

The Use of Modal Devices for Volition (Intention) and Prediction in “*The Lord of the Rings*”: Looking inside the Mind of J. R. R. Tolkien through the Main Protagonist, “Frodo”*

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Abstract

This study attempts to analyze modal devices used by Tolkien through the main protagonist, Frodo Baggins, in the novel *The Lord of the Rings* to reveal how modal devices reflect Frodo’s psychological changes in the course of the story. It is believed that the character, “Frodo”, was created in the traumatically driven mind of the author himself, who suffered from his

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experiences in World Wars I and II (Manners, 2006). Modality is the semantic notion that covers a broad range of semantic senses expressed by the speaker, including the notion of volition (intention) and prediction. These modal senses can be expressed through the use of modal devices (Bybee & Fleischman, 1995; Frawley, 2005). The author's use of modal devices allows him to express himself through the main protagonist's speeches and thoughts. Thus, Frodo's psychological changes as the story progresses can be observed through the author's use of modal devices. The theoretical framework used in this study was adapted from Quirk's grammatical framework of modal auxiliaries (1985) and Halliday and Matthiessen's semi-modal systems (2014). The comparative results of modal usage from the beginning to the end of the story were created using the frequency of modal devices. It was found that the use of volition can reveal Frodo's inner determination, while the use of prediction shows a part of Frodo's anxiety.

Keywords: J. R. R. Tolkien; modality; the Lord of the Rings; volition; prediction; World Wars

การใช้ทัศนภาวะแสดงความตั้งใจและการคาดเดา ในวรรณกรรมเรื่องเดอะลอร์ดออฟเดอะริงส์: การมองสภาพ จิตใจของเจ. อาร์. อาร์. โทลคีน ผ่านตัวละครหลักโฟรโด*

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บทคัดย่อ

จุดประสงค์หลักของงานวิจัยนี้คือ เพื่อศึกษาการใช้คำแสดงทัศนภาวะ (modal devices) ของโทลคีนจากนวนิยายเรื่องเดอะลอร์ดออฟเดอะริงส์เพื่อศึกษาความเกี่ยวข้องระหว่างการใช้คำแสดงทัศนภาวะกับการเปลี่ยนแปลงนิสัยของโฟรโดซึ่งเป็นตัวละครเอกของเรื่อง นักจิตวิทยานามว่า Manners (2006) เชื่อว่าโทลคีนสร้างโฟรโดขึ้นมาเพื่อถ่ายทอดประสบการณ์สมัยสงครามโลกของเขา ทัศนภาวะ (modality) ถือเป็นอรรถศาสตร์ที่ครอบคลุมความหมายหลายๆ ด้าน เช่น ความตั้งใจ (volition) และการคาดเดา (prediction) ความหมายที่แสดงทัศนภาวะเหล่านี้สามารถแสดงออกได้ด้วยการใช้คำแสดงทัศนภาวะ การใช้คำแสดงทัศนภาวะของผู้เขียนใน

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เพื่อถ่ายทอดความหมายดังกล่าว สะท้อนให้เห็นถึงความสัมพันธ์ระหว่างตัวผู้เขียนกับโฟรโต รวมถึงการเปลี่ยนแปลงทางสภาวะจิตใจของโฟรโตขณะที่เนื้อเรื่องดำเนินไปด้วยได้มากกว่าความหมายด้านอื่นๆ กรอบความคิดเรื่องการแบ่งประเภทคำแสดงทัศนภาวะในงานวิจัยนี้ประยุกต์มาจากกรอบแนวคิดการวิจัยเกี่ยวกับทัศนภาวะของ Quirk et al. (1985) และกรอบแนวคิดการวิจัยเกี่ยวกับทัศนภาวะของ Halliday กับ Matthiessen (2014) จากผลการเปรียบเทียบจำนวนคำแสดงทัศนภาวะที่ใช้ตั้งแต่ต้นเรื่องถึงท้ายเรื่อง พบว่าทัศนภาวะด้านความตั้งใจ (volition) เผยให้เห็นความตั้งใจที่แท้จริงของโฟรโต และทัศนภาวะด้านการคาดเดา (prediction) แสดงให้เห็นถึงความกังวลบางส่วนของโฟรโต

คำสำคัญ: เจ. อาร์. อาร์. โทลคีน; ทัศนภาวะ; เดอะลอร์ดออฟเดอะริงส์;
ความตั้งใจ; การคาดเดา; สงครามโลก

1. Introduction

Among all the novels that were published during the World Wars, Tolkien's work stands out for its being work of pure fantasy, in contrast to most of the novels of this time, which were related to reality. Despite the difference, *The Lord of the Rings* is one of the best-selling novels ever written, with over 150 million copies sold (Wagner, 2007). Tolkien had been through the experience of both World War I and II. Later, he implied that in his novel, *The Lord of the Rings*, Frodo also shared the same experience (Bloom, 2008; Manners, 2006; Tolkien, 2000). Other authors who have had such experiences undeniably suffered from horrible memories from the wars, so they found a way to heal the trauma with the purpose of re-balancing themselves (Willbern, 2013). From the psychoanalytic perspective, Manners (2006) believed that Frodo's characteristics were created based on the author's experiences in World Wars I and II, and she found that his suffering was increasingly portrayed throughout the story.

