker 2010) and the TRANSITIVITY SYSTEM as developed within Systemic Functional Linguistics (SFL; Halliday and Matthiessen 1999; 2014). The analysed texts are two excerpts from the first and the last instalment in J.K. Rowling's fantasy series *Harry Potter*. By applying the two models, we aim to highlight the ways in which the relation between the characters, and their process of evolution or involution across the novels, is construed in and by the linguistic structures (cf. Luporini 2009). In the rest of this section, we shall provide a necessarily brief account of the main tenets of the theoretical frameworks deployed, before proceeding to the discussion of the methodology of analysis and the results in Sections 2 to 4.

1.1 FS: an overview

FS is a theory of meaning developed by Fillmore starting in the late 1970s, on the basis of his previous work on a *case grammar*, a substantial modification to standard transformational grammar in which semantic case relations are seen as universally performing a primary role in the deep structure of language (Fillmore 2003 [1968];

2003 [1969]).[1]

The main tenet of FS is that verbal communication is structured and understood in terms of *frames*, i.e. schematic conceptual representations of experience underlying linguistic productions, activated by specific lexical elements (mainly nouns, verbs and adjectives) in the flow of discourse. The notion is an elaboration on the concept of *case frame*, which was used in case grammar to refer to the actual case environments that could co-occur with a verb in a sentence (Fillmore 2003 [1968]); indeed, the term *frame* comes to denote a conceptual structure only in Fillmore's early papers on FS (Fillmore 2006 [1982]). The internal organisation of a frame involves a set of semantic roles (*Frame Elements*, henceforth FEs) whose number and type vary according to the degree of complexity of the frame itself. The specific labels *Core* and *Non-core* are used, respectively, to distinguish between FEs that form an essential part of the conceptual representation (e.g. those expressing agentive role) and others having a more 'peripheral' position (e.g. those expressing circumstantial information). A speaker will generally choose to instantiate only some FEs in discourse; however, since frames are cohesive knowledge units, the entire structure will always be retrievable by the addressee on the basis of his/her encyclopaedic knowledge: "[…] when one of the things in such a structure is introduced into a text, or into a conversation, all of the others are automatically made available" (Fillmore 2006 [1982]: 373). Let us provide an example:

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[1] The term *case grammar* was subsequently rejected by Fillmore himself, who clarified that his proposals had never given rise to a complete model of grammar : "I have become aware that my writings somehow gave the impression that case grammar so-called was being presented as a general model of linguistic structure. Nowadays I try to be more careful about the phrase 'case grammar'" (1977a: 62).

(1) John has sold his collection of LPs for five hundred Euros.

The verb *sell* activates a general scenario describing a transaction between a buyer and a seller who exchange goods for money. More specifically, *sell* evokes the frame Commerce_sell, in which the focus is on the seller. The FEs include BUYER, SELLER, GOODS (all Core), and MONEY (Non-core). In (1) above, the FE SELLER is instantiated by the nominal group *John*, functioning as subject; the FE GOODS is instantiated by the nominal group *his collection of LPs*, functioning as direct object; finally, the Non-core FE MONEY is instantiated by the prepositional phrase *for five hundred Euros*. The Core FE BUYER is not formally represented in the sentence, but is brought to mind by the very presence of the frame-evoking verb *sell*: indeed, it is available to be picked up in following turns (*Who did he sell it to? He sold it to Jane*). However, the same event may be described by resorting to alternative structures, as shown in (2) and (3) below:

(2) Jane purchased John's old collection of LPs for five hundred Euros.

(3) Jane shelled out five hundred Euros for John's old collection of LPs.

Example (2) differs from (1) above in that the FE BUYER is foregrounded, being presented as the subject of the verb *purchase* (activating the frame Commerce_buy). In (3), by contrast, *shell out* activates the frame Commerce_pay: here MONEY becomes a Core FE, and is foregrounded in the sentence as the direct object of the verb. Thus, in (1) to (3) above, different aspects of the same general scenario are highlighted, depending on which verb is chosen from the repertoire available, and which FEs are brought into focus in the linguistic structure. The notion of *perspective* is introduced by Fillmore in the late seventies precisely to account for the fact that speakers provide different angles on the event(s) they are relating by making a specific lexical choice concerning the verb, and also by choosing to give linguistic form - in particular, to

assign the functions of subject and direct object - to some FEs rather than others (Fillmore 1977a; 1977b; cf. also Fried and Östman 2004); in Fillmore's words: "[…] whenever we understand a linguistic expression of whatever sort, we have simultaneously a background scene and a perspective on that scene" (1977a: 74). The perspective given by the speaker clearly plays a key role in the process of interpretation carried out by the addressee.

