

DR. DZO'UL MILAL, M. PD.

# English pragmatics

A Handbook For English Department  
Undergraduate Students  
Faculty of Letters and Humanities  
UIN Sunan Ampel Surabaya



*Supported by:*  
Government of Indonesia (GoI) and  
Islamic Development Bank (IDB)

# ENGLISH PRAGMATICS

A Text Book For The Department of English Letters  
Faculty of Letters and Humanities  
UIN Sunan Ampel Surabaya

Writers:  
**Dr. Dzo'ul Milal, M.Pd.**

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**FOREWORDS**  
**BY**  
**THE RECTOR OF UIN SUNAN AMPEL**

Based on the decree of Ministry of National Education (MoNE) No. 232/U/ 2000 about curriculum in higher education and evaluation, and No. 045/ U/ 2002 about the core curriculum in higher education, and No. 353 2004 about curriculum design in higher education, State Institute of Islamic Studies Sunan Ampel Surabaya publishes students' handbooks as a part of the effort to improve the professionalism of the lecturers.

To publish high quality handbooks, Islamic State University (UIN) Sunan Ampel Surabaya in cooperation with the Government of Indonesia (GoI) and Islamic Development Bank (IDB) conducted training on textbook development and workshop on textbook writing for the lecturers of UIN Sunan Ampel. The output of the training and workshop is that many books are produced by lecturers of 5 faculties in UIN Sunan Ampel.

ENGLISH PRAGMATICS is one of the published books intended to be used in semester 6.

We expect that after the publication of this book, the teaching and learning process is better, more effective, contextual, joyful and students become more actively involved. Hence, it can increase the quality of the students' competence.

To the Government of Indonesia (GOI) and Islamic Development Bank (IDB) which have given support, the facilitators and the writers who have done to the best of their effort to publish this book, we are very grateful. We hope that this textbook can help the students study Pragmatics more effectively and make UIN Sunan Ampel Surabaya have better academic quality.

Rector of UIN Sunan Ampel Surabaya

**Prof. Dr. H. Abd. A'la, M.Ag.**  
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## PREFACE

**English Pragmatics** contains basic concepts of Pragmatics, a branch of Linguistics which deals with the study of the system of language-in-use. It is intended to be used by Indonesian students of English Department who are majoring in the study of English Language.

The writing of this book is motivated by the fact that during his teaching of Pragmatics subject, he feels that students need a book which contains simple and understandable materials with some practical and student-contextually-familiar examples. Based on some references, knowledge, and experiences obtained along his teaching career, the writer encourages himself to put on his ideas more permanently in the form of this piece of writing, partly to comply with the above needs, and partially to satisfy his desire of self-actualization.

The writer acknowledges special owes to IDB Project Management Unit and the Rector of IAIN Sunan Ampel Surabaya for making the publication of this book possible. May this simple book be useful for all of its readers.

Surabaya, September 2013

Writer  
A. Dzo'ul Milal

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## BASIC COURSE OUTLINE (BCO)

Subject	: ENGLISH PRAGMATICS
Department	: English Literature
Semester/Class	: VI
Credit	: 2 sks
Days	:
Subject Type	: Main Subject
Pre-requisite	: INTRODUCTION TO LINGUISTICS

### DESCRIPTION:

**Pragmatics** is a subject which deals with the system of communicative meanings, namely the meanings conveyed, perceived, or emerging from language in the process of its authentic use. It provides the students with not only the knowledge of the system of communicative meanings, but also the skill to identify, explain, analyze, perceive, and reproduce meanings appropriately and accurately in the process of authentic communication.

### STANDARD OF COMPETENCE

Students have both the knowledge of the system of communicative meanings, and the skill to identify, explain, analyze, perceive, and reproduce meanings appropriately and accurately in the process of authentic communication.

### BASIC COMPETENCE AND INDICATORS

No	Basic Competence	Indicators
1	Understanding Scope of Pragmatics	- Explaining the meaning of Pragmatics

		<ul style="list-style-type: none"> <li>- Explaining Scope of Pragmatics</li> <li>- Distinguishing Pragmatics from Syntax and Semantics</li> </ul>
2	Understanding Context	<ul style="list-style-type: none"> <li>- Explaining the meaning of Context</li> <li>- Mentioning components of Context</li> <li>- Exemplifying Context</li> </ul>
3	Understanding Reference	<ul style="list-style-type: none"> <li>- Explaining the meaning of Reference</li> <li>- Mentioning components of Reference</li> <li>- Mentioning and explaining kinds of Reference</li> <li>- Exemplifying Reference</li> <li>- Identifying References in texts</li> </ul>
5	Understanding Deixis	<ul style="list-style-type: none"> <li>- Explaining the meaning of Deixis</li> <li>- Exemplifying Deixis</li> <li>- Identifying Deixis in texts</li> <li>- Mentioning kinds of Deixis</li> <li>- Constructing sentences containing Deixis</li> <li>- Explaining expanding universe in deixis</li> </ul>
6	Understanding Presupposition	<ul style="list-style-type: none"> <li>- Explaining the meaning of Presupposition</li> <li>- Exemplifying Presupposition</li> <li>- Identifying Presupposition underlying texts</li> <li>- Explaining characteristics of Presupposition</li> </ul>

4	Understanding Implicature	<ul style="list-style-type: none"> <li>- Explaining the meaning of Implicature</li> <li>- Exemplifying Implicature</li> <li>- Identifying Implicature from texts</li> <li>- Mentioning kinds of Implicature</li> <li>- Constructing sentences containing Implicature</li> </ul>
7	Understanding Speech acts	<ul style="list-style-type: none"> <li>- Explaining the meaning of Speech acts</li> <li>- Mentioning components of Speech acts</li> <li>- Exemplifying Speech acts</li> <li>- Identifying Speech acts</li> <li>- Mentioning and explaining kinds of Speech acts</li> <li>- Mentioning and explaining IFIDs</li> </ul>
8	Understanding Indirect Speech acts	<ul style="list-style-type: none"> <li>- Explaining the meaning of Indirect Speech acts</li> <li>- Mentioning components of Indirect Speech acts</li> <li>- Exemplifying Indirect Speech acts</li> <li>- Identifying Indirect Speech acts</li> <li>- Mentioning and explaining kinds of Indirect Speech acts</li> <li>- Distinguishing direct from indirect Speech acts</li> </ul>
9	Understanding Cooperative Principles	<ul style="list-style-type: none"> <li>- Explaining the meaning of Cooperative Principles</li> <li>- Mentioning and explaining kinds of conversational maxims</li> </ul>

		<ul style="list-style-type: none"> <li>- Exemplifying conversational maxims</li> <li>- Identifying conversational maxims</li> <li>- Characterizing conversational maxims</li> </ul>
10	Understanding Politeness Strategies	<ul style="list-style-type: none"> <li>- Explaining the meaning of Politeness Strategies</li> <li>- Mentioning and explaining Politeness Strategies</li> <li>- Exemplifying Politeness Strategies</li> <li>- Identifying Politeness Strategies</li> <li>- Characterizing Politeness Strategies</li> </ul>
11.	Understanding metacommunicative functions	<ul style="list-style-type: none"> <li>- Explaining the meaning of metacommunicative function</li> <li>- Exemplifying some metacommunicative functions</li> <li>- Identifying metacommunicative functions</li> </ul>
12.	Understanding basic concepts of Pragmatics and able to use them in analyzing linguistic data	<ul style="list-style-type: none"> <li>- Explaining the concepts</li> <li>- Giving examples of the concepts</li> <li>- Explaining their significance in communication</li> <li>- Collecting data</li> <li>- Analyzing data</li> </ul>

# UNIT 1

## SCOPE OF PRAGMATICS

### Introduction

This chapter discusses the differences between syntax, semantics, and pragmatics, and the relationship between form and meaning. After reading this topic, students will understand that syntax deals with the relationship between forms, semantics with the relationship between forms and their potential meanings in the world, and pragmatics with the relationship between meanings and language users.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### Lesson Plan

**Aim** : After studying this topic, students are expected to have better understanding of the definitions of syntax, semantics, and pragmatics, are able to differentiate one from the others, and to explain the relationship between form and meaning.

### Indicators:

- Students are able to explain the definitions of syntax, semantics, and pragmatics.
- Students are able to distinguish the scopes of syntax, semantics and pragmatics.
- Students are able to explain the Scope of Pragmatics
- Students are able to explain the relationship between form and meaning.
- Students are able to give examples to clarify the relationship between form and meaning.

**Time** : 90 minutes

**Main Materials:**

- Definition of syntax
- Definition of semantics
- Definition of pragmatics
- Scopes of syntax, semantics, and pragmatics
- Relationship between form and meaning
- Examples of the relationship between form and meaning

**Teaching Procedures****1. Pre-activity**

- a. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
- b. The students share ideas and guess the topic.

**2. Whilst-activities**

- a. The students of the group which has been decided submit the summary of the topic and present it to the class.
- b. Students conduct discussion by asking questions about the points which are not clear yet.
- c. The lecturer gives more detailed explanation to make sure the students understand the topic.
- d. The lecturer gives the students a chance to ask questions related to the topic.
- e. The students do exercises

**3. Post-activity**

- a. The lecturer gives the conclusion from the students' discussion.
- b. The lecturer gives motivation and suggestion to the students.
- c. The students make reflection.
- d. The lecturer gives the students reading task about the following topic to do at home.

## Detailed Materials

### Syntax, Semantics, and Pragmatics

In the study of signs, Morris (1938: 6) differentiates three terms: syntax, semantics, and pragmatics. Syntax is defined as the study of “the formal relation of signs to one another,” semantics as that of “the relations of signs to the objects to which the signs are applicable,” and pragmatics “the relation of signs to interpreters” (1998: 7). Clearer and more operational definitions are given by Yule who states that

Syntax is the study of relationships between linguistic forms, how they are arranged in sequence, and which sequences are well-formed. ... Semantics is the study of relationships between linguistic forms and entities in the world; that is, how words literally connect to things. ... Pragmatics is the study of the relationships between linguistic forms and the users of those forms (1997: 4).

He further asserts that “the advantage of studying language via pragmatics is that one can talk about people’s intended meanings, their assumptions, their purposes or goals, and the kinds of actions (for example, requests) that they are performing when they speak” (1997:4).

The main difference between semantics and pragmatics, despite they both deal with meaning, lies on the use of the verb *to mean*. In semantics, meaning is “defined purely as a property of expression in a given language, in abstraction from particular situations, speakers, or hearers.” It answers (1) What does X mean? In pragmatics, on the other hand, meaning is “relative to a speaker or user of the language.” It deals with (2) What do you mean by X? (Leech 1991: 6). In other words, semantics mainly deals with the meanings of words or sentences, whereas pragmatics with the meanings intended by the speaker.

For example, in a classroom, where a ceiling fan is available in that room but still off, the teacher says to the students,

“It’s hot, right?”

Semantically, or taken literally, the teacher’s utterance means that he is talking about the weather, but in such a context, it can be interpreted,

pragmatically, that what is intended by the teacher is a request to any one of the students to switch on the fan.

The above illustration clearly shows that there are two things involved in a communication process, namely form which is produced and/or perceived concretely orally, visually, or auditorily and meaning which is processed abstractly, psychologically in the minds of the interlocutors.

While syntax deals with the relationship among forms, semantics concerns with the relationship between forms and their signification in the world, pragmatics between forms and the users of the forms. To make the concepts clearer, the following part presents some illustrations.

When someone produces a sentence or an utterance “John is smart,” we can explain it using all of those approaches. Syntactically, the relationship between “John” and “is” is that of predicative; meaning that “John” is the subject and “is” the predicate. It is grammatically incorrect if the word “is” is substituted by “are” such as \*John are smart. That is because “John” is a singular proper noun, hence its consequent predicate should be that of singular too. Furthermore, the relationship between “John is” and “smart” is that of complementation. It means, “smart” is the complement of the sentence. In so far as “smart” explains the characteristic of “John” the subject, then we call it subjective complement. In sum, the sentence consists of a subject, a predicate and a complement.

Semantically, to clarify the relationship between the word and the world, the word “John” refers to the name of a person. That person “John” has a certain characteristic which is related to his quality of cognition. That is “smart” which is more or less synonymous as clever, or shrewd, or nifty, or easily understand things. When someone says, “John is smart,” hearers will think that “John is not stupid. John is not a slow learner. John is quick to understand. John has a good cognitive competence, etc.” In sum, that sentence carries a proposition or an idea that there is a person whose name is John who is clever and quick to understand. Hearing that utterance, we can directly understand it despite the knowledge and recognition of its context.

In view of pragmatics, however, that “John is smart” does not necessarily mean that John is smart. It all depends on the context when that utterance is produced. Knowing the fact that John is 11 years old, but he can do a test which is designed for students of senior secondary school, the

speaker says, “John is smart.” That is, by all means, a compliment for John. That is a very positive comment on what he has accomplished. Nevertheless, if the fact is that John is a university student, when sitting together with his friends, one of them tells a joke and everybody laughs at the end of the joke, except John. A few moments afterward, when everyone has been silent, John begins to laugh. The laughter is too late, and one of the friends says, “John is smart” and everybody laughs. This comment is, of course, cannot be said to be a compliment. It is an insult. The utterance “John is smart” means the other way around. It means that John is not smart at all. He is too slow to understand because when all of his friends laugh he just keeps quiet, but when they have already stopped laughing, he starts laughing by himself. In sum, context significantly determines the meaning of an utterance.

### **Form and Meaning**

One of the basic properties of language is that it is dualistic (Yule 1985: 22). Language always contains meaning which is wrapped and conveyed through its form. Form and meaning to a language is analogous to head and tail to a coin. They are inseparable. It is impossible to grasp the meaning of language unless by observing its form, as it is useless in normal communication using a language to observe a form without revealing its meaning.

Form can be orthographical, oral, or gestural produced or received by interlocutors through the physical body and senses. The written or gestural forms are normally perceived by the visual sense whereas the oral one is by auditory sense. The former is through reading and the latter listening. Both receptive activities, however, are barely useful unless there is a resultant message which is perceived by the mental capacity of the brain. While form exists externally at the physical senses, meaning exists internally in the brain.

Communication as an activity of conveyance and reception of message or meaning, therefore, stems from the brain of the speaker (or writer) to the brain of the listener (or reader) through the physical articulatory and auditory organs of both parties. In other words, communication basically goes from meaning to form for the producer, and from form to meaning for the receiver.

In the context of language in use, the relationship between form and meaning is not linear in the sense that there is no one-to-one, interface, connection between form and meaning. One form does not necessarily have one fixed meaning as one meaning is not always expressed using only one predetermined form.

In relevance with Leech's definition of meaning presented previously, the word "relative" implies the multiplicity of meanings (Clark 1998: 100) depending on the contexts in which the discourse occurs. Liu (1994) contends that pragmatics distinguishes two intents or meanings in each utterance or communicative act of verbal communication. One is the informative intent or the sentence meaning, and the other the communicative intent or speaker meaning (Leech, 1983; Sperber and Wilson, 1986). To ascertain which meaning is intended by the speaker, the hearer should be cognizant of the available context.