There are numerous literary studies of Tolkien's works, but only a few studies focus on linguistic devices. Drout & Wynne (2000, p. 123) argued that the "biggest failing in Tolkien criticism is its lack of discussion of Tolkien's style, his sentence-level writing, his word choice and syntax". Drout (2004, p. 155) also encouraged other academics to do productive research on Tolkien's works, as he believed that Tolkien "has ability to produce aesthetic effects simultaneously on multiple levels". So far, most of the criticism has not been based on the linguistic devices that were used in the novels. Most studies in the literary field put the weight on the subject, symbolic meaning, and fantasy setting of the story, and linguistic research studies on Tolkien's works are still limited.

This study attempts to investigate modal devices that convey volition (intention) and prediction in the speeches and thoughts of the main protagonist, Frodo, using adapted frameworks from Quirk's grammatical framework of modal auxiliaries (1985) and Halliday and Matthiessen's modality framework (2014). The two modal meanings, volition (intention) and prediction, were the main focus of the study because they are the prominent modal meanings which reflect Frodo's psychological changes more than other modal meanings. This study was conducted in the hope of helping the reader to understand the Tolkien's intention in using modal devices in Frodo's speeches and thoughts. Different types of modal devices reflect different modal meanings. For example, the use of 'will' in "*we will go together*" reflects the speaker's volition to take action with others, while 'will' in "*it won't be done by sitting and thinking*" reflects the speaker's prediction about the proposition. The author's modal choices are used strategically to allow the reader to see into the mind of the character in a novel.

The main research questions that this study seeks to explore are as follows:

1. What is the frequency of modal devices that convey volition and prediction in Frodo's speeches and thoughts?
2. How do modal devices that convey volition and prediction reflect Frodo's psychological changes throughout the story?

2. Literature Review

2.1 The Beginning of Fantasy Literature in the 20th Century

Most fantasy novels in the beginning of the 20th century were not easily accepted as they were at odds with realism, social awareness and the issues that arose during World Wars I and II. These issues were related to race, gender and life in industrialized society and reflected the difficulties during the war (Pope, 2002; Shippey, 2003; Reid, 2009). In *The Lord of the Rings*, a work of Tolkien in the fantasy genre, he related a story about a journey in an imaginary world. It became immensely popular in the 1960s and has remained so ever since, ranking as one of the most popular works of fiction of the 20th century. However, his works did not deal with issues deemed important in society at the time and they were bitterly criticized for being unrealistic, and the characters in the story were also considered flat or shallow (Jenkyns, 2002; Lee, 2014; Shippey, 2002; Wilson, 1956).

In academic studies, modality has been used to analyze the relationship between the characters in a novel (Leon, 2001), or identify the narrator's attitudes and point of view in the story (Parina & Leon, 2014). However, only a few studies of Tolkien's works deal with linguistic devices (Drout & Wynne, 2000; Drout, 2004); most focus on symbolic meaning and the fantasy setting of the story.

2.2 The Effects of the World Wars on Tolkien

The effects of World Wars I and II left the survivors dealing with traumatic memories. Many authors who had been through the wars were

unable to speak about their experiences directly to the reader, so they used techniques of expressing their experiences through the characters in the story to re-balance their minds. One of their techniques was to allow the reader to feel that experience from the character's perspective. Examples of authors who did this are Stephen King, who related the story of a traumatized writer in *Misery*, Tim O'Brien, who wrote a novel recording his experiences in Vietnam called *The Things They Carried*, and Toni Morrison, who wrote about issue of slavery in *Beloved* (Willbern, 2013).

Tolkien himself served in World War I, but *The Lord of the Rings* is a fantasy novel that was written during World War II. He acknowledged that his writing could have been affected by his painful experiences during the world wars. Thus, his experiences in the wars are heavily implied in the story, indicating that Frodo and, indeed, Tolkien himself, had been through the same experiences (Bloom, 2008; Manners, 2006; Tolkien, 2000).