In FS, frames are conceived of as the nodes of a knowledge network, linked by different types of relation. On the basis of this assumption, a project named *FrameNet* was launched in 1997 at the International Computer Science Institute in Berkeley (CA), with the aim of building a freely accessible and constantly updated online lexical databank of English, designed according to the principles of FS (Baker, Fillmore and Cronin 2003).[2] FrameNet includes two parallel searchable databases, one for frames and one for lexical units (LUs). It should be noted that, in FS, LUs are defined as the pairing of a word with a sense (Ruppenhofer *et al.* 2010): such notion is necessary in order to handle polysemous words in the FrameNet system. Each entry in the LU Index is matched to a corresponding entry in the Frame Index, which provides a description of the semantics of the frame, a list of FEs with annotated corpus examples showing their syntactic realisations, and an overview of the relations linking the frame to other frames in the network.[3] Since their inception, FS and FrameNet have found application in a

[2] Data available at: https://framenet.icsi.berkeley.edu/fndrupal/ (last accessed 18/5/2016).

[3] Frame-to-frame relations are asymmetric relations involving a less dependent or more abstract frame (*Super_frame*) and a more dependent or less abstract one (*Sub_frame*). Among them, the strongest relation is that of Inheritance, whereby the Sub_frame (called *Child*) inherits the central semantic properties of the Super_frame (called *Parent*) and develops a more specific representation: e.g. the

range of different fields, including lexicography (Atkins, Rundell and Sato 2003), automated semantic parsing (Shi and Mihalcea 2005) and translation studies (Rojo López 2002; Boas 2013); yet, to the best of our knowledge, to date their potential in stylistic studies still has to be fully explored (cf. Dancygier, Sanders and Vandelanotte, Eds, 2012; cf. also Antonopoulou and Nikiforidou 2009 on FS and cognitive poetics).

1.2 SFL and the TRANSITIVITY SYSTEM: an overview

The speaker's choice, which has already emerged as a key factor in our discussion of FS, is also central to SFL, where it is dealt with in a more systematic way. SFL sees language as a multifunctional resource for making and exchanging meanings, whose potential is realised in/by the actual choices made by the speaker within networks of systems of options that form the cline of lexico-grammar (Halliday and Matthiessen 2014: 64-67). *Choice* is, indeed, a full-fledged theoretical term in SFL, meaning 'option' in a system, but also 'selection', i.e. an act of choosing a particular option (Matthiessen, Teruya and Lam 2010: 69). It is through their choices, in both senses of the term, that language users construe different kinds of meaning, which correspond to as many simultaneous *metafunctions* played by language in context: interpersonal, ideational and textual (Halliday and Matthiessen 2014: 30-32). The interpersonal metafunction, which is linked to interpersonal semantics, accounts for the fact that speakers use language to enact social relationships: from this perspective, the main lexico-grammatical systems involved are those of MOOD, MODALITY and APPRAISAL. The ideational metafunction, linked to ideational semantics, accounts for the fact that

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Manipulation frame inherits from *Intentionally Affect*, which is more abstract and less specific (Ruppenhofer *et al.* 2010).

speakers use language to represent extra-linguistic reality, both in terms of the internal structure of an event (experiential component, TRANSITIVITY SYSTEM) and in terms of the relations holding between events in a sequence (logical component, systems of TAXIS and LOGICO-SEMANTIC RELATIONS). Finally, the textual metafunction, linked to textual semantics, cuts across the other two, in that it accounts for the fact that speakers enact social relationships and represent extra-linguistic reality by building cohesive and coherent texts, mainly through choices in the systems of STRUCTURAL and NON-STRUCTURAL COHESION.

Within ideational semantics, the TRANSITIVITY SYSTEM, which is our focus here, provides speakers with resources to construe experiential meanings at the clause level, through *figures*: configurations of Processes (typically realised by verbal groups) and the participants therein (typically realised by nominal groups), with optional circumstantial information, which together express the factual content of the message, as in "a little drama" (Halliday and Matthiessen 1999: 128).[4] The main options made available by the system, together with examples, are summarised in Table 1 below (extensive discussions can be found in, e.g., Halliday and Matthiessen 1999; 2014; Eggins 2004; Thompson 2014).

[4] Thus, the notion of transitivity has a wider application in SFL than in traditional approaches to grammar, where it is treated as a property of the VG: here, it designates a system of choices spreading over the whole clause.