The illustration presented in the previous part to clarify the concept of pragmatics can be considered here. However, to clarify this point it is wise to give some more examples which justify the fact that depending on the context, one form may have various meanings, various forms may convey one meaning.

For example, there is an utterance, "Finished?" In one context, it is said by a teacher who is supervising a test room. By the end of the class hour, the teacher says to the test takers, "Finished?" This utterance implies that the teacher inquires whether the test takers have finished doing the test, and if so, they are required to submit the paper soon. On the other hand, when that exactly similar utterance is said by a husband, who has been in full dress, sitting in the living room, skimming that day's newspaper, saying to the wife who is still busy beautifying herself in front of the mirror in the bedroom, "Finished?" Such an utterance implies that the husband who is ready to go is waiting for the wife and slightly shouts asking if the wife has already finished beautifying herself and been ready to go too. If so, she had better go out of the bedroom and start leaving soon. In short, the illustration shows that one form may have various meanings depending on the prevailing contexts.

That various forms may convey one meaning can be illustrated as follows. The teacher says to the students, "Tom, close the door." In other

time, she says, “Tom, will you close the door, please?” Still in other time, she says, “Tom, I think it’s better if the door is closed.” The first sentence is in imperative form, the second interrogative, and the last declarative. Despite divergent forms, however, those three utterances have the same meaning, that is the teacher wants Tom to close the door.

Those illustrations summarize the idea that form does not have linear one-to-one relationship with the meaning. It is significantly determined by the intervention of contexts.

### **Summary**

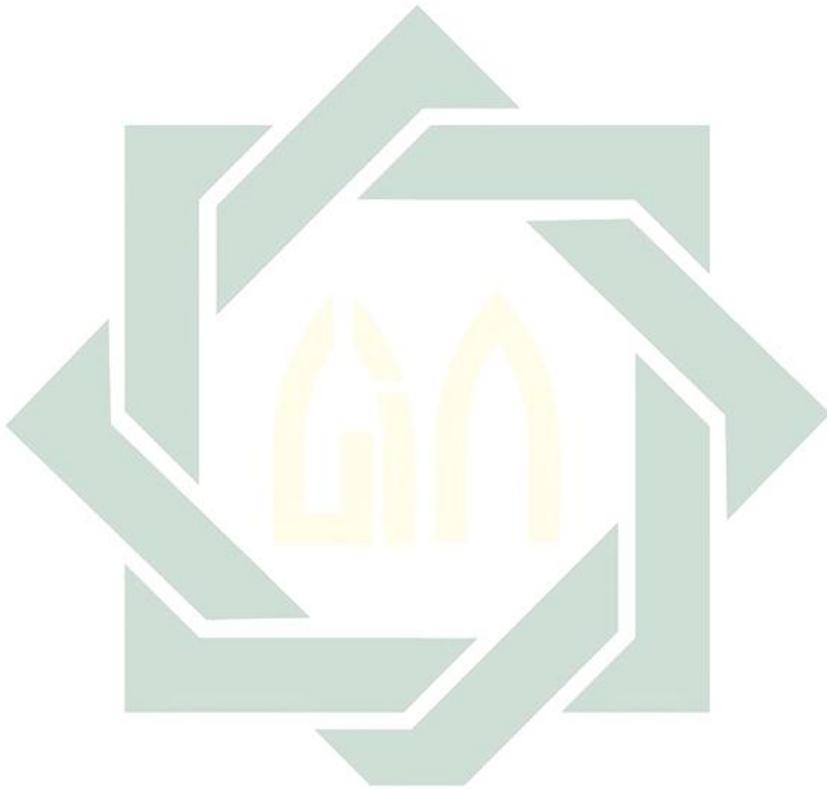
There are three branches of linguistics which deal with the relationship between form and meaning: syntax, semantics, and pragmatics. Syntax is the study of “the formal relation of signs to one another,” semantics as that of “the relations of signs to the objects to which the signs are applicable,” and pragmatics “the relation of signs to interpreters (users)”

In syntax, forms are organized and interrelated in order to construct a particular structural meaning. In semantics, forms are related to the concepts in the world. In pragmatics, there is no linear one-to-one relationship between forms and meanings. One meaning may be expressed using various forms, one form may express various meanings. All is determined by the contexts.

### **Exercises**

1. Explain the differences between syntax, semantics, and pragmatics.
2. What is syntax?
3. What is semantics?
4. What is pragmatics?
5. In what way are form and meaning related in syntax?
6. In what way are form and meaning related in semantics?
7. In what way are form and meaning related in pragmatics?
8. Explain what is meant by “there is no linear one-to-one relationship between forms and meanings” in pragmatics.
9. Give an example clarifying that “One meaning may be expressed using various forms”

10. Give an example clarifying that “one form may express various meanings.”



## UNIT 2

# CONTEXTS

### Introduction

This chapter discusses the function and kinds of context in language use. After reading this topic, students will understand that there are basically two kinds of context: linguistic and extra-linguistic. In addition, they will also be aware that context is so significant in communication in the sense that it determines not only the forms but also the meanings. Context also interferes the relationship between forms and meanings.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### Lesson Plan

**Aim** : After studying this topic, students are expected to have better understanding of the function and kinds of contexts and to be aware of their significance in determining the forms and meanings.

### Indicators:

- Students are able to explain the function of context
- Students are able to mention the kinds of context in pragmatics.
- Students are able to give examples of each kind of context
- Students are able to mention the indexes of context
- Students are able to give evidence about the significance of context in communication.
- Students are able to give examples which clarify the influence of context on forms and meanings

**Time** : 90 minutes

### Main Materials:

- Definition of context

- Kinds of context
- Examples of each kind of context
- Significance of context in communication
- Examples of the influence of contexts on forms and meanings

## **Teaching Procedures**

### **Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

### **Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

### **Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## **Detailed Materials**

### **Context**

Context is so significant in determining the meaning of a discourse that one may never be able to comprehend the meaning of the discourse unless by reference to it. Exposed to a sentence,

(1) He is sick

for instance, one may never know who is sick, what kind of sickness he is suffering from. But, if sentence (2) is put in its context,

(2) Yesterday, something got into John's eyes. Now he is wearing sun-glasses. He is sick.

It becomes clear that it is John who is sick, and the kind of his sickness is eye-sore. This clarity of meaning is provided by the context of the preceding sentences. In some other times, the meaning becomes clear not because of the surrounding sentences, but because of the situational circumstances in which the utterance is produced. For instance, sentence (2) is uttered by Mary, John's friend, who knows that the day before something got into his eyes, telling Nancy about it when John is passing by them wearing sun-glasses. In sum, there are two kinds of context, namely linguistic context or co-text, where the context is within the text, in terms of surrounding sentences/utterances, and extra-linguistic context, where the context is outside of the text, in the form of situational circumstances (Brown & Yule 1983, Halliday & Hasan 1976).

### **Linguistic Context**

The linguistic context (co-text) to which interpretation of a discourse may refer can be located preceding or following the text. When reference is made to the preceding sentences, it is called anaphoric reference; when it is to the following sentences, it is called cataphoric reference (Halliday & Hasan 1976). Sentence (3) is an example of anaphoric reference because to interpret the last sentence, the analyst should review the preceding sentences. An example of cataphoric reference can be seen in sentence (4) below.

(3) Due to his age, in order that he is able to see the letters clearly, John wears glasses when reading.

To perceive the complete understanding of this sentence, or in other words, to know the referent of his in the first phrase and he in the clause after it, the readers should read the main clause located last. This is called cataphoric reference because the referent comes following the referring expression.

Pertaining to the focus of this study which deals mainly with the analysis of teachers' discourse, it is relevant that all prevalent linguistic data, both that of the teacher and that of the students be taken into account. Teachers' language is taken as the corpus of this study, i.e. the main source of data to be analyzed, students' utterances, on the other hand, are taken as the context by which analysis of teachers' discourse may not be possible otherwise.

### **Extra-Linguistic Context**

In so far as pragmatics deals with language use in natural settings, what is more relevant is the account of situational contexts. Adhering to this point, Hymes mentions some components of communicative events, namely participants, channels, codes, settings, forms of messages, topics and comments, and the events themselves (1964). Participants refer to the addressor, the speaker or writer, who produces the utterance and addressee, the hearer or reader, who is the recipient of the utterance. Channels are the modes by which contact between participants is maintained, through speaking, writing, drumming, whistling, or gesturing. Codes refer to the form of language, dialect, or language styles which are used. Settings include the space and time in which communication takes place. Forms of message are like chatting, debate, sermon, fairy-tale, love-letter, etc. Topic and comments are what the message is about. Event refers to which a communicative event may be embedded, such as religious advices in a wedding party, lesson explanation in a classroom, etc.

Hymes, then, develops his schema for analyzing context into his best known SPEAKING (1972), of which each letter stands for the following concepts. S stands for Setting or Scene which refers to physical circumstances or subjective definition of an occasion. P stands for Participants including speaker / sender / addressor and bearer / receiver / audience / addressee. E is the short form of Ends which mean purposes and goals or outcomes; whereas A stands for Act sequence meaning the message

form and content. K stands for Key referring to tone, manner, while I refers to Instrumentalities such as channel (verbal, non-verbal, physical) or the forms of speech drawn from community repertoire. N is the shortened form of Norms of interaction and interpretation, which refer to specific properties attached to speaking and interpretation of norms within cultural belief system. G stands for Genre meaning the textual categories. This kind of grid would be useful to function as a kind of check-list by which ethnographers observe the ways in which interlocutors make sense of what counts as a communicative event.

Concerning the relationship between language and context, Halliday (1985) presents his outlines of field, tenor, and mode. Field, the social action, refers to what is happening or the nature of the social action that is taking place. Tenor, the role structure, refers to who is taking part, the nature of the participants, their statuses and roles, and the kind of role relationship among participants. Mode, the symbolic organization, refers to what part language is playing, what it is that the participants are expecting the language to do for them in the situation.

In relevance with classroom language, for instance, the field in term of the social action that is taking place refers to the pedagogical or instructional activities carried out by teacher and students in the classroom. The tenor, the role relationship among participants, pertains to the teacher and the learners whose relationship in communicative event is asymmetrical, in which the former inherently has higher status, thus having more control and authority over the latter. The mode of the language used in such a context is dominantly spoken rather than written and the function it plays is basically pedagogical.

The effect of context on language can be observed not only in term of forms but also in term of meanings or functions. The emergence of genres, registers, jargons, styles, and dialects (Chaika 1982) is the example of the realization of such effect on forms. Speakers from a certain geographical area, for instance, will produce a certain dialect, and so will those from a certain speech community. People engaged in an activity in a formal situation will use formal style, others will use intimate style when conversing in intimate situation, and so forth. That indicates that context, to some extent, dictates the use of certain linguistic forms. From the

addressee's point of view, furthermore, the use of linguistic forms in contexts may produce divergent interpretation of meanings. Forms and meanings are not necessarily linearly connected. The relationship between the two is, to some extent, intervened by the effect of contexts.

Equal utterances may convey different meanings when they are produced in different contexts. The utterance

(5) "Are you finished?"

for instance, uttered by a father to a mother when they are going to attend a wedding party, means differently from that by a teacher to students in a test room. The former means whether the mother is finished beautifying herself, thus asked to get out of the bedroom so that they can leave for the party soon; whereas the latter means whether the students are finished doing their tests, thus commanded to submit the papers to the test supervisor. Another example is the utterance

(6) "Go ahead"

uttered by a teacher addressed to a kindergarten student when s/he hesitates to recite a prayer may have the meaning of encouragement to doing something. But, when it is uttered by a mother to a naughty boy when he is annoying his sister may mean the contrary, that she threatens him not to do it anymore.

In addition to that, in the performance of speech acts, there are some other contextual, extra-linguistic factors that need to be taken into account, including psychological, personal, and social factors. These factors, to some extent, affect the way how speech acts are performed.

The psychological state of the speaker is influential on his/her way of performing speech acts. When s/he is in the condition of anger, for instance, what is naturally performed as ordinary request might be performed with greater force, thus the request becomes order. Or, it may even be performed as a rude command. With the feeling of jealousy, one might not congratulate other's achievement which deserves being congratulated but even sneer at it or give cynical comment.

Personal factor may also be influential on the performance of speech acts. Everyone has his/her own personality which dictates idiosyncratic ways of speaking, including performing speech acts. The person who has authoritarian personality, prefers to have control over others, and will likely

give arbitrary commands rather than negotiate to get agreement. The person with more open personality, on the other hand, tends to put him/herself in more equal position with the addressee, does not like to impose burden over others, and prefers to give alternatives to others in doing things.

The other factor which may be influential on performing speech acts is social factor. This includes the participants of communication, i.e. speaker and hearer. The status of and the relationship between interlocutors, to some extent, determine how the speech acts are performed. In asymmetrical relation in which the speaker has higher status than the hearer, the more powerful tend to perform directive acts over the powerless. But, status and power are two independent variables that do not necessarily go in line (cf. Butt et. al. 2000). Their operation is also constrained by psychological and/or personal factors.

In the context of classroom instruction, the participants are teacher and students. Teachers inherently have higher status than students, but it does not always entail that they impose power to the students. Each teacher has individual personality that constrains the idiosyncratic way of speaking. Despite her/his higher status, s/he may behave more democratically and does not domineer over the class. It indicates that power is not what s/he practices. Instead, s/he practices solidarity.

Besides psychological, personal, and social factors, pedagogical purposes at which the classroom process is aimed may also constrain the performance of speech acts. Those purposes motivate teachers to produce a lot of metacommunicative functions in order to control the communicative process in the classroom.

All these prevalent contexts, i.e. psychological, personal, social, and pedagogical factors are taken into account in analyzing the verbal behaviors of the teachers, especially in identifying their speech acts. Furthermore, in order to able to uncover teachers' performance of speech acts, the hearers', in this case students' speech is also taken up as the context to understand the corpus. In sum, contexts are of primary importance in understanding the meanings of verbal behaviors.

In the course of communication, therefore, interlocutors should be aware or cognizant of the contexts in order that communication is successful. It is successful in the sense that the addressor uses the forms appropriately

and the addressee is capable of making accurate interpretation of what is intended by the addressor and giving response properly. In line with this point, Lyons (1979: 34) asserts that in communication

the sender will often adjust what he has to say according to his conception of the intended receiver's state of knowledge, social status, and so on (context, in the writer's emphasis) ... successful communication depends, not only upon the receiver's reception of the signal and his appreciation of the fact that it is intended for him rather than for another, but also upon his recognition of the sender's communicative intention and upon his making an appropriate behavioral or cognitive response to it.

Successful communication also implies that the addressee is capable of perceiving not only what is explicitly said by the addressor but also what is communicated though not said. In connection with this, the concepts of reference, presupposition, implicature, and inference are dealt with here.