2.3 Frodo's Characteristics from a Psychological Perspective

Tolkien gave a hint about the real relationship between his life facts and his work as he compared himself to the Hobbit (Tolkien, 2000). Frodo had a mission to destroy the Ring; it was the source of evil and had ability to lure others to possess it. Originally, he travelled in a large group so he would be protected from the enemy. But later he and Sam, his faithful servant, had to leave the group because the other members wanted to get the Ring from him. The mission demanded strength of body and mind, which he did not have; thus, he sensed that he would fall into the temptation of the Ring and fail. Tolkien explained that it was Frodo's kindness towards and forgiveness of Gollum, who is the antagonist, which made it possible for the mission to

succeed. Because he allowed Gollum to join the group, the Ring could, finally, be destroyed.

Some critics disapproving of *The Lord of the Rings*, said that the characters were simple-minded, meaning that they seemed not to have complex thoughts and that they did not change in the course of the story. Tolkien argued that those critics did not see the development of the characters, for he claimed that the characters would eventually face their internal struggles. Manners (2006) believed that Frodo was created for the reason that the author had suffered from his experiences in World War I. From the psychoanalytic perspective, Frodo experienced anxiety about the mission to destroy the Ring, which led to his depressed psychological state. Frodo developed a defense against this anxiety by drawing a line between good and bad objects, believing that good must always be good and bad must stay evil. But later, he realized that good objects are flawed and that a bad person could do good things. Thus, his mind was in conflict and his suffering increased both physically and psychologically as the story went on.

2.4 The General Study of Modality

Modality is the semantic notion that includes several semantic senses, such as permission, obligation, volition, possibility, necessity, and prediction, which can be expressed by modal devices, such as modal auxiliaries and adverbs. (Biber et al., 1999; Bybee & Fleischman, 1995; Frawley, 2005; Halliday, 2014; Quirk et al., 1985; Leech, 2004; Simpson, 1993). A modal framework was chosen in this study because it can reveal the speaker's beliefs and opinions concerning propositions (Simpson, 1993). There are two types of modality: deontic and epistemic. Deontic modality shows the speaker's

responses to the requirements regarding the performance of certain actions. On the other hand, epistemic modality indicates the speaker's confidence, or lack of confidence, about the truth of the events or states (Coates, 2003).

There are some similarities and differences between Quirk's (1985) and Halliday's modal framework (2014). Quirk et al. (1985) defined modality as a semantic feature of the verbal group, thus the modality system only included modal auxiliaries. However, Halliday (2014) commented that modality may also be marked by semi-modals such as 'be going to'. Additionally, modal auxiliaries could be used in expressing both deontic and epistemic meaning. Quirk et al. (1985) explained that the same modal auxiliaries are used for both modal meanings depending on their context; for example, 'will' can be used for both volitive and predictive senses. In this study, volition is a part of deontic modality and prediction is a part of epistemic modality. Both senses can be expressed by the modal auxiliaries, 'will', 'would', 'shall' and semi-modals 'be going to', which are the main focus of this study.

2.4.1 Deontic Modality - Volition (intention)

Volition (intention) refers to an act of deciding inwardly upon some actions that the speaker proposes to do in the near future (Biber et al., 1999; Leech, 2004; Quirk et al., 1985). Volitive sense can be expressed by the modal auxiliaries, 'will', 'would', 'shall' and semi-modal 'be going to', such as "I shall cross the River myself one day" and "I will take Sam to visit the Elves".

2.4.2 Epistemic Modality - Prediction

Prediction refers to an observation about future reference in propositions (Biber et al., 1999; Leech, 2004; Quirk et al., 1985). Predictive sense can be expressed by modal auxiliaries 'will', 'would', 'shall' and semi-modals, such as 'be going to'. There are three related uses of 'will', 'would' in

prediction: present prediction, timeless statements and habitual prediction (Quirk et al., 1985). Firstly, present prediction is a comment about future reference, for example, *“If I just vanish like Bilbo, the tale will be all over the Shire in no time”*. Secondly, a timeless statement predicts the truth of the propositions, which are usually used to state the quasi-scientific fact, for example, *“If litmus paper is dipped in acid, it will turn red”*. Thirdly, habitual prediction often occurs in conditional sentences, when describing the personal habits or characteristic behaviour, for example, *“Every morning he would go for a long walk”*.

Volition (intention) and prediction are determined by the contexts around modal devices. While volition (intention) shows that the source of authority is conceived and characterized, prediction portrays that the speaker is influenced by the surroundings described in the contexts. In other words, volition (intention) expresses how the speaker's expressions impact the event in the propositions, whereas prediction shows how the event or state in the propositions influence the speaker's expressions.