Process type	Inherent participants	Examples
1. **material** = *doing and happening*	**Actor** (*the source of energy or physical doer*) **Goal** (*the entity to which the Process extends*)	John [Actor] hit the ball [Goal]
2. **mental** = *sensing and feeling*	**Senser** (*the sentient entity*) **Phenomenon** (*the entity or fact that is sensed*)	He [Senser] had been dreading that moment [Phenomenon]
3. **relational** = *being and having, setting up abstract relations between entities*	In attributive Processes: **Carrier** (*the entity to which a quality is assigned*) **Attribute** (*the quality assigned*) In identifying Processes: **Identified** (*the entity to which an identity is assigned*) **Identifier** (*the identifying status/quality*)	My son [Carrier] has a large collection of stamps [Attribute] Tolstoj [Identified] is my favourite novelist [Identifier]
4. **behavioural** = *physiological and psychological behaviour*	**Behaver** (*the entity who is 'behaving'*)	The teacher [Behaver] smiled
5. **verbal** = *communicating*	**Sayer** (*the (in)animate entity sending a message*) **Target** (*the entity to which something is symbolically done through words*)	They [Sayer] had been talking all night long [circumstance] Are you [Sayer] flattering me [Target]?
6. **existential** = *existing*	**Existent** (*the entity that is said to exist*)	There was silence [Existent] in the hall [circumstance]

Table 1. Process types with inherent participant roles and examples (based on Halliday and Matthiessen 2014: 224-331).

The SFL model of transitivity has often been applied to the linguistic/stylistic analysis of literary texts, generally as a tool to probe the linguistic representation of different fictional characters, including their mind-styles and world views (Nørgaard, Busse and Montoro 2010). Halliday's inquiry into the transitivity patterns of Golding's novel *The Inheritors* (2002 [1971]) was a seminal study in this sense (cf. also Kennedy 1982; Goatly 2004 on *Harry Potter*; Ji and Shen 2004).

2 The analysis: rationale and methodology

As noted at the beginning, our analysis focuses on two excerpts from Rowling's *Harry Potter* series, taken from the first and the last book respectively: *Harry Potter and the Sorcerer's Stone* (American edition of *Harry Potter and the Philosopher's Stone*, 1998; henceforth *SS*) and *Harry Potter and the Deathly Hallows* (2007; henceforth *DH*). The saga tells the story of a young orphan, whose life radically changes when he finds out about his magical powers and starts attending the Hogwarts School of Witchcraft and Wizardry. But why the interest in *Harry Potter*? Firstly, the books have had an unquestionable cultural, as well as commercial, impact on both adults and children all over the world, also thanks to their multiple layers of meaning and rich intertextual architecture (Anatol, Ed., 2003; Goatly 2004; Brown and Patterson 2010).[5] Secondly, the *Harry Potter* saga can be seen as "[…] a Bildungsroman divided into seven separate

[5] According to the American publisher's official webpage, the books have been translated into 68 languages, selling over 400 million copies worldwide; the seventh and final book in the series sold more than 8 million copies within the 24 hours after its release (http://harrypotter.scholastic.com/jk_rowling/, last accessed 18/05/2016).

instalments, one for each year of Harry's life" (Nel 2001: 49), the protagonist being involved in a process of physical and psychological growth as a result of increasingly difficult trials. Indeed, this process, via the timeless struggle between good and evil, personified by the main antagonist Lord Voldemort, emerges as one of the fundamental elements of the books' *theme* (after Hasan 1989 [1985]; cf. also Miller, forthcoming). Against this background, our analysis focuses on the two passages that describe the first and the last of a long series of battles between Harry Potter and Voldemort (Rowling 2001 [1998]: 364-367; 2007: 742-744), taken as representative of the initial and the final stage in the protagonist's maturation. Voldemort tried to kill Harry when he was only a baby: Harry's parents died trying to protect him, but he survived, as the spell rebounded on Voldemort, destroying his body. He meets again his enemy at the end of his first year at Hogwarts: Voldemort, who has only his face left, literally lives within the body of one of his servants, Quirrell, infiltrated into the school's teaching staff. The last fight between them takes place six years later, once again at Hogwarts: Voldemort has recovered his body and power, and Harry is now a full-fledged wizard.

Our analytical approach is two-fold: within each text, we examine how patterns of agentivity outline a power hierarchy between the characters, and, from a contrastive viewpoint, we explore the ways in which different linguistic structures point towards their evolution/involution. To this end, we consider all verbs having Harry Potter, Voldemort, and parts of their bodies (*meronymic agency*; Simpson 2014) as logical subjects (Halliday and Matthiessen 2014: 80-82), classifying them according to the semantic frame or Process type they instantiate.

We combine the two theoretical frameworks because: first, we would suggest that the notion of *perspective* (cf. Section 1.1 above) may be incorporated into the transitivity analysis of literary texts, to give even more prominence to the figure/ground

logic behind authorial choices, and its effects on the reader's interpretation; second, in the absence of large lexical databanks annotated for transitivity, FrameNet may be used, in the way we did, as a resource for disambiguation, thus improving accuracy and consistency in the analysis.[6] Finally, in juxtaposing it with the SFL TRANSITIVITY SYSTEM, traditionally and extensively used in stylistics, we aim at highlighting the validity of FS as a stylistics tool: a field in which, as we have seen, its full potential still has to be explored.