### **Summary**

Context refers to all aspects and components surrounding the text. It includes the participants of the communication, the forms of the message, the channel of communication, the goal, and the physical and situational constructs of the communication. In sum, context covers anything to which the meaning of text cannot be clear unless by reference to it.

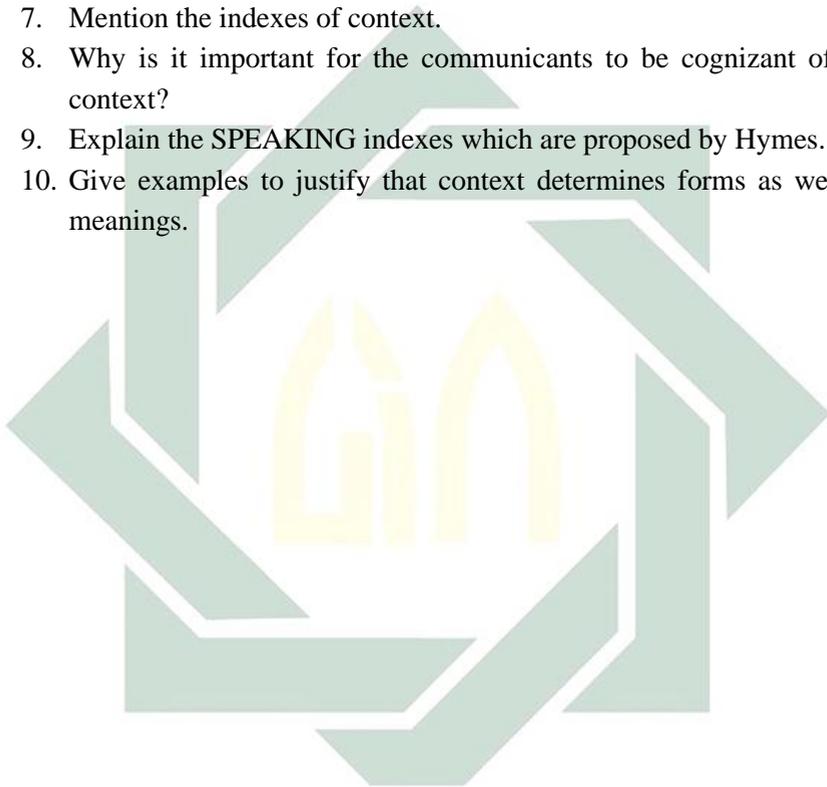
There are two kinds of context, namely linguistic context which refers to the language surrounding the text; and extra-linguistic context which refers to all other things (psychological, personal, social, and pedagogical factors) outside of the text which determine the forms and the meanings of the text.

Context is so significant in communication that analysts as well as participants can hardly understand the text produced during the communicative event unless by reference to it. Knowing the context facilitates analysts and participants understand the communication process.

### **Exercises**

1. What is context?

2. What are the kinds of context?
3. What is the difference between linguistic and extra-linguistic contexts?
4. Mention the examples of extra-linguistic contexts.
5. In what way is form determined by contexts?
6. In what way does context determine the meanings of a text?
7. Mention the indexes of context.
8. Why is it important for the communicants to be cognizant of the context?
9. Explain the SPEAKING indexes which are proposed by Hymes.
10. Give examples to justify that context determines forms as well as meanings.



## UNIT 3

### REFERENCE

#### **Introduction**

This chapter presents the meaning and kinds of reference in language use. After reading this topic, students will understand that there are basically two kinds of reference: endo-phoric and exo-phoric references. In addition, they will also be aware that reference is indispensable in communication process in the sense that it whenever the speaker or writer uses language, s/he will always use referring expressions which relates the forms to the meanings. References are manifested in term of forms and convey meanings.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

#### **Lesson Plan**

**Aim** : After studying this topic, students are expected to have better understanding of the meaning and kinds of reference and to be aware of its significance in the relationship between the forms and the meanings.

#### **Indicators:**

- Students are able to explain the meaning of reference
- Students are able to mention the kinds of reference in pragmatics.
- Students are able to give examples of each kind of reference
- Students are able to differentiate and identify all kinds of reference
- Students are able to give evidence about the significance of reference in communication.

**Time** : 90 minutes

#### **Main Materials:**

- Definition of reference
- Kinds of reference

- Examples of each kind of reference
- Significance of reference in communication

## **Teaching Procedures**

### **Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

### **Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

### **Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## Detailed Materials

### Reference

According to Halliday & Hasan (1976: 31), there are two kinds of reference: endophoric and exophoric references. Endophoric reference means that the referent to which the referring expression refers is linguistic in nature or can be found within the text. Exophoric reference, on the other hand, means that the referent exists outside of the text. The main difference between the two is that the former tends to belong to the realm of linguistics, whereas the latter pragmatics. In endophoric reference, it is the text which refers to another text, while in exophoric reference it is the user who performs the act of referring (Searle 1979).

In sentences, “Tom is in Germany. He is studying Aerodinamics,” the pronoun “He” in the second sentence refers to the word “Tom” in the first. Both the referent and the referring expression can be found in the text. This reference is endophoric. But, when the speaker says that, s/he actually talks about a person whose name is Tom, and that he uses the pronoun “he” also refers to that person. So, both “Tom” and “he” are co-referential; and the referent, the person whose name is Tom, of course, exists outside of the text. He is somewhere in a part of the world, in a country called Germany. The word “Germany” here also refers to one country in Europe. It does not lie within the text, but it exists in the world. This is an example of exophoric reference.

In order for the hearer to understand accurately what the speaker refers to, it is important that both the speaker and hearer stand on the same frame. That is because the referent is frequently located outside of the text, and the clue to the interpretation of what the referring expression refers to is usually provided by the context. In a Structure class, when the teacher says, “Open Betty page 282,” for instance, students will understand what is meant by the teacher. They are ordered to open a Structure book, entitled *Understanding and Using English Grammar* written by Betty Schramper Azar, page 282. Despite the fact that Azar also writes several other books, and there are many other persons whose name is Betty, the students will

definitely know what is intended or referred to by the teacher. That is because the interlocutors are aware of the frame of the conversation.

First, students are aware of the fact that Betty is not a kind of door or window that can be opened, because a door or window is not generally given a name. So, they conclude that Betty must be something that can be opened, such as book, bag, case, etc. But, a bag or a case is usually nameless. It must refer to a book, then. Second, students know that they do not have such a book whose name is Betty, but they are aware that Betty refers to Betty Schramper Azar who writes the book of Structure. Third, although Azar also writes many other books, they are also aware that they are in a Structure class in which the book entitled *Understanding and Using English Grammar* written by Betty Schramper Azar is being used. So, they infer that what the teacher refers to must be that definite book. They will not interpret that the teacher instructs them to open other Azar's books because that is irrelevant with the current context.

Reference in semantics is different from reference in pragmatics. In semantics, reference is inherent in words or sentences relating the linguistic symbols with the outside, worldly objects. When a speaker says "my wife" for example, that phrase refers to a woman the speaker has married, and possible the mother of his children. The problem here arises when the word or linguistic symbol refers to something which does not factually exist in the world, such as "unicorn". Yet, despite its inexistence in the real world, a unicorn refers to an imaginative kind of animal which looks like a horse but has one horn on its head.

Another example "the King of Indonesia" refers to nobody in this world because Indonesia is a republic state, is not a monarchy, and does not have a king. It has a president instead. Despite the fact, however, that is a grammatically correct phrase; but it does not have a truth value.

In pragmatics, on the other hand, reference is not inherent in the word but it belongs to the speaker/writer or the language user. It depends on what the language user intends to refer by saying or producing the utterance. In such a case, context will clarify the referent intended by the language user. In short, semantic reference is likely to be conventional, whereas pragmatic reference is conversational.

Reference means differently when it is viewed from different points of view. In syntax, reference may be represented by pronouns or proverbs. For example, in the sentence "I have a cat. It is black." The pronoun "It" in the second sentence refers to a cat in the first sentence. So, both the referring expression and its referent exist in the text. The relationship between the pronoun "It" and "a cat" is that of reference. In the sentence "Mary washed the dresses yesterday, and I did too." The proverb "did" in the second clause substitutes the whole phrase "washed the dresses yesterday" in the first clause. In other words, it can also be said that "did" refers to "washed the dresses yesterday." In conclusion, reference in syntax operates on the relationship between forms in the text.

In semantics, moreover, reference works to relate the concept in the mind of the language user with the object that exists in the external world. When Rowling said, "The centaurs help Harry Potter," the word "centaurs" refers to a kind of creature of which body looks like that of a horse and its head looks like that of a human being. That is of course a kind of animal which is created or imagined by the writer, J.K. Rowling, that exists only in that imaginative story because, in the real world, such kind of creature does not exist. Despite the fact, however, the reference still holds true. In sum, in semantics, reference implies that the referring expression exists in the text and its potential referent in the world.

Reference in pragmatics, furthermore, is different from that in syntax and semantics. Reference is done by the speaker or writer (language user) to refer to whatever s/he intends to refer. Reference belongs to the language user. When someone says "That's mine," for instance, the referring expression "That" is used by the speaker to refer to something specific that s/he intends to point. When s/he intends to refer to a blue laptop on a table, we all understand that the blue laptop on the table that the speaker points belongs to that speaker. When s/he intends it to point to a red pen under a chair, we will understand that the red pen under the chair is that speaker's pen. In short, reference in pragmatics is done by the speaker, although the referring expression exists in the utterance, its referent depends on what s/he intends to point.

Still, closely related to reference, speakers usually point at a certain person, place, or time using linguistic forms. This is dealt with in the following part about deixis.

### **Summary**

Reference is what referring expressions do towards referents. There are two kinds of reference: endophoric and exophoric references. The former means that the referents exist within the text, and the latter exists outside of the text. Endophoric reference is divided into two kinds, namely anaphoric and cataphoric references. Anaphoric reference means the position of the referent precedes the referring expression, whereas cataphoric reference means that the referent follows the expression.

In semantics, reference is inherent in words or sentences relating the linguistic symbols with the outside, worldly objects. In pragmatics, on the other hand, reference is not inherent in the word but it belongs to the speaker/writer or the language user. It depends on what the language user intends to refer by saying or producing the utterance. In such a case, context will clarify the referent intended by the language user. In short, semantic reference is likely to be conventional, whereas pragmatic reference is conversational.

### **Exercises**

1. What is reference?
2. Mention the kinds of reference.
3. What is the difference between endophoric and exophoric references?
4. Mention the kinds of endophoric reference.
5. Explain the difference between them (ref. number 4)
6. Give examples of each kind of reference.
7. What is the problem of reference in semantics?
8. Explain the difference between reference in semantics and that in pragmatics.
9. Give examples of reference which has and does not have truth value.
10. Give example of reference in pragmatics.

## UNIT 4

### DEIXIS

#### Introduction

This chapter presents the meaning and kinds of deixis in language use. After reading this topic, students will understand that there are basically three kinds of deixis: personal, temporal, and spatial deixis. In addition, they will also be aware that deixis is indispensable in communication process in the sense that it whenever the speaker or writer uses language, s/he will always use referring expressions which relates the forms to the meanings. The referents of deixis are dependent on the expanding contexts.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

#### Lesson Plan

**Aim** : After studying this topic, students are expected to have better understanding of the meaning and kinds of deixis and to be aware of its significance in the relationship between the deixis forms and their meanings.

#### Indicators:

- Students are able to explain the meaning of deixis
- Students are able to mention the kinds of deixis in pragmatics.
- Students are able to give examples of each kind of deixis
- Students are able to differentiate and identify all kinds of deixis
- Students are able to give evidence about the significance of deixis in communication.

**Time** : 90 minutes

#### Main Materials:

- Definition of deixis
- Kinds of deixis

- Examples of each kind of deixis
- Significance of deixis in communication

## **Teaching Procedures**

### **Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

### **Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

### **Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## **Detailed Materials**

### **Deixis**

Deixis is coined from Greek meaning “pointing” via language (Yule 1997: 9). He further says that there are three kinds of deictic expressions,

namely personal, spatial, and temporal. Personal deixis is used to point at a person, such as the use of pronouns (we, you, he, etc.) Spatial deixis points at a place, for instance here, there; and, temporal deixis refers to time, such as now, yesterday, next month, etc. The referents of the deictic expressions are relative depending on the context of the communication. The use of the word “now”, for example, may refer to this very moment of speaking, this semester, or even this era.

(1) Let’s give him a big applause **now**.

(2) If you finish your thesis **now**, you will have graduated by the end this year.

(3) **Now**, all countries tend to be borderless in term of information flow.

The word “now” in those three sentences varies in meaning. In (1), it refers to this moment of speaking, in (2) to this semester, and in (3) to this era called globalization.

This expanding meaning also applies to the personal as well as spatial deixis depending on the communicative context.

(4) We must do something.

When (4) was whispered by Tom to Ricky, when they saw someone doing a crime, for example, the deictic expression “we” refers to the two boys. But, when it was spoken by an orator in front of labor demonstrators, the word “we” points at all the demonstrators including the speaker, the hearers, and even all members of the labor union in the company despite their being not present at that event.

(5) Mary, come **here**.

(6) The Minister will come **here** next week.

(7) When he came **here** last December, George Bush was demonstrated by people.

The expression “here” in those utterances refers to different things. In (5), it refers to the specific location of the speaker. Spoken by the Principal in a school meeting, “here” in (6) points at the school campus. Uttered by an Indonesian to a foreign visitor, “here” in (7) refers to this country, Indonesia. To sum up the point, the referent pointed out by using the deictic expressions is determined by its expanding universe. It becomes clear only with the recognition of its surrounding contexts.

In order for the hearer to interpret correctly what the speaker says using deictic expressions, both interlocutors should share the same context. Otherwise, it would be very difficult to understand the utterance. For instance,

(8) I'll put it here, OK?

One can hardly understand what that utterance means unless one is familiar with its context. It is difficult to identify who will put what where if the hearer does not know its context. Given in a certain context, however, it becomes clear that it means the husband will put the door key under the door mat as is usually done by the members of that family. Uttered in another context, it may mean the wife is telling the husband that she will put the shirt, having been ironed, in a wardrobe. Still in another context, it may mean that the wife is going to put the cup of coffee prepared for the husband on the table in the living room in front of the television set where the husband usually reads a newspaper there. So, the referents of "I," "it," and "here" depend on the contexts of who speaks to whom when where about what.

In addition to those three kinds of deixis: personal, temporal, and spatial, according to Levinson, there are two more kinds, namely social and discourse deixis. Social deixis refers to words or expressions of which meanings become clear only with reference to social status. When someone says, "my friends" for example, he refers to people whose social status is the speaker's friends. And, that depends on which friends he is talking about. It must refer to a group of friends in a certain place, time, or occasion, be it friends in an organization, friends in a workplace, friends in a community, friends at school, etc.

Discourse deixis, on the other hand, refers to referring expressions of which meanings become clear only with reference to the surrounding discourse. When someone says, "this is good," s/he must refer to something which is close to her/him. Otherwise, s/he will say, "that is good" which implies that the referent is physically distant from the speaker. So, this and that are examples of discourse deixis.