3. Research Methodology

3.1 Data Collection

The source of the data was from e-books published by HarperCollins e-books in 2009 and distributed by Amazon.com. This novel has three volumes. Volume 1 has Books 1 and 2; Volume 2 has Books 3 and 4; and Volume 3 has Books 5 and 6. The selected books were: Volume 1 - Books 1

and 2, Volume 2 - Books 4, and Volume 3 - Book 6. This was because Frodo appears only in Books 1, 2, 4, and 6.

Frodo's speeches and thoughts were selected because it was believed that there were some connections between Frodo and Tolkien in their psychological views (Manners, 2006). Leech and Short (2007) explained that the modes of speech and thought presentation can expose the thoughts of characters; thus, types of speech and of thought representations (direct speech, indirect speech, direct thought, and indirect thought) were included. However, monologs that could be taken to express Frodo's thoughts were not included in this analysis, for it is difficult to separate clearly whether the thoughts were those of Frodo himself or of Tolkien. The data collection was conducted by using the search function in the e-book reader. It is possible that the word '*Frodo*' did not appear in the context when he interacts with other characters, or when the narrator described his actions and feelings. By searching for the word '*Frodo*', the researcher could retrieve most of the speeches and thoughts of Frodo. Then the researcher checked the context, especially in the questions and responses, to find the pronouns that referred to Frodo. Overall, the number of occurrences of all modals in Frodo's conversations was 826, and the total number of occurrences of modals indicating volition (intention) and prediction was 328.

3.2 Data Analysis

The purpose of this study was to investigate how modal devices were used strategically throughout the story in reflecting of the mind of Frodo concerning his desire, intention, and confidence concerning his propositional statements.

Firstly, modal devices in speeches and thoughts describing Frodo's actions and feelings were identified and categorized into deontic and epistemic modalities. This study only focused on the use of volition (intention) and prediction because they showed the distinct modal meaning relating to Frodo's changes throughout the story. The framework was adapted from the work of Quirk et al. (1985). It focused on the systematic description of modal auxiliaries. In this study, Halliday and Matthiessen's (2014) framework was also integrated. This widened Quirk et al.'s original selection of modal choices and included other lexical items, such as semi-modals as modal devices to explore modality in the wider area. The adapted framework was as follows:

Volition (intention): The typical sentence structure that expresses deontic modality had a human-related subject (*'I', 'you'*) and usually used a dynamic verb, which is a verb that describes an activity or event that can be controlled in momentary event (e.g., *'swim', 'go'*) (Biber et al., 1999). The intention sense can be expressed by the modal auxiliaries of *'will', 'would', 'shall'* and the semi-modal *'be going to'* (Frawley, 2005; Halliday, 2014; Krug, 2000; Quirk et al., 1985; Simpson, 1993). The criteria, which were adapted from Quirk et al. (1985) and Leech (2004), for this sense, were as follows:

- The structure for modal auxiliaries was: *'first or second person pronoun + 'will', 'would' + dynamic verb'* and *'first person pronoun + 'shall' + dynamic verb'*. For example, *"We will go together", "I shall be moving this autumn"*.

- The structure for semi-modal is *'first or second person pronoun + 'be going to' + dynamic verb'*. For example, *"I am going to find such a way if I can"*.

Prediction: The typical sentence structure that relays epistemic meaning usually involves an inanimate subject (e.g., *'it', 'the building'*) and/or a stative verb, which is a verb that expresses existence or a state or condition

that continues over a period of time (e.g., 'be', 'have') (Biber et al., 1999). Prediction can be expressed by the modal auxiliaries 'will', 'would' 'shall' and semi-modals, such as 'be supposed to', 'be going to' (Halliday, 2014; Simpson, 1993). The criteria of this sense were adapted from Quirk et al., (1985) and Leech (2004), as follows:

- The structure for the modal auxiliaries, 'will', 'would' with a sense of present prediction, timeless statement, and habitual prediction was *'third person pronoun, animate, or inanimate subject + 'will', 'would' + dynamic verb'*. For example: "*Though you know it would drive you mad*" (present prediction); "*Oil will float on water*", "*a lion will attack a human being only when hungry*" (timeless statement); "*Every morning he would go for a long walk*", "*she'll sit on the floor quietly all day*" (habitual prediction).

- The structure for the modal auxiliaries, 'will', 'would', 'shall' with a sense of present prediction was *'third person pronoun, animate, or inanimate subject + 'will', 'would' + stative verb'* and *'first person pronoun + 'shall' + stative verb'*. For example: "*He will be delighted*"; "*The dogs would be told to see him off*"; "*We shall always be grateful*"; "*It will not seem the same; for I shall not be the same*".