3 Results

Tables 2 to 5 below summarise the results of the qualitative/quantitative FS analysis. The analysed verbs (*Frame-evoking LUs* column) are classified according to the frame they evoke. Table 2 shows the frames instantiated by the verbs having Harry Potter, or parts of his body, as logical subject in *SS*. As can be noticed, the protagonist is involved in a wide variety of semantic frames: among them, Perception_experience prevails (a frame of unintentional perception, mainly activated by the verb *see*), followed by Capability (*can*) and Self_motion (activated by different motion verbs, some of which, like *stumble*, immediately qualify Harry's movements as clumsy and uncertain). The results of our FS analysis for Lord Voldemort and his body parts in the same text can be found in Table 3. The antagonist's patterns of agentivity are less semantically varied. Communication emerges as the most frequent frame, almost invariably evoked by verbs signalling different 'shades' of aggressiveness (e.g. *shriek vs. hiss*), while

[6] On using FrameNet data to build a transitivity-based electronic databank, cf. Chow and Webster (2007; 2008).

Perception_experience occurs only once, in marked contrast to the figures for Harry.

Frames with no. of occurrences	**%**	**Frame-evoking LUs**
Perception_experience (10)	21	*see* (7), *feel* (2), *hear*
Capability (7)	15	*can*
Self_motion (6)	12.5	*jump, reach*, *spring*, *struggle*, *stumble*, *take a step*
Make_noise (3)	6.25	*make a sound*, *scream*, *yell*
Manipulation (3)	6.25	*catch*, *grab*, *hang on*
Awareness (2)	4	*know*
Feeling (2)	4	*feel as*
Giving (2)	4	*give*
Motion (2)	4	*fall (into blackness)*, *move*
Perception_active (2)	4	*look*, *watch*
Others, 1 occurrence each (9)	2.11	*be*, *blind*, *join*, *meet end*, *move*, *save*, *shout*, *try*, *want*
		Total: 48

Table 2. Frames evoked by Harry Potter and his body parts as logical subjects in *SS*

Frames with no. of occurrences	**%**	**Frame-evoking LUs**
Communication (7)	32	*hiss*, *say*, *scream*, *screech*, *shriek*, *snarl*, *whisper*
Capability (3)	14	*can* (2), *be able to*
Awareness (1)	4.5	*know*
Perception_experience (1)	4.5	*see*
Transitive_action (1)	4.5	*kill*

Others, 1 occurrence each (9)	4.5	*have* (2), *(there) be* (2), *become*, *create*, *share*, *smile*, *value*
Total: 22		

Table 3. Frames evoked by Lord Voldemort and his body parts as logical subjects in *SS*

The results of the FS analysis for Harry Potter and Lord Voldemort in *DH* are reported, respectively, in Tables 4 and 5 below. As far as the protagonist is concerned, Perception_experience emerges again as the most frequent frame, but this time it is mainly activated by the verb *feel*; the table also highlights the presence of the Communication frame, a noteworthy 'new entry'. Turning to Voldemort, Table 5 shows that Communication is replaced by Motion as the most frequent frame, followed by Appearance and Transitive_action, which are activated by a set of strikingly different LUs (e.g. *be vacant and unknowing* as opposed to *murder* and *kill*).

Frames with no. of occurrences	**%**	**Frame-evoking LUs**
Perception_experience (6)	24	*feel* (3), *see* (2), *hear*
Communication (3)	12	*say*, *whisper*, *yell*
Manipulation (3)	12	*catch*, *grip*, *point*
Capability (2)	8	*can*
Transitive_action (2)	8	*take*, *twitch*
Awareness (1)	4	*know*
Perception_active (1)	4	*stare*
Others, 1 occurrence each (7)	4	*be* (2), *get*, *have*, *overpower*, *stand*, *take*
Total: 25		

Table 4. Frames evoked by Harry Potter and his body parts as logical subjects in *DH*

Frames with no. of occurrences	**%**	**Frame-evoking LUs**
Motion (5)	19.3	*fall* (2), *rise*, *roll*, *splay*
Appearance (4)	15.5	*be* + *attribute*
Transitive_action (3)	11.6	*kill*, *murder*, *remove*
Communication (2)	7.7	*say*, *shriek*
Moving_in_place (2)	7.7	*shake*, *tremble*
Perception_active (2)	7.7	*listen*
State (2)	7.7	*attend*, *be dead*
Capability (1)	3.8	*can*
Others, 1 occurrence each (5)	3.8	*be*, *get*, *hit*, *miss*, *steal*
		Total: 26

Table 5. Frames evoked by Lord Voldemort and his body parts as logical subjects in *DH*

Tables 6 to 9 below illustrate the results of the qualitative/quantitative transitivity analysis. Here, the analysed verbs are classified according to the Process type they instantiate (it is worth noting that some verbs, which are treated as frame-evoking LUs in FS, are not part of the TRANSITIVITY SYSTEM and are thus excluded from analysis: among them modal operators, which are markers of interpersonal semantics in SFL). Tables 6 and 7 provide a snapshot of the patterns involving the characters in *SS*. As can be noticed, there are considerable similarities with the results from the FS analysis seen above: Harry mainly acts as Senser within different kinds of mental clause, partially corresponding to Perception_experience (cf. Table 2), while Voldemort primarily takes on the role of Sayer within verbal clauses, which tally exactly with the 7 occurrences of the Communication frame in Table 3. However, Table 6 also highlights a high number of material Processes having Harry as Actor, most of which (8/13) are directed towards external Goals.