Besides reference and deixis, other important concepts in Pragmatics are presupposition and implicature.

## Summary

Deixis means a special expression used to point at or refer to something or a person. According to Yule (1997), there are three kinds of deixis: personal (e.g. we, they, you, etc.), temporal (e.g. now, next year, yesterday, etc.), and spatial (e.g. here, there, etc.). Levinson furthermore adds two more kinds, namely social (e.g. my friends, my neighbor, etc.) and discourse deixis (e.g. this, that, it, etc.).

## Exercises

1. What is deixis?
2. Mention the kinds of deixis.
3. What is the difference between Yule and Levinson's deixis?
4. Give examples of each kind of deixis.
5. In what way is deixis important in communication?
6. Explain what is meant by "deixis is context-dependent."
7. What is expanding context?
8. Give examples of expanding context.
9. Differentiate deixis from pronouns.
10. How can hearer understand deixis?

# UNIT 5

## PRESUPPOSITION

### Introduction

This chapter presents the meaning of presupposition in language use. After reading this topic, students will understand what is meant by presupposition. In addition, they will also be aware that presupposition is indispensable in communication process in the sense that it whenever the speaker or writer uses language, her/his utterances are actually underlain by presuppositions.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### Lesson Plan

**Aim** : After studying this topic, students are expected to have better understanding of the meaning of presupposition and to be aware of its significance in communication.

### Indicators:

- Students are able to explain the meaning of presupposition
- Students are able to mention the kinds of presupposition in pragmatics.
- Students are able to give examples of each kind of presupposition
- Students are able to give evidence about the significance of presupposition in communication.

**Time** : 90 minutes

### Main Materials:

- Definition of presupposition
- Examples of presupposition
- Significance of presupposition in communication

## **Teaching Procedures**

### **Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

### **Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

### **Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## **Detailed Materials**

### **Presupposition**

Presupposition is defined as “something the speaker assumes to be the case prior to making an utterance” (Yule 1997: 25). Stalnaker provides

another definition by mentioning its function i.e. “what is taken by the speaker to be the common ground of the participants in the conversation” (1978: 321). Those definitions imply some points. First, it is the speaker who presupposes, not the sentence. Second, as it is in the form of assumption, presupposition can be wrong. Third, presupposition exists in the mind of the speaker before his/her making an utterance. Fourth, its function is as the common ground on which interlocutors stand.

Before starting the class, for instance, the teacher said to the students  
(15) OK, now submit your homework first.

This utterance (15) is underlain by an assumption in the mind of the teacher, as the speaker, that the students, as the hearers, know which homework she meant, and that they have done it. Otherwise, she might have asked “Do you know that you have homework? Have you done it? If so, before we start the class, now submit your homework first” Those two questions are not explicitly uttered but only assumed or presupposed. The presupposition, of course, can be wrong in that some students might not know that they have homework, and that they might not have done it. Despite the fact, however, presupposition remains unaffected. This presupposition is used as the common ground on which communication between the teacher and students took place.

The property of presupposition is that it is constant under negation (Yule 1997: 26, Brown and Yule 1983: 29). It means whether the utterance is in affirmative or negative form, presupposition remains existent.

(16) OK, don't submit your homework now.

Although the utterance (16) is negative, the presupposition the speaker has prior to making such an utterance is that the students know which homework she meant and that they have done it. Presupposition is another pragmatic phenomenon which is communicated though not said and can be interpreted by a discourse analyst based on the present context.

In addition to such a conversational presupposition, i.e. presupposition identified based on conversational contexts, Yule also implies the existence of linguistically conventional presupposition, namely presupposition which “has been associated with the use of a large number of words, phrases, and structures” (1997: 27). The explicit term used by Yule to represent this kind of presupposition is potential presuppositions which

include several types, namely existential, factive, non-factive, lexical, structural, and counterfactual (1997:30).

The possessives and definite noun phrases, for example, are interpreted to have existential presupposition. The words “know”, “realize”, “regret”, “be aware”, “be odd”, “be glad”, and many others, on the other hand, have factive presupposition. The words “pretend”, “dream”, “imagine” etc. have non-factive presupposition. The use of some lexical items, such as “manage”, “again”, “start” are said to have lexical presupposition. The use of some structural items, such as wh-question, is said to have structural presupposition, whereas the use of conditional structure presupposes counterfactual presupposition.

Some examples that are cited by Yule are as follows.

Table 1: Potential Presuppositions

No.	Type	Example	Presupposition
1.	Existential	The X	X exists
2.	Factive	I regret leaving	I left
3.	Non-factive	He pretended to be happy	He wasn't happy
4.	Lexical	He managed to escape	He tried to escape
5.	Structural	When did she die?	She died
6.	Counterfactual	If I weren't ill, ...	I am ill

The table shows that the use of definite article presupposes the existence of the noun phrase. The use of the word “regret” presupposes that the information following it is a fact, whereas the word “pretend” presupposes information which is not a fact. The word “manage” presupposes that the speaker “has tried” beforehand. Using “wh-question” presupposes that the information after it is already known to be the case. The use of conditional structure presupposes that the information is contrary to the fact.

In the writer’s opinion, Yule’s classification of the types of potential presuppositions, presented above, seems to be inconsistent. On the one hand, he classifies based on meaning, such as # 1, 2, 3, and 6, on the other hand, he includes the classification based on form, like # 4 and 5. Anyway, the point he wants to make is obvious, that is besides conversational presupposition of which interpretation is based on context, there is also a conventional

presupposition which is inherent in the use of some lexical and structural items, not necessarily dependent on communicative context.

### **Summary**

Presupposition is what the addressor (speaker or writer) believes to be existent in the mind of the addressee (hearer or reader) prior to producing utterances. It means the speaker believes that the hearer already knows what is being talked about. When someone asks, “where’s your brother?” s/he believes that the hearer has (a) brother(s) and knows which brother s/he means. Presupposition belongs to the speaker and it can be wrong. When someone produces a language speaking or writing, s/he must have some belief in mind that what s/he is talking or writing about is already known by the hearer or reader. That belief is technically called presupposition.

### **Exercises**

1. What is presupposition?
2. Who has the presupposition?
3. How does presupposition exist?
4. What is the function of presupposition in the process of communication?
5. Explain the characteristics of presupposition.
6. Give examples of presupposition in communication.
7. Is presupposition always right?
8. What happens if it is wrong?
9. When does presupposition exist?
10. Why should addressor have presupposition?

# UNIT 6

## IMPLICATURE

### Introduction

This chapter presents the meaning and kinds of implicature in language use. After reading this topic, students will understand that there are basically two kinds of implicature: conventional and conversational implicatures. In addition, they will also be aware that implicature is indispensable in communication process in the sense that it whenever the speaker or writer uses language, s/he will always convey implicature, that is the meaning implied from her/his utterance. Implicature is the meaning implied by the speaker's utterances.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### Lesson Plan

**Aim** : After studying this topic, students are expected to have better understanding of the meaning and kinds of implicature and to be aware of its significance in the process of communication.

### Indicators:

- Students are able to explain the meaning of implicature
- Students are able to mention the kinds of implicature in pragmatics.
- Students are able to give examples of each kind of implicature
- Students are able to differentiate and identify all kinds of implicature
- Students are able to give evidence about the significance of implicature in communication.

**Time** : 90 minutes

### Main Materials:

- Definition of implicature

- Kinds of implicature
- Examples of each kind of implicature
- Significance of implicature in communication

## **Teaching Procedures**

### **Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

### **Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

### **Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## Detailed Materials

### Implicature

Another important concept in Pragmatics is implicature. Implicature as stated by Brown and Yule quoting Grice is “to account for what a speaker can imply, suggest, or mean, as distinct from what the speaker literally says” (1983: 31). This definition implies some points. First, implicature is performed by the speaker rather than by the hearer. Second, implicature is implied meaning which is distinct from the literal meaning of an utterance.

The corollary of those points is that first, due to the fact that implicature belongs to the speaker, what is done by the hearer is to make inference. Second, since implicature is distinct from literal meaning, in order for the hearer to be able to make accurate inference, s/he must be cognizant with the prevalent context. This is especially true with conversational implicature. Here lies the difference between conversational and conventional implicatures.

Brown and Yule mention that there are two types of implicature: conventional and conversational implicatures (1983: 31). Conventional implicature is implicature which is based on the convention by which the form of expression is usually used to implicate. Implied by the example given in their book *Discourse Analysis* (1983: 31), the convention tends to be cultural. Yule, on the other hand, states more specifically, that conventional implicature is “associated with specific words and result in additional conveyed meanings when those words are used” (1997: 45). Considering the examples given in his book *Pragmatics* (1997: 45), his emphasis is given not on cultural but on linguistic convention. The convergent point is that the conventional implicature is relatively fixed and inherent to certain forms of expression, hardly dependent on contextual variables.

An example of conventional implicature is this. When a speaker says, “Don’t mess up with that guy. He is a Madurese.” Not intending to offend Madurese people, it is stereo-typical that Madurese people are culturally temperamental. This impression, which is not necessarily true, is quite possibly caused by the fact that Madurese have a tradition of *carok*, a

physical fight using a kind of scythe (curved knife, which is very sharp and dangerous). When they feel offended, they are easily angry, and this anger often drives them to take vengeance on the offender.

Another example is that when someone says, “My father is a professor.” The hearer will conventionally conclude that the father of the speaker must be highly educated, intelligent, academically respected, and has scientific reputation. Regardless of the context, the word “professor” conventionally implies such good impression. Hence, people were disappointed when they heard news that a professor was arrested red-handed by the Corruption Eradication Commission to receive bribery during his leading position in an oil-management authority.

Conversational implicature, on the other hand, is relatively loose in the sense that it is distinct from its literal meaning, and its interpretation is greatly dictated by its context. Its practical operation is “derived from a general principle of conversation plus a number of maxims which speakers will normally obey” (Brown and Yule 1983: 31). It frequently happens in communication that speakers do not say things directly, whether it is motivated by politeness strategy or by compliance with conversational principles. In such a case, what is implicated—not literally said—during conversation is called conversational implicature. In short, Brown and Yule summarize the account of implicature by stating that

Implicatures are pragmatic aspects of meaning and have certain identifiable characteristics. They are partially derived from the conventional or literal meaning of an utterance, produced in a specific context which is shared by the speaker and the hearer, and depend on a recognition by the speaker and the hearer of the Cooperative principle and its maxims (1983: 33).

The following illustration exemplifies conversational implicature. When a man dragging his motor cycle meets a group of people, the man says, “I run out of fuel.” One of the people responds, “There is a gas station after that cross road.” The man’s utterance about running out of fuel implies that he was asking the group of people about where he could get fuel although he did not state it explicitly. Therefore, the hearer’s response that there is a gas station after that cross road is relevant as an answer to his question. The man’s utterance implies a conversational implicature.

Implicature is conveyed by the speaker's utterance which is intended to be perceived and responded by the hearer. The hearer, on the other hand, attempts to make inference towards what is conveyed by the speaker. It is quite likely that the inference made the hearer does not go in line with the implicature implied by the speaker. In other words, it is possible for the hearer to misunderstand the idea. In such a case, communication falls short. In order to maintain the success of the communication process, speaker and hearer make some kinds of negotiation. It is required that they stand on the same platform or perform the interaction within the same frame. That is to minimize the misunderstanding between them.

### **Summary**

Implicature is the meaning or idea that is implied, suggested, or meant by the speaker as distinct from what s/he literally says. Although s/he does not explicitly states, what s/he means is understood or perceived by the hearer. There are two kinds of implicature: conventional and conversational.

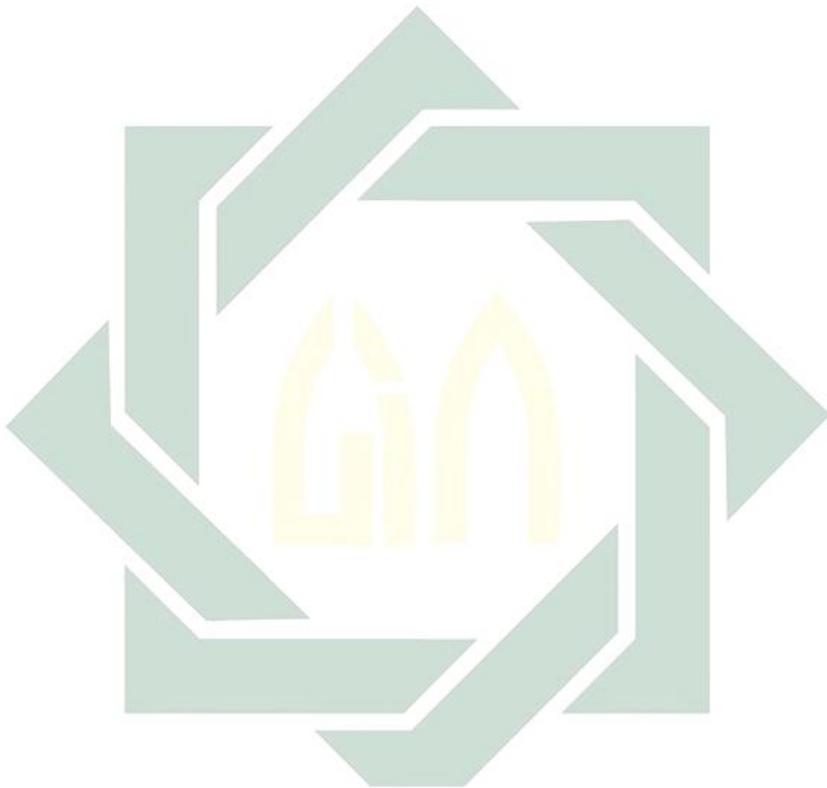
Conventional implicature is the implied meaning understood by the hearer based on cultural views. People understand what is implied because they know it as stereo-typical, for example, Madurese are stereo-typically temperamental, professor is generally speaking well-educated, intelligent, academically respected, and has scientific reputation, etc. Regardless of context, that is what people understand.

Conversational implicature, on the other hand, refers to the meaning which is implied and not explicitly stated by the speaker but can be understood by the hearer because of the context of conversation.

### **Exercises**

1. Explain the meaning of implicature?
2. Mention the kinds of implicature.
3. Explain the difference between each kind of implicature.
4. Give examples to clarify each kind.
5. In what way is implicature important in the process of communication?
6. Who does implicature belong to: speaker or hearer?
7. When the speaker conveys ideas implicitly, what does hearer make of the ideas?
8. Is the inference made by the hearer always correct?

9. Should the implicature and inference go in line? What happens if they don't?
10. What do interlocutors do to make the communication successful?



# UNIT 7

## SPEECH ACT

### Introduction

This chapter presents the meaning and kinds of speech act in language use. After reading this topic, students will understand that there are basically two thoughts about speech act: that of Austin and that of Searle. Austin's speech act contains three layers of speech act: locutionary, illocutionary, and perlocutionary speech acts. Searle, moreover developed illocutionary acts into five categories, namely assertive, directive, expressive, commissive, and declarations.