- The structure for 'would', 'shall' with perfective aspect was *'first, second, third person pronoun, animate, or inanimate subject + 'would' + 'have' + past participle'* and *'first person pronoun + 'shall' + 'have' + past participle'*. For example: "*They would have said it at home*"; "*The guests would have arrived by that time*"; "*We shall have left the Downs before the sun sets*".

- The structure for semi-modals was *'third person pronoun, animate, or inanimate subject + 'be going to' + stative verb'*. For example: "*It is going to be very dangerous*".

Secondly, in order to analyze the connection between modal devices and the development of Frodo's speeches and thoughts towards the propositions, the comparative results of modal usage from the beginning to the end of the story were created using the number of occurrences of volition (intention) and prediction.

Finally, the number of occurrences of the modal devices was viewed together with the major events in the story. This allowed us to see when Frodo used, or did not use, such modal devices. Then the findings were analyzed and interpreted.

4. Results and Discussion

4.1 Modal Devices in Conveying Volitive and Predictive Senses

Overall, the epistemic modality appeared more than deontic modality, which is common in fiction (Biber et al., 1999). The results show that Frodo used the word '*will*' the most in expressing both epistemic and deontic meanings.

Table 1.

The occurrences of modal devices in Prediction and Volition

Epistemic - Prediction			Deontic - Volition (intention)		
Will	101	(30.79%)	Will	74	(22.56%)
Would	57	(17.37%)	Shall	40	(12.19%)
Shall	26	(7.92%)	Would	18	(5.48%)
Be going to	4	(1.21%)	Be going to	8	(2.43%)
Total	188	(57.32%)	Total	140	(42.68%)

This is not surprising given that *'will'* is the most frequently used modal device in conversations (Biber et al., 1999). *'Would'* ranked second in epistemic meaning. Since the data was collected from conversations, *'would'* in epistemic meaning is usually used for tentativeness rather than being the past tense form of *'will'*. Frodo uses *'would'* to soften his observation, for example, *"It would be the death of you to come with me,"* (p. 503) said after Sam insists on following him. *'Would'* also often appears with perfect aspect to describe something that did not happen in the past, for example, *"The Quest would have been in vain, even at the bitter end,"* (pp. 1239-1240) was said when the objective of the mission had been achieved as the Ring was already destroyed. *'Shall'* ranked the third in prediction; it was uncommon. *'Shall'* could be used to express Frodo's feelings, for example, the sentence *'If there are no worse things ahead than the Old Forest, I shall be lucky,'* (p. 144) conveys his uneasiness before entering the Old Forest, which was the evil forest that had a mind of its own and misled travelers. *'Be going to'* ranked last, indicating that it was not commonly used to mark prediction (Biber et al., 1999). In this story, it was used to describe an upcoming event or state, for example, *"It is going to be very dangerous, Sam,"* (p. 113) said when Frodo warns Sam not to follow him on the mission.

In the deontic meaning, expressing the volition (intention), *'shall'* ranked second. *'Shall'* is usually found in volition (Biber et al., 1999) as it is used to express a strong feeling that the subject must do something as a duty (Weiner & Delahunty, 1995), for example, *"I am commanded to go to the land of Mordor and, therefore, I shall go"* (p. 833) was said when Frodo showed a strong determination to enter the gate of Mordor, the land of enemy. In the third rank, *'would'* was used to express volition (intention) in a few cases, since it usually conveyed tentativeness from the speaker. Frodo uses *'would'* mostly when he is talking with a person of high status, for example, *"I would ask one*

thing before we go" (p. 476) was said when Frodo was speaking with the Elf Queen. Finally, in fourth rank in volition (intention) was *'be going to'*. Although it appeared only a few times, it is common to find *'be going to'* in volition rather than prediction (Biber et al., 1999). In the volition sense, the semi-modal *'be going to'* is used when the speaker has already decided about his action in the future (Leech, 2004), for example, *"I was going to find a way into Mordor,"* (p. 891) says Frodo when tells the captain knight about his mission.

In a comparison between volition (intention) and prediction, prediction was found throughout the story. There were a few times that prediction and anxiety occurred in the same sentence as prediction can hardly be separated from anxiety. Anxiety is a feeling of worry, typically about something with an uncertain outcome. Frodo's anxiety, which is the source of his depressed psychological state, could be seen in some part of prediction. Among the 188 occurrences of prediction, Frodo's anxiety is expresses in his own prediction in 41 occurrences (21.8%). For example, *"I wonder how long it will be before we really are caught,"* (p. 1212) which he says when he and Sam escape from the enemy tower after getting captured. By expressing prediction, *'will'*, *'would'*, *'shall'*, and *'be going to'* are used to predict that a proposition will be true at some future time (Biber et al., 1999). *'Will'* and *'would'* are very common in conveying prediction, while *'shall'* and *'be going to'* are uncommon (Biber et al., 1999).