Process types with no. of	occurrences	%	Verbs
Mental	**15**	37.5	
Perceptive	12		*see* (7), *feel (as)* (4), *hear*
Cognitive	2		*know*
Desiderative	1		*want*
Emotive	0		
Material	**13**	32.5	*give* (2), *move* (2), *blind*, *catch*, *grab*, *join*, *make a sound*, *meet end*, *reach*, *save*, *take a step*
of which Goal-directed	8		
Behavioural	**10**	25	*fall (into blackness)*, *hang on*, *jump*, *look*, *scream*, *spring*, *struggle*, *stumble*, *watch*, *yell*
Relational	**1**	2.5	*be*
Verbal	**1**	2.5	*shout*
Existential	**0**	0	
	Total: 40		

Table 6. Processes enacted by Harry Potter and his body parts as logical subjects in *SS*

Process types with no. of	occurrences	%	Verbs
Verbal	**7**	36.8	*hiss*, *say*, *scream*, *screech*, *shriek*, *snarl*, *whisper*
Relational	**4**	21	*have* (2), *be*, *become*
Material	**3**	15.8	*create*, *kill*, *share*
of which Goal-directed	3		
Mental	**3**	15.8	
Perceptive	1		*see*
Cognitive	1		*know*
Desiderative	0		
Emotive	1		*value*
Behavioural	**1**	5.3	*smile*
Existential	**1**	5.3	*there be*
	Total: 19		

Table 7. Processes enacted by Lord Voldemort and his body parts as logical subjects in *SS*

Finally, Tables 8 and 9 below summarise the results of the transitivity analysis for *DH*. Material Processes (in the case of Harry, almost always Goal-directed) are now the most frequent category for both characters. Differences between the two frameworks also emerge: verbs evoking different individual frames in FS (e.g. *take*, *overpower*, or *hit*, *steal*) are linked to the same general Process type (i.e. material) in the transitivity model. Still, the two approaches converge in the analysis of Harry's mental activities, which are also numerically relevant: the 6 occurrences of perceptive mental Processes overlap exactly with the LUs evoking Perception_experience in Table 4.

Process types with no. of	**occurrences**	**%**	**Verbs**
Material	**8**	34.8	*take* (2), *catch*, *get*, *grip*, *overpower*,
of which Goal-directed	6		*point*, *twitch*
Mental	**7**	30.5	
Perceptive	6		*feel* (3), *see* (2), *hear*
Cognitive	1		*know*
Desiderative	0		
Emotive	0		
Relational	**3**	13	*be* (2), *have*
Verbal	**3**	13	*say*, *whisper*, *yell*
Behavioural	**2**	8.7	*stand*, *stare*
Existential	**0**	0	
	Total: 23		

Table 8. Processes enacted by Harry Potter and his body parts as logical subjects in *DH*

Process types with no. of	**occurrences**	**%**	**Verbs**
Material	**13**	52	*fall* (2), *attend*, *get*, *hit*, *kill*, *miss*,
of which Goal-directed	6		*murder*, *remove*, *rise*, *roll*, *splay*, *steal*
Relational	**6**	24	*be*
Behavioural	**5**	20	*listen* (2), *shake*, *shriek**, *tremble*
Verbal	**1**	4	*say*

Existential	**0**	0
Mental	**0**	0
Perceptive	0	
Cognitive	0	
Desiderative	0	
Emotive	0	
	Total: 25	

**shriek* is here analysed as behavioural rather than verbal because it is not accompanied by a Verbiage (= content of the message, Halliday and Matthiessen 2014: 306).

Table 9. Processes enacted by Lord Voldemort and his body parts as logical subjects in *DH*

4 Discussion

In this section, the results of analysis summarised in the tables above are discussed with a view to identifying meaningful patterns in the way characters are represented, while also considering the complementary perspectives on the data provided by the two analytical models.

4.1 Frames and Process types in SS

As noted, in terms of FS, Harry Potter and his body parts mainly take on the agentive role within Perception_experience, Capability and Self_motion frames (cf. Table 2).