In addition, students will also be aware that speech act is indispensable in communication process in the sense that whenever the speaker or writer uses language, s/he will always perform acts which relate the forms to the meanings and to the effects. Speech acts are manifested in term of forms and convey meanings.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### Lesson Plan

**Aim** : After studying this topic, students are expected to have better understanding of the meaning and kinds of speech act and to be aware of its significance in the relationship between the forms and the meanings.

### Indicators:

- Students are able to explain the meaning of speech act
- Students are able to mention the kinds of speech act in pragmatics.
- Students are able to give examples of each kind of speech act
- Students are able to differentiate and identify all kinds of speech act
- Students are able to give evidence about the significance of speech act in communication.

**Time** : 90 minutes

**Main Materials:**

- Definition of speech act
- Kinds of speech act
- Examples of each kind of speech act
- Identifying speech act
- Significance of speech act in communication

**Teaching Procedures**

**Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

**Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

**Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.

4. The lecturer gives the students reading task about the following topic to do at home.

## **Detailed Materials**

### **Speech Act**

Speech act is the communicative function of language in use. The investigation of speech acts, therefore, must fall within the realm of pragmatics because it attempts to explore a particular phenomenon of language use in a particular setting. To gain thorough understanding of the operation of speech acts, some theories related to speech acts need to be discussed here to underlie the analysis of the focus of study.

The basic concept of speech act is that language—linguistic forms—is used to perform acts. When a person produces an utterance, s/he is actually performing an act. When s/he says “Thank you,” for example, s/he is actually performing the act of thanking. When s/he says, “My brother studies Physics,” s/he is actually asserting a proposition about a fact that her/his brother studies Physics. When s/he says, “Go out,” s/he is commanding someone else to go out, and so forth.

#### **1. Austin’s Theory**

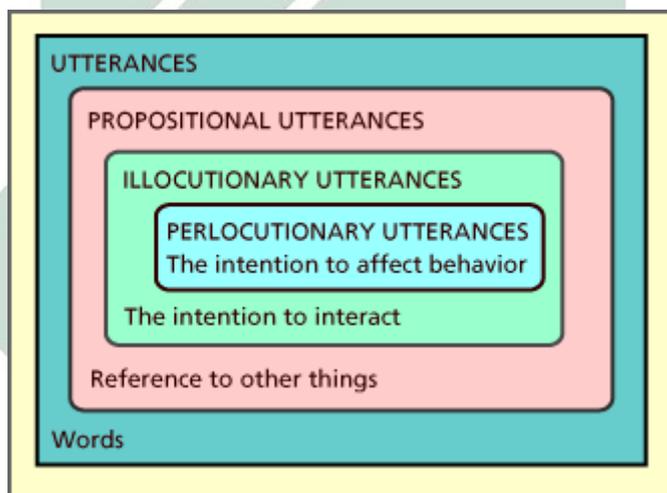
The foundation of speech act theory was laid down by a British philosopher, John L. Austin (1962) who suggested an idea, at the initial stage of development, that an utterance might be classified into constative and performative. The former was mainly colored by semantic point of view in that the utterance should deal with or state a fact which has truth condition. When someone says, “It’s cold outside,” this statement can be true or false depending on the fact whether or not the weather outside was really cold. It is true if the weather outside was cold, and false if it was not.

Using language in actual communication, however, is not only stating truth-conditional facts. Sometimes, people produce utterances which cannot be judged to be true or false. When the teacher says, “The class’s dismissed,” to end the class, for example, this utterance cannot be said to be true or false, because he does not assert a fact, but he performs an act of

ending the class. It is caused by that utterance that the class which used to be going on ends. It implies that the utterance changes the condition of the world. Such an utterance is an example of performative (cf. Mey 1994: 111-2).

In later development, Austin seems to focus more on developing performative by proposing three levels of speech acts, namely locutionary act, illocutionary act, and perlocutionary act (1962). Jacobsen illustrates the relationship of those forces as follows.

Figure 1: The graphic illustrating the relationship of the forces given by Jacobsen



Locutionary act is simply the act of saying something, or the act of producing an utterance. The outcome of this act is in the form of utterance. When someone says, “It’s cold in here,” for instance, s/he is performing locutionary act in term of producing such a meaningful linguistic form. So, this is supposed to be the basis of the other two acts. It means without this act, the other two acts could hardly exist.

In saying that sentence, the speaker does not say it just for the sake of saying. S/he must want to convey something. That utterance is just a sort of mediator by which the speaker communicates her/his intentions. The communicative function which is conveyed by the utterance is the illocutionary act. Referring to the utterance “It’s cold in here” above, the illocutionary act performed by the speaker is that s/he is making a

declarative statement. Considering the context in which the illocutionary act is performed, it can be understood that the speaker's intention may be to turn down the air-conditioner. The effect that is felt by the hearers of that utterance, such as the feeling of being obliged or requested to turn down the air-conditioner, is called perlocutionary act.

Levinson says that

The locutionary aspect has to do with 'the utterance of a sentence with determinate sense and reference'; the illocutionary aspect with 'the naming of a statement, offer, promise, etc. in uttering a sentence, by virtue of the conventional force associated with it; whereas the perlocutionary aspect deals with 'the bringing about of effects on the audience by means of uttering the sentence, such effects being special to the circumstances of utterance (1983: 236).

In short, locutionary act is the basic act, manifested in the form of linguistic utterance, on which illocutionary act, the communicative function or meaning perceived of the utterance is based. When the communicative function is perceived, it produces some effect on the side of the hearer. This is the third dimension of speech act which is called perlocutionary act.

Yule says that "of the three dimensions, the most discussed is illocutionary force. Indeed, the term 'speech act' is generally interpreted quite narrowly to mean only the illocutionary force of an utterance" (1997: 49). This statement is in line with what is further developed by Austin's follower, an American philosopher, John R. Searle.

## **2. Searle's Theory**

John R. Searle is the junior of J.L. Austin at Oxford in the fifties, who became the main proponent and defender of his ideas in the United States, and subsequently world-wide (Mey 1994: 110). Working from Austin's theories, Searle went several steps further. He focuses more on developing the concept of illocutionary acts, the communicative force of utterance. Mentioning Searle's opinion, Mey states "the interest of linguists and philosophers should center on the illocutionary aspects of language use, rather than on the dubious distinction between locutionary and illocutionary acts (which Searle, by the way, never accepted; cf 1997: 23)" (1994: 170).

Consistent with the idea of giving more emphasis on, thus developing further, the concept of illocutionary acts, Blum-Kulka (1998: 43) quoting Searle (1979) cites that “though there seems to be an endless number of illocutionary acts, such acts in fact may be grouped into five main types, namely Representatives or Assertives, Directives, Commissives, Expressives, and Declarations” (see also Yule 1997: 53, Mey 1994: 163, Leech 1991: 105-6).

Representatives or Assertives are utterances that describe some state of affairs. Representatives commit the speaker to the truth of the expressed proposition. These are the kinds of speech acts which state what the speaker believes to be the case or not. Statements of facts, assertions, conclusions, and descriptions are some examples of the speaker representing the world as s/he believes it is (Yule 1997: 53).

Directives are utterances which are produced by speaker to get the hearer to do something, for example by ordering, commanding, requesting, advising, recommending, etc. Asking questions is also included in this category because by asking question, the speaker requests the hearer to do something, i.e. to provide answers (Wilson and Sperber 1998: 268, Blum-Kulka 1998: 43).

Commissives are utterances which commit the speaker to some future action, such as promising, vowing, etc. Performing this act means the speaker commits him/herself to doing some action in the future.

Expressives are utterances by which speaker expresses the psychological state of him/herself. In relation to politeness, this can be intrinsically polite, such as greeting, thanking, congratulating, apologizing, etc., but it can also be impolite, such as cursing, blaming, accusing, etc. (Leech 1991: 106).

Declarations are utterances which affect a change of some state of affairs. Leech clarifies it by saying that this act is successfully performed if it brings about the correspondence between the propositional content and reality. The examples are resigning, dismissing, naming, christening, sentencing, etc.

In connection with the focus of this study, this Searle’s theory seems to be more relevant to describe the speech acts performed by teachers than Austin’s theory. The reason is that this theory is more applicable and more

practical in that context. This is in line with Mey's statement that "Searle finds fault with Austin's taxonomy of speech acts for various reasons, ... His twelve criteria ... are supposed to lay the groundwork for a better classificatory procedure" (1994: 162).

According to Searle, there are basically three levels of speech act, namely utterance act, propositional act, and illocutionary act (1997: 24). Utterance act refers to the act of uttering words (morphemes and sentences). Propositional act is the act of referring and predicating. Illocutionary act is "the primary unit of speaker meaning in the use and comprehension of natural languages" (Vanderveken 1994: 12). The formula used to represent the relationship between propositional act and illocutionary act is F(P), where F represents illocutionary force, and P proposition (Searle 1997: 31, Vanderveken 1994: 12). That implies distinction between the two. Utterances "Are you ill?" and "Is he coming?" for instance, have the same illocutionary force, i.e. questions, but different proposition. On the other hand, "You will come" and "Please, come" have different illocutionary forces, i.e. assertion and request, but the same proposition.

### **3. Dimensions to Classify Speech Acts**

There are several dimensions suggested by Searle, based on which speech acts can be different. In order to determine whether utterances have similar or different illocutionary acts, the following dimensions are to be taken into consideration. They are: Illocutionary point, direction of 'fit', expressed psychological state, force, social status, interest, discourse-related functions, content, speech act verbs, societal institution, performatives, and style (Mey 1994: 154-163).

Illocutionary point is the line along which illocutionary act is heading. The illocutionary point of an "order" for example is to make someone do something, and that of "promise" is the obligation (of the speaker as recognized by hearer) to do something. To exemplify the difference between illocutionary point and force, the words "order" and "request" both have the same illocutionary point but different force, in which the former has stronger force than the latter.

Direction of fit refers to the relationship between the word (language or linguistic forms) and the world (reality). There are four direction of fit of

illocutionary acts, namely word to world, world to word, double direction of fit, and empty direction of fit (Vanderveken 1994: 27-8). Illocutionary force is said have word-to-world direction of fit if its satisfaction depends on whether the linguistic expression (propositional content) is fitted to reality, whether it has truth condition, such as representative or assertive acts. Illocutionary acts have world-to-word direction of fit if their satisfaction is based on whether the reality is fitted to the linguistic forms (propositional content), such as directive acts.

Illocutionary acts are supposed to have double direction of fit if their satisfaction is determined by whether the reality is brought to match the words at the very time when the words are uttered to do so. The example is declarations acts. Illocutionary acts are regarded to have empty direction of fit if there is no correspondence between the words and the world, such as expressive acts by which the point is just to express the mental state of speaker without intending to make fit to the reality or the other way around.

In classifying a speech act, expressed psychological state is one thing to consider. That means the act to express psychological state should go in line with the true psychological state of the speaker. If one wants to express “belief” (Searle’s example) one should have that “belief” in mind. Otherwise, famous Moore paradox occurs. The utterance “It is raining and I don’t believe it” is paradoxical and self defeated. Speakers who make such utterance do not mean what they say (Vanderveken 1994: 34).

Force or degree of strength should also be considered in classifying speech acts. The utterance “I suggest that we go home now” has different force from “I insist that we go home now” in which the latter has higher degree of strength (greater force) than the former.

Social status is one of determinant factors in classifying speech act. Regarding the different status between a teacher and students in a classroom interaction, for example, “an alternative” in the utterance “Either you shut up or leave the classroom” can be counted as a threat.

Interlocutors have interests and worries about different things. These should be taken into consideration as a preparatory condition in counting an utterance as the performance of a certain speech act. “Congratulating” someone who has just got bad mark in his test, for instance, may count as an insult or a kidding.

Utterances can also be classified to count as the performance of a certain speech act regarding their surrounding acts, preceding or following them. Therefore, discourse related functions should be considered as one dimension to classify speech act.

Speech acts can be identified based on their contents, or what they are about. Predicting, for example, cannot be about past events.

The use of speech act verbs can, sometimes and not always, be considered in counting an utterance as a speech act. The analyst should be cautious in this, because a speech act of ordering, for instance, is not necessarily performed by using the verb of ordering.

Austin was the first to discover the societally institutionalized speech act (Mey 1994: 159), by coining the term performative in contrast to constative. Such a societal institution can be taken into consideration in classifying speech act. Pronouncing a husband and wife in marriage institution, sentencing in a court, dismissing a class are some examples of societally institutionalized speech acts.

Like speech act verbs, performatives can also be taken into consideration in classifying speech act, but with caution. The utterance “I promise to come” performs a speech act of promising, but “I promised to come” and “He promised to come” do not, because the last two only state the past fact.

Style is one dimension which can differentiate speech acts. The use of a certain style in speech may imply a certain act. Saying “I don’t understand the status of your question” for instance, can count as a put-down (Mey 1994: 162).

#### **4. Felicity Conditions**

In order for the illocutionary force to be felicitously performed, there are conditions that should be complied with. They are called felicity conditions consisting of propositional content condition, preparatory condition, sincerity condition, and essential condition (Searle 1997, Yule 1997, Vanderveken 1994, Blum-Kulka 1998).

Propositional content condition is that the propositional content of the utterance should be compatible with the illocutionary force. The force of promising, for example, should be about some action that will be performed

in the future, whereas apology refers to an action that has been done prior to the time of utterance.

Preparatory condition refers to the compatibility of the context with the illocutionary force. In directives, for instance, the hearer must be able to perform the requested act; in apology, the speaker must have committed something wrong.

Sincerity condition requires that the speaker be sincere in performing an act. To perform a promise, the speaker should really intend to do the act promised and believe that s/he can do it. In request, moreover, the speaker really wants the hearer to do the requested act.

Essential condition refers to the convention by which an utterance is to count. In promising, the utterance causes a change of the state of the world from non-obligation to the existence of obligation in the speaker's side. In ordering, the utterance produces obligation on the hearer's side.

## **5. Illocutionary Force Indicating Device (IFID)**

There are some devices by which illocutionary force can be identified. Searle mentions that in English the devices include: word order, stress, intonation contour, punctuation, the mood of the verb, and performative verbs. Context will also make it clear what the illocutionary force of the utterance is, despite inexplicit illocutionary force indicator (Searle 1997: 30).

In some cases, syntactic and semantic factors can also be taken into consideration in identifying speech acts. The structural forms of declarative, interrogative, and imperative can sometimes be taken to convey some communicative functions. Declarative are used to make statements, interrogative to deliver questions, and imperative to express commands. But, that is not always the case in natural language use (Yule 1997: 54).

In actual use of language, there can be no linear relationship between syntactic forms and communicative functions. Constrained by contexts, one form can be used to convey various functions, and the other way around, several forms can be used to convey one function. Concerning semantic, moreover, the use of some lexical items can be used as an indicator of speech acts. The use of the word "please" for example, implies request, regardless of the syntactic forms. Thanking can sometimes be

expressed using another word of its equivalence, such as “I am very grateful”, and so forth.