On the other hand, volition (intention) indicates that Frodo has a course of action that he proposes to follow. Although it is known that Frodo had the mission to destroy the Ring, the use of modal devices show that he had not planned to accomplish it. There are two different meanings of *'will'* and *'be going to'* in conveying volition. Firstly, *'will'* is used at the time the speaker reaches a decision, whereas *'be going to'* is used after the speaker has already

made a decision and has a strong intention to carry it out (Leech, 2004). Secondly, in some contexts, the semi-modal *'be going to'* may convey two meanings: prior intention and current activity leading to a future event (Leech, 2004). Frodo uses *'will'* most of the time to express reaching a decision related to the mission, for example, *"But I do not choose now to do what I came to do. I will not do this deed. The Ring is mine!"* (p. 1237) said when Frodo changes his mind suddenly the moment he has to throw the Ring into lava to destroy it, whereas he uses *'be going to'* a few times when he had planned to reach the place, for example, *"I am going to make for Bucklebury Ferry as quickly as possible"* (p. 114). The author possibly intended to use *'will'* instead of *'be going to'* because he wanted to show that Frodo had not made the decision to complete the mission. The explanation for Frodo's reluctance could be that his journey does not feel like a great adventure to him, as it is an impossible task. If he refuses to do this task, evil will infiltrate his peaceful home; therefore, he has to get out of his homeland. This is similar to the young men who were forced to fight in World War I in order to prevent evil from coming to their homeland. Thus, Frodo must start the journey even if he does not intend to finish it.

Additionally, the use of *'shall'* differs from the norm as *'shall'* is normally used to convey prediction more than volition in fiction (Biber et al., 1999; Gotti, 2003). It is possible that when *'shall'* is used, it implies a promise when used with a first person pronoun and a threat when used with a second person pronoun, for example, *"If I fail. I shall not run away,"* said when Frodo volunteers to get Gollum and promises the knight he will not run away if he fails, or *"You shall have neither the Ring nor me,"* said when he faces the enemy who tries to get the Ring from him. It could be said that Tolkien particularly intended to use the modal auxiliary *'shall'* to show Frodo's strong feeling in giving promises or threats, emphasizing his firm determination in this story to

show that, although Frodo is reluctant to complete his mission, he expresses strong determination when it is needed.

4.2 The Development of Frodo's Expression of Volition and Prediction in The Story

Although it is common to find prediction more than volition in fiction (Biber et al., 1999), the comparison between volition (intention) and prediction in Figure 1 shows that volition (intention) sometimes occurs more than prediction in the course of the story. The discussion of the shaded areas in Figure 1 is divided into seven parts. The parts chosen for comparison of the frequency of volition (intention) and prediction were parts in which the difference between the occurrences of the two types of modal was more than three.

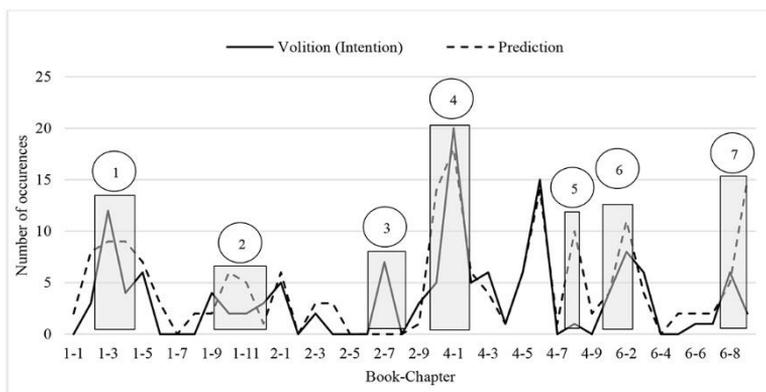


Figure 1. The use of volition (intention) and prediction in time

It appears that in part 1, volition (intention) occurs more than prediction because it is where Frodo finally decides to start his journey after hesitating for a long time. Modal devices in volition (intention) ('*shall*', '*will*', '*be*

going to) occur 12 times in total, whereas modal devices in prediction (*'shall'*, *'will'*, *'would'*, *'be going to*) occur nine times in total. Tolkien created a contrast between his home and the road, showing that his home was the symbol of stability and security, while the road meant unpredictability and vulnerability. This was the reason why Frodo was reluctant to travel. For example, *"I can't bear any more hanging about. I am going to start,"* said after Frodo stops hesitating to start his journey.