Perception_experience and Perception_active are Child_frames of the less specific Parent_frame Perception. The difference between them lies in the type of perceptual activity: this is intentional in Perception_active, and unintentional in Perception_experience. Accordingly, the perceiving entity is called PERCEIVER_AGENTIVE in the former case and PERCEIVER_PASSIVE in the latter. In terms of Perception, then, Harry is generally presented as a passive perceiver, thus being

portrayed as a character who mainly reacts instinctively to a series of external stimuli, as in:

(1) Harry [PERCEIVER_PASSIVE] felt [Perception_experience] Quirrell's hand close on his wrist [PHENOMENON]

The only two instantiantions of Perception_active involving the protagonist can be found in the following sentences:

(2) Petrified [DEPICTIVE], he [PERCEIVER_AGENTIVE] watched [Perception_active] as Quirrell reached up and began to unwrap his turban

(3) he [PERCEIVER_AGENTIVE] looked around [Perception_active] wildly [MANNER] to see where Quirrell had gone

However, though in these cases Harry's perceptual actions are conscious and intentional, the perspective on the events includes the Non-core FEs DEPICTIVE and MANNER, which foreground the protagonist's inadequate control over himself and the external environment.

The Capability frame specifies whether an entity meets the conditions for participating in an event. The frame-evoking verb *can* occurs 7 times with Harry as subject in the text, and in 5 cases it expresses limited ability or inability. This is mainly achieved through negative polarity; however, in the example below, it is the LU *only* (evoking a separate Sole_instance frame) that construes Harry's limited perceptual capacity:

(4) he [PERCEIVER_PASSIVE] could [Capability] only [Sole_instance] hear [Perception_experience] Quirrell's terrible shrieks and Voldemort's yells [PHENOMENON]

The protagonist's disadvantaged condition is confirmed by the instantiations of the Self_motion and the (less frequent) Motion frames. Negative polarity often marks a contrast between intended vs. effective movement. In (5) below, Harry's body is represented as disconnected from his mind: the Attempt frame, evoked by *try*, is followed by the Motion frame, activated by *move* with negative polarity:

(5) Harry [SELF_MOVER] tried [Attempt] to take a step [Self_motion] backward [DIRECTION], but his legs [THEME] wouldn't move [Motion]

Interestingly, Harry's defeat (he faints and is finally saved by his friends) is introduced in the text precisely through a Motion frame, evoked by *fall*, metaphorically associated with a non-physical Goal:

(6) He [THEME] […] fell [Motion_directional] into blackness, [GOAL] down… down… down…

This overall picture is apparently contradicted by the figures for the transitivity patterns with Harry as 'doer', which show a high percentage of material Processes (cf. Table 6). Characters frequently playing the role of Actor are generally perceived as capable of influencing external reality, especially when their material Processes are directed towards a Goal (Ji and Shen 2004), as is the case in 8 out of the 13 occurrences in the text under examination. However, relying on quantitative data only, in this case, would be misleading: a close reading of the text reveals that 5 material clauses (4 Goal-

directed) are not relevant to Harry's characterisation, being part of Voldemort's direct speech; another 4 clauses (1 Goal-directed) contain modal operators or verbal group complexes representing Harry as being unable to effectively carry out the action. The protagonist is a 'full-fledged' Actor only in the remaining 4 material clauses, the first of which actually construes his critical condition: a part of his own body acting against the rest, which is *perspectivised* (in FS terms) as Goal.

(7) Harry's scar [Actor] was almost blinding [material] him [Goal] with pain [circumstance]

Towards the end of the passage, Harry recovers some strength, and is finally able to direct his physical actions against his enemy. However, in (8) below, the perspective on the event includes a circumstance (*by instinct*) which, once again, signals that his actions are unplanned, almost accidental.

(8) Harry [Actor], by instinct [circumstance], reached [material] up [circumstance]

(9) and grabbed [material] Quirrell's face [Goal]

(10) Harry [Actor] […] caught [material] Quirrell [Goal] by the arm [circumstance]

In the final part of the text, however, the transitivity patterns point to Harry's imminent defeat: 4 mental clauses follow, in which Harry acts as Senser. The first two are modulated, respectively, in terms of inability and limited ability (*he <u>couldn't see</u>*; *he <u>could only hear</u> Quirrell's terrible shrieks*, cf. also (4) above). In the final sentence, which includes two mental clauses, Harry acknowledges his critical condition:

(11) He [Senser] felt [mental: perception] Quirrell's arm wrenched from his grasp [Phenomenon], knew [mental: cognition] all was lost and fell into blackness

Space precludes a detailed discussion of the antagonist's characterisation, but at least three elements can be identified that construe his dominant position. First, Voldemort is always represented as capable of performing the actions he plans, even if he has no body of his own: he always acts within positive Capability frames, and none of the Processes that involve him as 'doer' is modulated in terms of incapacity. Second, he never takes on the role of Goal, only Quirrell does: the linguistic structures portray him as being somewhat detached from the *hic et nunc* of the events, as he watches his servant sacrificing himself. Finally, the numerous verbal Processes featuring him as Sayer (all evoking the Communication frame in FS) are marked by a semantic component of violence (cf. Tables 3 and 7) suggesting that voice and words are his only weapons, and they suffice.