Above all, context is an important factor to identify speech acts, not only direct speech acts but also indirect speech acts. Concerning this, Blum-Kulka explicitly states “it has become increasingly clear that an overall pragmatic theory of the interpretation of indirectness needs to pay closer attention to the role of *context*, where context includes the situation and context, as well as the wider socio-cultural context” (1998: 47).

### **Summary**

There are basically two thoughts about speech act: that of Austin and that of Searle. Austin’s speech act contains three layers of speech act: locutionary, illocutionary, and perlocutionary speech acts. Searle, moreover developed illocutionary acts into five categories, namely assertive, directive, expressive, commissive, and declarations. To identify speech acts, Searle mentions that in English there are several devices including: word order, stress, intonation contour, punctuation, the mood of the verb, performative verbs, and contexts. Considering those elements, one can identify what acts are being performed as the communicative function of the speech.

### **Exercises**

1. Explain what is meant by speech act?
2. Explain the concepts of locutionary, illocutionary, and perlocutionary acts.
3. Give examples to clarify each of them.
4. Explain assertive, directive, expressive, commissive, and declarations.
5. Give examples to clarify each of them.
6. How can we identify speech acts?
7. In what way is speech act discussed as a semantic phenomenon?
8. In what way is speech act discussed as a pragmatic phenomenon?
9. Why is it important to study speech acts?
10. What is the significance of speech acts in communication?

## UNIT 8

### INDIRECT SPEECH ACTS

#### **Introduction**

This chapter presents the meaning of indirect speech act in language use. After reading this topic, students will understand what is meant by indirect speech act. In addition, they will also be aware that indirect speech act sometimes exists in communication process in the sense that it whenever the speaker or writer uses language, s/he will perform indirect speech act of which meanings are implied by the forms. indirect speech acts are manifested in term of forms which convey meanings indirectly.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

#### **Lesson Plan**

**Aim** : After studying this topic, students are expected to have better understanding of the meaning indirect speech act and to be aware of its significance in the relationship between the forms and the meanings.

#### **Indicators:**

- Students are able to explain the meaning of indirect speech act
- Students are able to give examples of indirect speech act
- Students are able to provide example of the use of indirect speech act.
- Students are able to give evidence about the significance of indirect speech act in communication.

**Time** : 90 minutes

#### **Main Materials:**

- Definition of indirect speech act
- Examples of indirect speech act

- Significance of indirect speech act in communication

## **Teaching Procedures**

### **Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

### **Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

### **Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## Detailed Materials

### Indirect Speech Acts

Speech acts may sometimes be performed indirectly. This is especially true for the speech acts of which illocutionary functions are competitive (Leech 1991) in which the illocutionary goal competes with the social goal, such as illocutionary acts of directives (Searle 1979), for instance. This is because the performance of indirect speech acts is mainly motivated by politeness (Lakoff 1977, Brown and Levinson 1978 in Clark 1998: 102). In other words, the speaker usually performs indirect speech acts because s/he wants to be polite. In the case of request, direct request presumes a certain status of the speaker over the hearer. When this does not exist, to mitigate the degree of imposition, thus to save the face, hence to be polite, the speaker would rather perform it indirectly.

Yule mentions the relationship between a structure and a function determines the directness or indirectness of speech acts. He says that “whenever there is a direct relationship between a structure and a function, we have a direct speech act. Whenever there is an indirect relationship between a structure and a function, we have an indirect speech act” (1997: 54-5). Thus, a declarative sentence used to make a statement is a direct speech act. But, when it is used to make a request, it is an indirect speech act. Clark, furthermore, uses the terms literal and indirect meanings to characterize directness and indirectness (1998: 99). Taken literally, the utterance refers to directness, taken indirectly refers to indirect speech act.

To talk further about indirect speech acts, Blum-Kulka claims that there are conventional and non-conventional indirectness (1989: 38). Conventionality is defined as “aspects of social life where practice is based on general, often tacit consent in regard to both patterns of behavior and the meaning assigned to those patterns” (Blum-Kulka 1989: 99). Consistent with such a definition, conventional indirectness is performing an utterance of which meaning is based on generally agreed meaning of that pattern. Clark, furthermore, contends that there are two kinds of convention, namely convention of means and convention of form (1998: 102). The former specifies a semantic device by which an indirect speech act can be

performed. The latter refers to the conventional wording of indirect speech acts.

For example, a teacher says to his student, “Can you clean the board, Danny?” Following Clark’s framework, the literal meaning is the teacher asks Danny if he can clean the board. The indirect meaning is the teacher requests him to clean the board. In Yule’s term, this utterance is in interrogative form, but it is used to convey request. So, it can be said that this is an indirect illocutionary act because the request is performed using interrogative instead of imperative form. According to Clark’s framework, this is conventionally indirect because it complies with both convention of means and convention of form. One convention of English is that a speaker can indirectly requests hearer to do a particular act by questioning his ability to do the act (convention of means). The patterns “Can you...” and “Could you...” are highly conventional, or idiomatic, forms of English to express request (1998: 102).

Non-conventional indirectness, on the other hand, is the production of utterance by which interpretation is not based on conventions, but rather on conversational principles and highly dependent on context. According to Gibbs “Comprehension of non-conventional indirect requests requires more inferences by the listener, using his or her knowledge of the speaker and the conversational context (1998: 163).

For example, in the classroom where the ceiling fan is blowing hard, the teacher says to the students, “It’s cold in here.” Taken literally, the teacher is asserting that the weather is cold. Considering the situational context on the one hand, and the principle of relevance on the other, the teacher’s utterance can be interpreted as a sort complaint about the weather. Since the coldness of the weather which is complained by the teacher is caused by the fan’s blowing hard, it is understood that the teacher must request something to be done of the fan. So, the indirect meaning that might be understood by the students is the teacher “requests that the fan be turned down.” This is a non-conventional indirect illocutionary act.

As was stated earlier, structural forms do not necessarily convey their standard or conventional functions. Utterances with imperative mood, for instance, are standardly used to convey directive force, where a directive is defined as an attempt to get the hearer to perform an action described by

the proposition expressed. However, Wilson and Sperber (1998: 270-2) mention some counter-examples in which the main-clause imperative is literally and seriously used without the predicted directive force. The following examples are imperative forms which hardly express directive acts as defined above. Instead, they convey advice, permission, threats and dares, good wishes, audienceless cases, and predetermined cases. The examples are as follows:

*Advice*

1. (a) Peter: Excuse me, I want to get to the station.  
(b) Mary: Take a number 3 bus.

Here, Mary is advising Peter what to do. There is no reason to think she cares whether Peter follows her advice, hence no reason to analyze her utterance as an attempt to get Peter to take a number 3 bus.

*Permission*

2. (a) Peter: Can I open the window?  
(b) Mary: Oh, open it, then.

Here, Mary is giving Peter permission to open the window. There is no reason to think she cares whether Peter performs the permitted action, and hence no reason to analyze her utterance as an attempt to get him to open the window.

*Threats and Dares*

Mary, seeing Peter about to throw a snowball, says threateningly:

3. Go on. Throw it. Just you dare.

Mary's utterance is not an attempt to get Peter to throw the snowball—on the contrary.

*Good Wishes*

Mary, visiting Peter at the hospital, says:

4. Get well soon.

Since the "action" described is not under Peter's control, there is no reason to analyze Mary's utterance as an attempt to get Peter to perform it.

*Audienceless Cases*

Imperatives can be used in the absence of an agent or hearer, as when Mary looks at the sky and says:

5. Please don't rain.

Or gets into the car and mutters:

6. Start, damn you.

The absence of agent or hearer makes it hard to see these utterances as attempt to get someone to perform the action described.

#### *Predetermined Cases*

A mother, whose notoriously ill-tempered child has been sent to apologize to someone, thinking to herself as the child arrives home:

7. Please don't have made things worse.

Here, not only is there no hearer, but the events described have already happened (or failed to happen), and cannot be affected by what is said. Again, the predictions made by the directive analysis of imperative are not borne out.

That also applies to questions. Bach and Harnish (1979: 40) state that "Questions are special cases of requests, special in that what is requested is that the hearer provides the speaker with certain information." In the following examples, however, Wilson and Sperber mention some questions by which the speaker does not request information from the hearer (1998: 280-1). They are rhetorical questions, exam questions, guess questions, surprise questions, expository questions, self-addressed questions, and speculative questions.

#### *Rhetorical questions*

Peter has made a New Year's resolution to give up smoking. As he lights up on New Year's Day, Mary says to him:

1. "What's your New Year's resolution?"

It is clear that Mary knows the answer, and her question is not to request information. It is only as a reminder.

#### *Exam questions*

Examiners usually know more about the subject than examinees, and it would be odd to treat exam questions as requests for information.

#### *Guess questions*

Mary hides a sweet in her hand, puts both hands behind her back, and says to Peter:

2. "Which hand is it in?"

The questioner already knows the answer, whereas the hearer does not, and can at best only make a guess. It is like an exam question.

### *Surprise questions*

3. Peter: The president has resigned.

Mary: Good heavens. Has he?

It seems inappropriate to consider Mary's utterance as a request of information, which she was just given. Mary expresses surprise at the information she has just received.

### *Expository questions*

A writer often opens his/her writing by posing questions to arouse readers' interest. This is by all means not a request for information at all.

### *Self-addressed questions*

Regretting what she has done, Mary says to herself, "Now why did I say that?" This is better considered as Mary's wondering what she has done than requesting information.

### *Speculative questions*

When Mary thinks to herself, or asks Peter idly, "What is the best analysis of interrogative sentences?" Mary may know that she does not know the answer, neither does Peter, neither does anybody else. On the speech act account, there is no point in asking a question unless you think the hearer may be able to provide the answer. This rules out all speculative questions, that is, all questions that are of more than passing interest.

## **Summary**

When communicative functions compete with social goals, directive acts are usually performed indirectly. That is intended to save the face of the hearer. So, indirect speech acts are mostly realized for directive acts. For this, attention should be paid to the difference between syntactic constructions and communicative functions. The syntactic constructions such as declarative, interrogative, and imperative sentences are not linearly related with their communicative meanings. The form may be declarative, but its function may be directive. The form may be interrogative, but its meaning may be request. The form may be stated in positive command, but its meaning can be prohibition.

Indirect speech acts are of two kinds: conventional and non-conventional or conversational. The conventional indirect speech is that the implied meaning is understood due to the conventional linguistic knowledge.

The conversational indirect speech acts, on the other hand, imply that the meanings are understood entirely based on the contexts surrounding the utterances.

### **Exercises**

1. Explain what is meant by indirect speech act.
2. Give examples to clarify your explanation.
3. Mention the kinds of indirect speech act.
4. Why do people perform indirect speech acts?
5. Explain this statement “syntactic constructions are not necessarily in line with their communicative functions.”
6. Give examples to clarify your explanation.
7. Explain the relationship between indirect speech acts and social goal.
8. What is the significance of indirect speech acts in communication?
9. What are the uses of questions?
10. Give an example of indirect speech act which is not directive.

## UNIT 9

# CONVERSATIONAL PRINCIPLES

### **Introduction**

This chapter presents the meaning and kinds of conversational principles in language use. After reading this topic, students will understand that there are basically four kinds of conversational principles: quantity, quality, manner, and relation. In addition, they will also be aware that conversational principles are indispensable in communication process in the sense that whenever the speaker or writer uses language, s/he will always comply with or flout the use of conversational principles..

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### **Lesson Plan**

**Aim** : After studying this topic, students are expected to have better understanding of the meaning and kinds of conversational principles and to be aware of their significance in communication process.

### **Indicators:**

- Students are able to explain the meaning of conversational principles
- Students are able to mention the kinds of conversational principles in pragmatics.
- Students are able to give examples of each kind of conversational principles
- Students are able to differentiate and identify all kinds of conversational principles
- Students are able to give evidence about the significance of conversational principles in communication.
- Students are able to give examples of compliance with conversational principles

- Students are able to give examples of flouting conversational principles

**Time** : 90 minutes

**Main Materials:**

- Definition of conversational principles
- Kinds of conversational principles
- Examples of each kind of conversational principles
- Significance of conversational principles in communication

**Teaching Procedures**

**Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

**Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

**Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.

3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## **Detailed Materials**

### **Conversational Principles**

Relevant with pragmatic study, one of which purpose is to uncover how more gets communicated than is said (Yule 1997: 3), it is important to deal with the principles underlying communicative behavior which is in the form of conversation. In connection with this, Grice proposes what is called Cooperative Principles, which says “Make your conversational contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of talk exchange in which you are engaged” (1975: 45).

In its operation, this principle is supported by four maxims, namely quantity, quality, relation, and manner. Quantity maxim says, “Make your contribution as informative as is required (for the current purposes of the exchange). Do not make your contribution more informative than is required.” Quality maxim says, “Do not say what you believe to be false. Do not say that for which you lack adequate evidence.” Relation maxim says, “Be relevant.” Manner maxim says, “Be perspicuous. Avoid obscurity of expression. Avoid ambiguity. Be brief. Be orderly” (Brown and Yule 1983: 32).

Normally, when interlocutors are engaged in a conversation, they comply with any of those maxims. The phrase “normally” at the beginning of this paragraph is worth noting. It implies that sometimes there are some conditions in which interlocutors do not comply with the maxims. In other words, it is quite possible that they flout them for some purposes. The phrase “any of those maxims” at the end of the paragraph is also worth paying attention. It indicates that the compliance is not necessarily with all maxims at the same time. But, it is quite possible that the compliance is only with one, or two, or three of them depending on whether the condition requires. In addition to that, the compliance with the maxims may sometimes be contradictive to each other. In other words, it sometimes happens that certain

condition requires the compliance with one maxim and at the same time flout another.

Cummings, however, states that “the entire framework of Gricean maxims is superseded by a principle of relevance” (2005: 17). The principle of relevance that Cummings recommends to replace Grice’s maxims belongs to Sperber and Wilson. He further says that despite the fact that Grice has mentioned the maxim of relation, but he “never even so much as advances a definition of relevance” (2005: 17). Cummings’ reason in preferring Sperber and Wilson’s principle of relevance to Grice’s maxims is that the former is more deep-rooted and more efficient than the latter.

Cummings supports his preference by enumerating some features of the principle (2005: 17-18). There are three noteworthy features of Sperber and Wilson’s principle of relevance. First, its applicability is not only to communication but also to the domain of cognition in general. It means principle of relevance is basically a principle of cognition. In so far as communication occurs always following the principle of cognition, communicative phenomenon, thus, should always be compliant with the principle of relevance. Second, principle of relevance is also shaped by cognition. It means the processing that is warranted by this principle will proceed in cost-benefit fashion. When the cost of processing a proposition exceeds the benefit of its result, the processing ceases. Third, the principle of relevance does not only shape the utterances of the speaker but also the interpretation of the hearer.