Part 2 is where the researcher observed that prediction occurred more than volition (intention). Modal devices for prediction (*'would'*, *'will'*) were found six times in total, compared to modal devices for volition (intention) (*'will'*), which that was only found once. This happened when Frodo and friends met a man, Aragorn, who claimed to be their friend. Frodo was skeptical about whether he was friend or foe. At the same time, he found that he was being chased by evil. Frodo makes predictions to show his assessment of the situation. The reader can see his mind is wavering as he is feeling vulnerable, for example, *"you will be in danger as long as I am in your house,"* which was said to the hotel owner when Frodo found that the enemy had followed him, or *"It would be a great comfort to know that he was on the way, in front of us or behind us,"* said after he thought about his wizard friend who could aid him on his journey.

Part 3 contains more volition (intention), while prediction is reduced to zero because this is the 3 part where the group travelled to Lórien, which is the Elf city, after Gandalf, the wizard, who had helped Frodo from the beginning, is assumed to be dead. Modality was not expressed for some time because there were too many characters. Frodo's speeches and thoughts were pushed aside. But in Part 3 he finally has time alone with Sam and seeks advice from Galadriel, the Elf Queen, about the future, for example, *"What shall*

we look for and what shall we see?". Modal devices in volition (intention) ('*shall*', '*will*', '*would*') appear seven times in total.

Part 4 is where Frodo decides to leave the group and continue his journey with Sam. Modal devices for volition (intention) ('*shall*', '*will*', '*would*', '*be going to*') are found 21 times in total, while modal devices for prediction ('*will*', '*shall*', '*would*') are found 18 times in total. The departure is a big decision made by Frodo since he will have to travel and continue the mission to destroy the Ring alone. He tries to convince himself by stating his decision strongly, for example, "*It is plain that we were meant to go together. We will go, and may the others find a safe road!*" which he says when Sam insists on going with him when he left the group and Frodo finally allowed him to go along. After leaving the group, Frodo and Sam go to Mordor, the place where the Ring can be destroyed. When there are only two characters interacting with each other, there are more opportunities for them to express modality. Frodo expresses modality freely in talking about their journey. For example, when talking about how they are going to climb down the cliff, he says, "*I'll lower you*" and "*When you're down, I'll follow*". Part 4 is also where they meet Gollum, a corrupt Hobbit, and takes him to be their guide. Frodo tames Gollum even though he is aware that Gollum wants to get the Ring from him, creating an atmosphere of suspicion and mistrust, for example: "*But we won't let you go, either. You're full of wickedness and mischief, Gollum,*" said after Frodo tells Gollum that he won't kill him. Frodo knew that Gollum had selfish intentions but did not know what and when he might act upon them.

Part 5 is where Frodo encounters the enemy and nearly gives the Ring to them. Seeing the enemy at close range, Frodo remains extremely distressed and fears that it is too late to complete his mission of destroying the Ring. He feels that he secretly does not want to go on because he is almost

under the Ring's power. Frodo begins to think about the future as he expresses prediction, thus, volition (intention) is lower. Modal devices for prediction ('will', 'would') appear 10 times in total, for example, "*Even if my errand is performed, no one will ever know. There will be no one I can tell. It will be in vain,*" is his thought after he hides from the enemy and feels hopeless about his mission. However, modal devices for volition (intention) ('will') appear only once, for example, "*I will try,*" said after Sam and Gollum encourage him to continue the journey.

In part 6, Sam rescues Frodo in the enemy's tower and after that Frodo expresses his agony and anxiety about destroying the Ring. Modal devices for volition (intention) ('shall', 'will', 'be going to') are found 11 times in total, while modal devices for prediction ('will', 'shall', 'would', 'be going to') are found 15 times in total. His suffering increases from part 5 as most of modal devices are used to express his agony and anxiety, for example, '*I wonder how long it will be before we really are caught*' said after Frodo listens to Sam's adventure before rescuing him, and '*I am afraid, Sam, that the burden will get very heavy, and I shall go still slower as we get nearer*' said when Sam asks him how far they have to go.