4.2 Frames and Process types in DH

In *DH*, the analysis of Harry Potter's agentivity patterns in FS terms shows again a higher number of verbs activating the Perception_experience frame, previously interpreted as an indicator of the protagonist's condition of weakness (cf. Table 4). The gap between conscious and passive perception is still significant, with only 1 occurrence of Perception_active against 6 occurrences of Perception_experience. Qualitative analysis, however, once again suggests a different interpretation of the data. Negative polarity structures disappear, so that Harry is always portrayed as able to effectively carry out perceptual activities. Furthermore, while in *SS* passive perception takes place mainly through the visual channel (cf. the 7 occurrences of *see* in Table 2), in *DH* it is

mostly introduced by the verb *feel*, suggesting an almost telepathic connection with the antagonist:

(12) Harry [PERCEIVER_PASSIVE] could [Capability] feel [Perception_experience] the curse coming [PHENOMENON]

This consideration is supported by the fact that the verb occurs with Harry as subject only as long as Voldemort is alive: after his death, the connection is inevitably broken. This may indeed be interpreted as a natural consequence of the progression of the story; yet, it becomes noteworthy within a linguistic analysis, where the analyst's commitment is "[…] to distance the text, and respond to the language: to focus out the background, and let the words and structures speak for themselves" (Halliday 2002 [1982]: 146). At the moment of maximum tension, i.e. when the two characters cast their spells, *feel* is replaced by *hear* and *see* as Perception-evoking units: these have the effect of portraying Harry as an external, almost detached observer. The rhythm of narration consequently slows down:

(13) Harry [PERCEIVER_PASSIVE] heard [Perception_experience] the high voice shriek [PHENOMENON]

(14) Harry [PERCEIVER_PASSIVE] saw [Perception_experience] Voldemort's green jet meet his own spell [PHENOMENON]

The now mutual intuition also implies a new, more symmetrical relationship between the characters.[7] Contrastive patterns between Perception_active and

[7] Indeed, their power hierarchy appears overturned from the very beginning: the first sentence stresses the contrast between Voldemort, whose hand is *trembling* on the Elder wand, and Harry Potter, who holds his *very tightly* (with a meaningfully perspectivised circumstance of Manner).

Perception_experience frames seem particularly revealing when the analysis focuses on the evolution and the psychological transformation of a fictional character. As noted, Potter assumes the role of Perceiver_agentive only once in the text, i.e. after Voldemort's death has been explicitly announced. He has done nothing to kill him, thus preserving his purity: he has chosen to cast a disarming spell, not a mortal one, and has merely observed the subsequent events. Only in the final sentence does he realise that he is the winner at last:

(15) staring [Perception_active] down [DIRECTION] at his enemy's shell [PHENOMENON]

The protagonist's maturation is confirmed by the use of other numerically significant frame categories. The verbs evoking the Communication frame generally indicate calmness and self-control (cf. Table 4): Harry spends more time talking to Voldemort, he calls him by his true name (Tom Riddle), he *says* and *whispers*, rather than *screaming* as he did in *SS*. The Manipulation frame is in turn activated by verbs such as *catch, grip*, and *point*, all referring to concrete actions performed by Harry on or with the wand: a tool he never uses in *SS*.

Turning now to the transitivity patterns, for reasons of space discussion will focus on the material Processes involving Harry as Actor (cf. Table 8), as the results of analysis overlap as far as Perception_experience frames and mental Processes of perception are concerned; let us only add that the higher frequency of perceptive *vs.* cognitive mental Processes, closely corresponding to the figures for Perception_experience *vs.* Awareness frames (Table 4), highlights Harry's decision to exploit his senses rather than his cognitive faculties. As Table 8 shows, in *DH* Harry is much more frequently Actor than Behaver (in the data from *SS*, the two Process types are almost equally

represented), and, even more importantly, he cannot be said to be a 'pseudo-Actor': the material Processes he carries out are always effective, and almost always directed towards external Goals, including other characters:

(16) `I [Actor] overpowered [material] Draco [Goal] weeks ago [circumstance]`

Example (16) is taken from the protagonist's direct speech: the increase in Harry's self-confidence is highlighted by the choice of the verb *overpower*, and by the perspectivised temporal circumstance that provides additional information about Harry's past actions, with a sort of 'surprise' effect. Harry takes on the role of Behaver only after Voldemort's death, in the sentence *Harry stood with two wands in his hand, staring down at his enemy's shell*.