In relation to this, Sperber and Wilson explicitly state

We also assume that a speaker who thinks it worth speaking at all will try to make his utterance as relevant as possible. A hearer should therefore bring to the processing of every utterance the standing assumption that the speaker tried to be as relevant as possible in the circumstances. It is this assumption that we call the principle of relevance (1991: 382 in Cummings 2005: 18).

In the writer’s opinion, this principle of relevance is more efficient to explain the communicative behavior, because it can be used to explain not only the relationship between interlocutors’ utterances and their contexts but also among the utterances themselves. The principle is that all communicative behaviors are assumed to be relevant. That is based on the

reason that communication is based on cognition, and cognition always follows the principle of relevance. Sperber and Wilson say that “communication is properly part of wider cognition. ... principle of relevance is thus a cognitive principle in the first instance and a communicative principle only derivatively through the dependence of communication on cognition” (Cummings 2005: 18).

### **Summary**

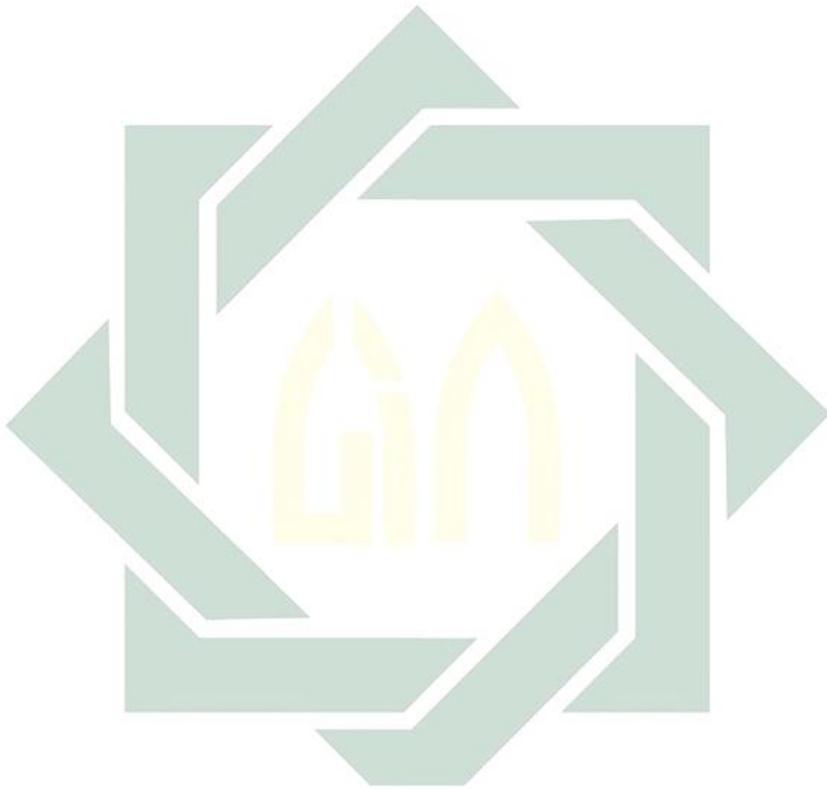
Conversation takes place naturally complying with some principles. There are four principles of conversation, namely quantity, quality, manner, and relation. Quantity maxim says, “Make your contribution as informative as is required (for the current purposes of the exchange). Do not make your contribution more informative than is required.” Quality maxim says, “Do not say what you believe to be false. Do not say that for which you lack adequate evidence.” Relation maxim says, “Be relevant.” Manner maxim says, “Be perspicuous. Avoid obscurity of expression. Avoid ambiguity. Be brief. Be orderly” (Brown and Yule 1983: 32).

Any of those principles, however, for some purposes or in any other situations, might be intentionally flouted by the speaker, for example, to express humor, a speaker may make his/her speech more than is needed. That is flouting principle of quantity. To save oneself, to keep harmonious relationship, or to gain personal benefit, it is possible that a speaker tells lies, which is flouting the principle of quality. Flouting the principle of relation, moreover, may produce humorous effect, such as the case of Bolot, an Indonesian comedian, who pretends to be deaf so that he can produce utterances which are irrelevant with the stimuli.

### **Exercises**

1. Explain what is meant by conversational principles.
2. Mention those principles.
3. What does the principle of quantity say?
4. What does the principle of quality say?
5. What does the principle of manner say?
6. What does the principle of relation say?
7. Give examples of flouting any of those principles.

8. Why are the principles flouted?
9. What is the effect of flouting the principle of relevance?
10. What is the merit of obeying those principles?



## UNIT 10

### POLITENESS STRATEGY

#### **Introduction**

This chapter presents the meaning and kinds of politeness strategy in language use. After reading this topic, students will understand that there are basically four kinds of politeness strategies: bald on-record strategy, positive politeness strategy, negative politeness strategy, and off-record strategy. In addition, they will also be aware that politeness strategy is indispensable in social communication process in the sense that it whenever the speaker or writer uses language, s/he should always consider using politeness strategy to preserve good relationship with the addressee, that is by keeping the addressee's face safe.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

#### **Lesson Plan**

**Aim** : After studying this topic, students are expected to have better understanding of the meaning and kinds of politeness strategy and to be aware of its significance in the the process of social communication.

#### **Indicators:**

- Students are able to explain the meaning of politeness strategy
- Students are able to mention the kinds of politeness strategy in pragmatics.
- Students are able to give examples of each kind of politeness strategy
- Students are able to differentiate and identify all kinds of politeness strategy
- Students are able to give evidence about the significance of politeness strategy in social communication.

**Time** : 90 minutes

**Main Materials:**

- Definition of politeness strategy
- Kinds of politeness strategy
- Examples of each kind of politeness strategy
- Significance of politeness strategy in communication

**Teaching Procedures**

**Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

**Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

**Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## Detailed Materials

### Politeness Strategy

As a social being, people need to interact with each other. In order for the interaction to be successful, the interaction participants should not only know the language but at the mean time they should also obey the social norms governing language use. This is intended to avoid communication misunderstanding or even miscommunication among the participants. To serve this purpose, interlocutors should be familiar with politeness strategy.

The basic idea of politeness is face-saving (Goffman 1967). Face is a public self-image of a person. It refers to “emotional and social sense of self that everyone has and expects everyone else to recognize” (Yule 1997: 60). In interaction process, each participant should endeavor to preserve each other’s face. Politeness, therefore, is defined as “the means employed to show awareness of another person’s face” (Yule 1997: 60).

Brown and Levinson propose four strategies of politeness (1987), namely, first, bald on-record strategy by which communicative act is realized in the most direct way. The teacher’s language of control in classroom discourse addressed to learners is usually of this type. For the reasons of efficiency and/or asymmetrical relationship between the teacher and the learners in which the teacher is more powerful and the holder of authority over the learners, the teacher uses this kind of strategy. It is also usually used between intimate friends. The most common form is imperative such as “Do X.”

The second strategy is positive politeness strategy. This is used to satisfy the addressee’s positive face that is “the need to be accepted, even liked, by others, to be treated as a member of the same group, and to know that his/her wants are shared by others” (Yule 1997: 62). So, this strategy is used by showing solidarity between interlocutors. Blum-Kulka (1998: 51) gives some further indicators of this strategy stating that it may include attention to “the hearer’s interests or needs ... to preface a request for a favor, ...in-group identity markers to mitigate a command, ...the use of

slang, jokes, endearments and nicknames.” An example given by Yule is, “Hey, buddy, I’d appreciate it if you’d let me use your pen.” (1997: 64).

The third type is negative politeness strategy. This is used by satisfying the negative face, namely “the need to be independent, to have freedom of action, and not to be imposed on by others” (Yule 1997: 61). It may be realized “by asking about (rather than assuming) cooperation, by giving options to the hearer not to do the act, by adopting a pessimistic attitude and by various kinds of hedging, ...and explicit linguistic marking of deference” (Blum-Kulka 1998: 51). The primary example for this is the use of conventional indirectness in requests, such as “Could you do X for me?”

The fourth is off-record strategy. This is the most indirect type of strategy. Using this strategy means “realizing the act so indirectly that speaker cannot be made accountable for any specific communicative intent” (Blum-Kulka 1998: 52). Due to its indirectness, it is quite possible that the act is not satisfied because of the hearer’s failure in recognizing the intent. Non-conventional indirect requests may be best example for this. Saying “I think it’s a little bit too chilly in here,” intending that someone may turn down the ceiling fan in a classroom, for example, may not get any proper behavioral or actional response from anybody because of their failure to perceive the request. Since it is the most indirect, this strategy seems to be the least threatening to the face, thus the most polite in comparison to the other three.

Leech, on the other hand, tries to relate illocutionary acts to politeness (1991). In dealing with this, he cites four kinds of illocutionary functions, namely competitive, convivial, collaborative, and conflictive. It is called competitive when illocutionary goal competes with the social goal, such as ordering, asking, demanding, begging, etc. In convivial, the illocutionary goal coincides with the social goal, e.g. offering, inviting, greeting, thanking, congratulating, etc. In collaborative, the illocutionary goal is indifferent to the social goal, e.g. asserting, reporting, announcing,, instructing, etc. In conflictive, the illocutionary goal conflicts with the social goal, e.g. threatening, accusing, cursing, reprimanding, etc. (1991: 104)

In relation to politeness, the first two functions are the ones which involve politeness. When someone is performing competitive functions, such

as ordering, asking, demanding, begging, for instance, it is quite possible to do them politely or impolitely depending on the preference of the speaker. This is also applicable when someone is performing convivial functions, e.g. offering, inviting, greeting, thanking, congratulating.

The third function, which is collaborative, is not relevant with politeness, it tends to be neutral as regards politeness. The fourth function, conflictive, is against politeness, because it is by nature impolite. Leech (1991) further relates his four illocutionary functions to the five classifications of Searle's illocutionary acts. Assertives which commit the speaker to the truth of the expressed proposition tending to be neutral as regards politeness belong to collaborative. Directives in which the speaker imposes an action done by the hearer, thus closely related to politeness belong to competitive. Commissives which commit the speaker to some future action tend to be convivial. Expressives in which the speaker expresses psychological attitude, such as thanking, congratulating, praising, etc. tend to be convivial. The reverse, however, such as cursing, blaming, accusing, etc. are conflictive. Declarations which bring propositional content into reality tend to be collaborative, which is neutral regarding politeness.

Those theories related to politeness are ones which are supposed to be most relevant with the focus of this study which deals with the speech acts of teachers' discourse. In reference to Brown and Levinson's politeness strategies, for instance, the writer suspects whether the teachers use bald on-record strategy more frequently than the others. This is based on the reason that there is asymmetrical relationship of communication between the teacher and the learners, in which the teacher is in powerful position, in control, and holding authority over the learners. If only other strategies were used, it would be interesting to see how and why they are used.

Leech's relating illocutionary acts to politeness, moreover, is also relevant with the focus of this study. This is to see if politeness is related to teachers' illocutionary acts, and if so, how they are related. This concept of politeness which assumes harmonious relationship between interlocutors is comparable to Diller's (2004) statement of the "right speech." In her paper, she quotes Ayya Khema (1987) who gives a succinct account of how harmony is to be preserved.

If you know anything that's hurtful and untrue, don't say it. If you know anything that's helpful and untrue, don't say it. If you know anything that's hurtful and true, don't say it. If you know anything that is helpful and true, find the right time....The right time has come when the other person is agreeable to listening and in a peaceful frame of mind. And it should, above all, be a time when oneself has only loving feelings for the other person.

### **Summary**

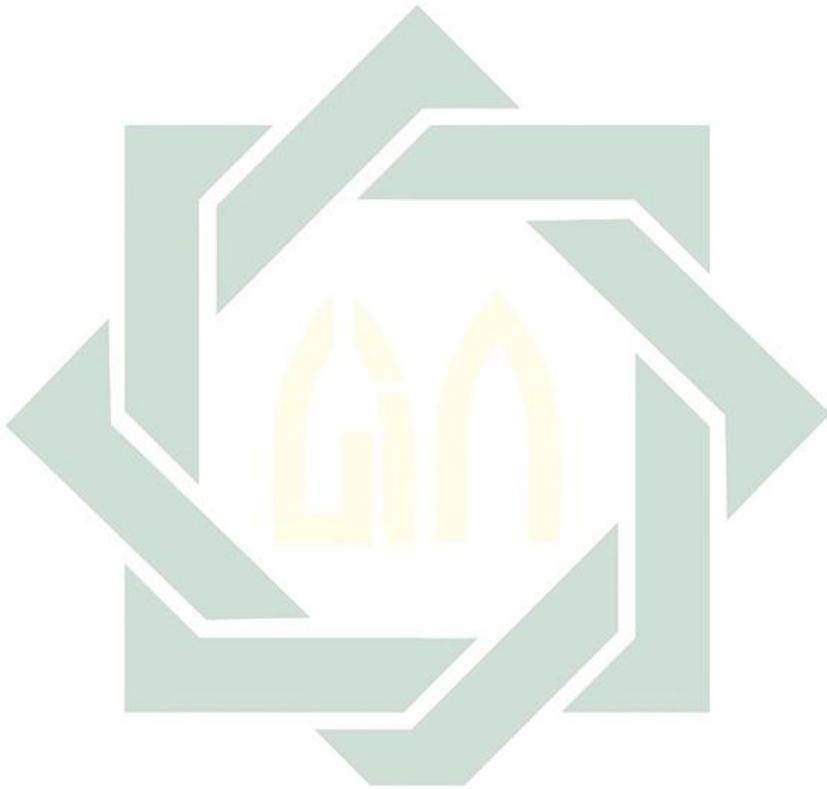
Brown and Levinson propose four strategies of politeness (1987), namely, first, bald on-record strategy by which communicative act is realized in the most direct way. The most common form is imperative such as "Do X." The second strategy is positive politeness strategy. This strategy is used by showing solidarity between interlocutors. An example given by Yule is, "Hey, buddy, I'd appreciate it if you'd let me use your pen." (1997: 64).

The third type is negative politeness strategy. It may be realized "by asking about (rather than assuming) cooperation, by giving options to the hearer not to do the act, by adopting a pessimistic attitude and by various kinds of hedging" (Blum-Kulka 1998: 51). The primary example for this is the use of conventional indirectness in requests, such as "Could you do X for me?" The fourth is off-record strategy. This is the most indirect type of strategy.

### **Exercises**

1. What is the underlying principle of using politeness strategy?
2. Mention those strategies.
3. Explain what each means.
4. Give examples to clarify each of those strategies.
5. Why should speakers use a politeness strategy?
6. What strategy is most direct?
7. What strategy is most indirect?
8. Explain the relationship between politeness strategy and illocutionary acts.

9. What acts are most possible to be connected with politeness strategies?
10. In what way is politeness strategy important in social communication?