Finally, in part 7, where Frodo returns to his home after destroying the Ring, a change in his personality becomes increasingly evident. With the anxiety and depression he has experienced, Frodo becomes withdrawn. He isolates himself from people as a way of protecting himself from reminders of his traumatic experience. This is similar to the experiences of soldiers when they came back home after the war. These soldiers had often faced severe traumas or life-threatening events and often became pacifists after the war. Frodo no longer expresses his will to do actions, rather, he predicts many things about the future after he leaves this world. It shows in terms of the

modal choice that the use of volition (intention) was low but prediction was high. The number of modal devices for prediction increased significantly, while the number of modal devices for volition (intention) decreased. Modal devices for prediction ('will', 'would') occurred 15 times, for example, "*Your hands and your wits will be needed everywhere. You will be the Mayor,*" said when Frodo predicts Sam's future after he leaves. On the contrary, modal devices for volition (intention) ('will') occurred twice, for example, "*you will read things out of the Red Book, and keep alive the memory of the age that is gone,*" said when Frodo speaks about his book, in which he wrote everything about his journey and which he gave to Sam.

In addition, the reason for the lack of modal usage in Books 2 and 6 (2-1 to 2-10, 6-3 to 6-4) is that Frodo's appearances in Book 2 are minimal, while the other characters take the main roles. In Book 6, although it is near the end of the mission where Frodo definitely has the main role, Tolkien purposively chooses to describe Sam's feelings instead of Frodo's.

According to Manners (2006), Frodo's depressed psychological state can be detected when his mind is in conflict. The development of his depressed psychological state can be seen through the use of modality. Prediction shows Frodo's anxiety about the future, while volition (intention) shows Frodo's determination to take action. Modality is mostly used when his mind shows some changes. In Part 1, Frodo hesitates but eventually has to force himself to start the journey. This is similar to the young soldiers who had to go to war even if they did not want to (Manners, 2006). The changes are not clear in parts 2 or 3, but in parts 4, 5, and 6 Frodo shows his conflicts as he meets Gollum for the first time, then his agony and anxiety about completing the mission increase as can be seen in the use of prediction. Near the end of the journey, he almost falls into the temptation of the Ring. Volition (intention) is

used mostly at the beginning of the novel. But as the story develops, prediction is used more than volition (intention). Parts 5 and 6 are where Frodo decides to destroy the Ring and then returns to his home. In part 7, he expresses volition (intention) less than before as Frodo's personality changes, he becomes withdrawn and isolated. This is also similar to how soldiers were often changed after they came back from the war. It could be said that the use of modality develops along with Frodo's psychological state. At the beginning, he determines to do actions. But after he leaves the group and focuses on carrying out his mission, he expresses volition (intention) and prediction many times. At the end, prediction is used the most since he no longer has a mission to accomplish; he has only to cope with himself.

Additionally, modality can show the reader that Frodo's mission is doomed to failure. Frodo did not think he would accomplish this task because he would fall into the temptation of the Ring. Looking at the development of the use of volition (intention), the semi-modal '*be going*' is used a few times and is mostly found around the beginning of the story. As the story continues, the use of '*be going to*' is reduced. The explanation for this might be that Tolkien chose to use '*will*' over '*be going to*' to show Frodo's reluctance about the mission.

5. Conclusion

The results of the study show that the connection between Tolkien and Frodo can be seen through the use of modality. Modality describes the various senses of Frodo and shows his psychological changes over time as the story develops from being a typical young man who enjoys adventures in

life to becoming a serious individual who understands the hardships of the life. Prediction is sometimes used to express Frodo's anxiety about the forthcoming events, whereas volition (intention) is used to convey Frodo's determination to do something. As the story continues, Frodo's depressed psychological state develops, which is similar to the internal struggle experienced by Tolkien when he served in World War I (Manners, 2006). It can be compared to the young men who went to fight during World War I as they had to march from their homes into the fight and might not come back alive. After they came back, they became depressed because of the memories of their experiences and their personalities were changed.

The effectiveness of the analytical framework for categorizing modal devices is still not definite. Also, sometimes modal devices cannot explain a mixed meaning in the speaker's intention. For example, in some contexts, it is difficult to describe exact modal meaning of 'will'. Some modal devices such as noun phrases or idioms are currently under investigation by academics, and in future studies, improved methods may be developed for interpreting and distinguishing modal meaning in context more accurately.

Although modality is not the main technique that Tolkien used to express suffering from trauma, it is clearly related to the development of the character. The author could choose to emphasize the character's feelings by using the specific sense of modal meaning to secretly reveal the trauma he suffered in the war to the reader. The limitation of this study is that modality usually carries mixed meanings, and sometimes, the meanings cannot be distinguished. Future studies may focus on other modal devices that are under investigation such as noun phrase to explore the deeper meaning of modality. Finally, it appears that the study of modality can be used as linguistic evidence to support psychoanalytical research and literary criticism.

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