As far as Voldemort is concerned, Table 9 shows again a prevalence of material Processes, whose function is, however, that of signalling his defeat. Leaving aside the 7 occurrences within quoted locutions, analysis focuses on the remaining 6: 2 refer to his state of anxiety (*Voldemort's chest rose and fell rapidly*), while the other 4 simply describe the movements of his lifeless body after the spell (e.g. *Tom Riddle hit the floor with a mundane finality*; *the slit pupils of the scarlet eyes [were] rolling upward*). Relational and behavioural Processes, which are also numerically relevant, express the same general meaning: out of the 6 relational Processes, 4 delineate the image of Voldemort's *shell*, while behavioural Processes emphasise his lack of self-control. Other two factors contribute to overturning the power hierarchy construed in *SS*. First, almost half of the Processes involving Voldemort (11/25) are characterised by meronymic agency, which, by contrast, disappears from Harry's patterns of agentivity. Second, Voldemort never takes on the role of Senser within a mental clause: this

suggests that Harry is the only one to take advantage of the telepathic connection hypothesised above. The analysis in terms of frames (for which cf. Table 5) supports this view. The LUs evoking Motion and Appearance are part of the broader scenario of Voldemort's death (e.g. *the snakelike face [was] vacant and unknowing*). As far as Transitive_action is concerned, all the verbs activating it (*kill*, *murder* and *remove*) appear within Voldemort's quoted locutions recounting his *past* actions. The following occurrence of *kill* was not included in the analysis, as here Voldemort is the grammatical subject, not the logical one (Halliday and Matthiessen 2014: 80-82), but we consider it now, as it plays a key role:

(17) Voldemort [VICTIM] (…) was killed [Transitive_action: Killing] by his own rebounding curse [KILLER]

The chosen perspective puts Voldemort into the VICTIM's (or Goal's, in terms of transitivity) slot, at the same time highlighting the fact that it is his own curse, not Harry's, that plays the role of Killer. The story comes full circle, but Harry was only a baby when it began, while he is an adult now that it ends.

5 Conclusions

The analysis of two excerpts from the first and the last book in the *Harry Potter* series presented in this paper has explored patterns of agentivity in a functional/semantic perspective, combining the tools of FS and SFL transitivity. The value of FS as a stylistics tool, which we hypothesised at the beginning, was confirmed by its having been juxtaposed with the SFL model, which has been more frequently and systematically applied to the stylistic study of literature. Within each text, quantitative and qualitative analysis showed that the frames/Process types in which protagonist and

antagonist are involved work towards their characterisation, construing a clearly asymmetrical power relationship. From the temporally prior text to its sequel, differences in the frames/Process types highlight Harry Potter's evolution, and Voldemort's parallel involution, with a radical change in their power hierarchy, thus also qualifying the saga as an 'extended' *bildungsroman*. How so? In *SS*, Harry Potter is presented as either a passive or incomplete agent, mainly through Perception_experience and Capability frames coupled with negative polarity, and material Processes strongly marked for inability/limited ability; at the same time, Voldemort's aggressiveness and determination are underlined by the lexical verbs activating his Communication frames/verbal Processes, coupled with an extensive use of positive polarity. In *DH*, by contrast, negative polarity disappears in relation to Harry Potter, and *feel* becomes the primary frame-evoking LU in his Perception_experience frames/mental Processes, signalling a telepathic connection with Voldemort. Moreover, Harry becomes a fully capable Actor within a comparatively high number of (mainly Goal-directed) material Processes.

Concerning our dual approach, although further research is surely needed, this case study has suggested a compatibility between the models adopted. It is true that theoretical/methodological differences emerged between them, the most evident being the wide number of individual frames identified by FS, as opposed to the limited number of transitivity categories. This inevitably means idiosyncrasy in analytical procedure: an FS-based analysis tends to be more extensive, and starts at a deeper level of delicacy, while a transitivity analysis more readily prompts meaningful generalisations to be further investigated. However, far from being a constraint on the simultaneous application of the models in the study of literature, such distinction results in often complementary perspectives on the data, enriching the analyst's 'toolkit'. At

the same time, our results also highlighted a set of correspondences between frames and transitivity categories, as is the case with Perception/Communication frames on the one hand, and mental/verbal Processes on the other. On this basis, the FrameNet database may be used as a resource for disambiguation and verb classification in transitivity analyses, thus also improving accuracy/consistency. Finally, our findings suggest that the FS notion of perspective on an event can be fruitfully incorporated into the study of transitivity patterns, in order to stress the figure/ground logic linking the syntagmatic and the paradigmatic planes and its effects on the reader's reception. Indeed, a very interesting and stimulating way to test our findings and also engage the attention of young language learners would be to use the two models in teaching the coming-of-age of Harry Potter to non-native speakers: a research path on which we may well go from here.

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