## UNIT 11

# METACOMMUNICATIVE FUNCTIONS

### **Introduction**

This chapter presents the kinds of metacommunicative functions in language use. After reading this topic, students will understand that there are several metacommunicative functions. In addition, they will also be aware that metacommunicative function is indispensable in social communication process in the sense that it whenever the speaker or writer uses language, s/he should always produce metacommunicative functions to serve the purposes of communicative activities. Hence, confronted with certain data, students are able to identify those functions.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### **Lesson Plan**

**Aim** : After studying this topic, students are expected to have better understanding of the kinds of metacommunicative functions and to be aware of its significance in the process of authentic social communication.

### **Indicators:**

- Students are able to mention the kinds of metacommunicative functions.
- Students are able to explain the kinds of metacommunicative functions.
- Students are able to give examples of each kind of metacommunicative functions.
- Students are able to differentiate and identify all kinds of metacommunicative functions

**Time** : 90 minutes

**Main Materials:**

- Definition of metacommunicative functions
- Kinds of metacommunicative functions
- Examples of each kind of metacommunicative functions

**Teaching Procedures****Pre-activity**

1. Creating good rapport
2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

**Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic to the lecturer and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

**Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## Detailed Materials

### Metacommunicative Functions

The term metacommunication is coined and used by Stubbs (1983: 48) to refer to “the verbal monitoring of the speech situation”. It includes messages about the channels of communication, checks whether the communication is working, messages which serve to keep the communication working smoothly, control over who speaks and how much, cues for speakers to stop talking or to interrupt, checks whether the messages have been received and understood, and control over the content of communication. Despite the fact that such linguistic phenomenon may take place in any kinds of communication, Stubbs (1983: 47) contends that this is particularly relevant to the teacher’s communication in the classroom.

Stubbs (1983) also says that a particular kind of metacommunication is metalanguage, which means language about language, language which refers to itself. In everyday talk, such a phenomenon can frequently be found, such as “Do you follow me?” “I’m sure he didn’t mean what he said,” “You don’t mean it, do you?” “Sorry, I don’t get it,” “How dare you talk to me like that?” “Who do you think you are talking to?” etc. In teacher’s talk during classroom interaction, furthermore, such expressions may also be heard frequently, such as comprehension checks, clarification requests, confirmation checks, self-repetitions, other repetitions, expansions, corrections, etc. (Ellis in Gass and Madden, 1985; Milal, 1993). In sum, metacommunicative functions by which teachers monitor the communication system in the classroom is likely to be a significant feature of teacher’s discourse in language classroom setting, thus worth considering in this study.

Stubbs presents some examples of the kind of metacommunicative functions in the classroom taken from recording made during his observation of English lessons in an Edinburgh secondary school, including attracting or showing attention, controlling the amount of speech, checking or confirming understanding, summarizing, defining, editing, correcting, and specifying topic (see Table 2.2 in the following page).

Menon (2001), moreover, suggests some examples of metacommunicative functions, including clarifying, exemplifying, prompting, checking progress, reminding, reprimanding, and giving permission. These categories are created when analyzing teacher's language during language activities which usually take place during the consolidation stage of language lessons, when the teacher acts as a catalyst who urges pupils to participate actively.

Table 2: Stubbs' (1983) Example of Teacher's Metacommunicative Functions with some Modification

<b>Transcript of Tape-recording</b>		<b>Metacommunicative Functions</b>
T1	right – as I was saying – the subject of the discussion is capital punishment – now – you don't understand what this means capital punishment – is when - a murderer do you know what a murderer is – a murderer	Attracts pupils' attention Attracts pupils' attention Specifies topic of discussion Attracts pupils' attention Checks pupils' understanding Defines a term Checks pupils' understanding Repeats to check understanding
P1	yes	
T1	if a man kills another man	
P1	ah yes yes	
T1	he is a murderer – then – when – a murderer is arrested – and he has a trial – then what happens to him afterwards – what happens after that	Defines a word    Reformulates to check understanding
P1	he has a punishment	
T1	yes he is punished	Corrects pupil's language

P1	punished	Attracts pupils' attention
T1	now – what punishment do you think he should get?	
P2	prison	Checks his own understanding or shows attention
T1	prison	
P2	(makes strangling gesture)	Explicitly controls amount of speech
T1	can you tell what – explain	
P2	they put a rot	Correct pupil's language
T1	a rope	
P2	a rope – around his neck	Shows attention
T1	yes	
P2	and hang him	Repeats to check his own understanding or show attention
T1	and hang him	
	so ah we've got two different ideas here	Summarizes

Notes:

T1: Teacher

P1: Pupil 1

P2: Pupil 2

In addition, Bowers as quoted by Menon (2001) also presents some categories of metacommunicative functions covering responding, sociating, organizing, directing, presenting, evaluating, and eliciting.

It can be seen from the table above that almost all teacher's effort is devoted to coaxing along the communication process itself: proposing a topic of discussion, checking if his pupils are following, defining terms, inviting the pupils to speak, editing, and correcting their language. In other words, the various different kinds of communicative acts which the teacher performs are to have led to a very high degree of explicit monitoring of the classroom discourse.

Lenz (1997), on the other hand, has a slightly different opinion concerning metacommunication. He criticizes the idea that

metacommunication is described as "explicit communication about communication." This view, according to Lenz (1997), underlies his discussion of communication breakdowns, where he seems to think that metacommunication takes place - or should take place - where normal communication, the management of so-called 'content aspect', does not work properly. It is of course possible that metacommunication in the sense of communication about communication is meant to 'heal' disturbed communication, but this is only one type of metacommunication (Lenz, 1997).

One more thing that is noteworthy here is Stubbs' (1983: 59) statement which says that "particular difficulty in describing speech behavior [is] that there are often no absolutes which can be isolated". This assertion is treated by the writer to be a sort of caution that he should take in carrying out this study.

### **Summary**

Metacommunication is simply defined as communication about communication. When people are involved in a communication process, it is sometimes important for outsiders, especially for scientific purposes, to identify what those people are doing during the process, such as whether they are calling attention, checking comprehension, requesting repetitions, defining a specific term, etc. These are called metacommunicative functions.

Knowledge and awareness about these is significant in the study of pragmatics if the student is to be able to identify and to analyze the functions people are performing during their communication process.

### **Exercise**

1. What is metacommunicative function?
2. Mention some kinds of metacommunicative function.
3. Give an example of some of them.
4. How can we identify metacommunicative function?
5. What is the importance of knowing metacommunicative function?

## **UNIT 12**

### **REVIEW OF**

# **BASIC PRAGMATIC CONCEPTS**

### **Introduction**

This chapter reviews all the topics that have been discussed in the previous units. It deals with some basic concepts in the study of Pragmatics. Reading this unit, students obtain comprehensive, unified understanding and knowledge of what Pragmatics is all about. Hence, it is expected that they are able to implement that knowledge to analyze authentic data of linguistic behavior.

To conduct the classroom meeting on this topic, students should have read the materials, made summary of the topic, and should present the ideas using electronic media, such as a laptop and an LCD projector, and a whiteboard and board markers.

### **Lesson Plan**

**Aim** : After studying this topic, students are expected to have better understanding and comprehensive knowledge of basic concepts of Pragmatics, and are able to implement that knowledge to analyze authentic data of linguistic behavior.

### **Indicators:**

- Students understand the basic concepts and are able to implement them to analyze linguistic data.

**Time** : 90 minutes

### **Main Materials:**

- Some basic concepts of Pragmatics

### **Teaching Procedures**

#### **1. Pre-activity**

1. Creating good rapport

2. Apprehension: before the lesson starts, the lecturer gives illustrations, examples, clues toward the topic that will be discussed.
3. The students share ideas and guess the topic.

## **2. Whilst-activities**

1. The students of the group which has been decided submit the summary of the topic and present it to the class.
2. Students conduct discussion by asking questions about the points which are not clear yet.
3. The lecturer gives more detailed explanation to make sure the students understand the topic.
4. The lecturer gives the students a chance to ask questions related to the topic.
5. The students do exercises

## **3. Post-activity**

1. The lecturer gives the conclusion from the students' discussion.
2. The lecturer gives motivation and suggestion to the students.
3. The students make reflection.
4. The lecturer gives the students reading task about the following topic to do at home.

## **Detailed Materials**

### **Review of Basic Pragmatic Concepts**

Linguistic turn is marked among others by the shift of focus linguists usually view language. When the structuralists' claim that language is a structural system of interrelated components failed to satisfy the functionalists' quest of what language is for, the latter group prefer to view language as a means to establish and maintain social relations. Discontented with such a view, furthermore, linguistic philosophers are more interested in probing the mental actions in the minds of the interlocutors by which the social communicative behavior operates.

To analyze such natural phenomena of society's communicative activities, furthermore, it is important that the following pragmatic concepts

be explained here. By understanding these concepts, analysts are able to reveal the mystery of language use.

### **Pragmatics**

Blum-Kulka (1989:38) quotes that Morris (1938:6) differentiates three terms: syntax, semantics, and pragmatics. Syntax is defined as the study of “the formal relation of signs to one another,” semantics as that of “the relations of signs to the objects to which the signs are applicable,” and pragmatics “the relation of signs to interpreters”. Clearer and more operational definitions are given by Yule (1996:4) who states that

Syntax is the study of relationships between linguistic forms, how they are arranged in sequence, and which sequences are well-formed. ... Semantics is the study of relationships between linguistic forms and entities in the world; that is, how words literally connect to things. ... Pragmatics is the study of the relationships between linguistic forms and the users of those forms.

He further asserts that “the advantage of studying language via pragmatics is that one can talk about people’s intended meanings, their assumptions, their purposes or goals, and the kinds of actions (for example, requests) that they are performing when they speak” (Yule, 1996:4).

The main difference between semantics and pragmatics, despite they both deal with meaning, lies on the use of the verb *to mean*. In semantics, meaning is “defined purely as a property of expression in a given language, in abstraction from particular situations, speakers, or hearers.” It answers (1) What does X mean? In pragmatics, on the other hand, meaning is “relative to a speaker or user of the language.” It deals with (2) What do you mean by X? (Leech, 1983:6). In other words, semantics mainly deals with the meanings of words or sentences, whereas pragmatics with the meanings intended by the speaker.

For example, in the context of a classroom, where a ceiling fan is available in that room but still off, the teacher says to the learners,

(1) It’s hot, right?

Semantically, or taken literally, the teacher’s utterance means that he is talking about the weather, but in such a context, it can be interpreted,

pragmatically, that what is intended by the teacher is a request to any one of the learners to switch on the fan.

In Leech's (1983:6) definition of meaning, the word "relative" implies the multiplicity of meanings (Clark, 1998:100) depending on the contexts in which the discourse occurs. Liu (1994) contends that pragmatics distinguishes two intents or meanings in each utterance or communicative act of verbal communication. One is the informative intent or the sentence meaning, and the other the communicative intent or speaker meaning (Sperber and Wilson, 1986; Leech, 1983). To ascertain which meaning is intended by the speaker, the hearer should be cognizant of the available context.

### **Context**

Context is so significant in determining the meaning of a discourse that one may never be able to comprehend the meaning of the discourse unless by reference to it. Exposed to a sentence,

(2) He is sick

for instance, one may never know who is sick, what kind of sickness he is suffering from. But, if sentence (2) is put in its context,

(3) Yesterday, something got into John's eyes. Now he is wearing sun-glasses. He is sick.

It becomes clear that it is John who is sick, and the kind of his sickness is eye-sore. This clarity of meaning is provided by the context of the preceding sentences. In some other times, the meaning becomes clear not because of the surrounding sentences, but because of the situational circumstances in which the utterance is produced. For instance, sentence (2) is uttered by Mary, John's friend, who knows that the day before something got into his eyes, telling Nancy about it when John is passing by them wearing sun-glasses. In sum, there are two kinds of context, namely linguistic context or co-text, where the context is within the text, in terms of surrounding sentences/utterances, and extra-linguistic context, where the context is outside of the text, in the form of situational circumstances (Brown & Yule, 1983; Halliday & Hasan, 1976).

## **Linguistic Context**

The linguistic context to which interpretation of a discourse may refer can be located preceding or following the text. When reference is made to the preceding sentences, it is called anaphoric reference; when it is to the following sentences, it is called cataphoric reference (Halliday & Hasan, 1976). Sentence (3) is an example of anaphoric reference because to interpret the last sentence, the analyst should review the preceding sentences. An example of cataphoric reference can be seen in sentence (4) below.

- (4) Due to his age, in order that he is able to see the letters clearly,  
John wears glasses when reading.

To perceive the complete understanding of this sentence, or in other words, to know the referent of his in the first phrase and he in the clause after it, the readers should read the main clause located last. This is called cataphoric reference because the referent comes following the referring expression.

Pertaining to the focus of this study which deals mainly with the analysis of classroom discourse, it is relevant that all prevalent linguistic data, both that of the teacher and that of the learners be taken into account. Teacher and learners' language is taken as the corpus of this study, i.e. the main source of data to be analyzed. The lesson, on the other hand, is taken as the context by which the analysis of teacher and learners' discourse may not be possible otherwise.

## **Extra-Linguistic Context**

In so far as pragmatics deals with language use in natural settings, what is more relevant is the account of situational contexts. Adhering to this point, Hymes (1964) mentions some components of communicative events, namely participants, channels, codes, settings, forms of messages, topics and comments, and the events themselves. Participants refer to the addressor, the speaker or writer, who produces the utterance and addressee, the hearer or reader, who is the recipient of the utterance. Channels are the modes by which contact between participants is maintained, through speaking, writing, drumming, whistling, or gesturing. Codes refer to the form of language, dialect, or language styles which are used. Settings include the space and time in which communication takes place. Forms of message are like chatting, debate, sermon, fairy-tale, love-letter, etc. Topic and comments are

what the message is about. Event refers to which a communicative event may be embedded, such as religious advices in a wedding party, lesson explanation in a classroom, etc.

Hymes, then, develops his schema for analyzing context into his best known *SPEAKING* (1972), of which each letter stands for the following concepts. *S* stands for Setting or Scene which refers to physical circumstances or subjective definition of an occasion. *P* stands for Participants including speaker, sender, or addressor and hearer, receiver, audience, or addressee. *E* is the short form of Ends which mean purposes and goals or outcomes; whereas *A* stands for Act sequence meaning the message form and content. *K* stands for Key referring to tone, manner, while *I* refers to Instrumentalities such as channel (verbal, non-verbal, physical) or the forms of speech drawn from community repertoire. *N* is the shortened form of Norms of interaction and interpretation, which refer to specific properties attached to speaking and interpretation of norms within cultural belief system. *G* stands for Genre meaning the textual categories. This kind of grid would be useful to function as a kind of check-list by which ethnographers observe the ways in which interlocutors make sense of what counts as a communicative event.

Concerning the relationship between language and context, Halliday (1985) presents his outlines of field, tenor, and mode. Field, the social action, refers to what is happening or the nature of the social action that is taking place. Tenor, the role structure, refers to who is taking part, the nature of the participants, their statuses and roles, and the kind of role relationship among participants. Mode, the symbolic organization, refers to what part language is playing, what it is that the participants are expecting the language to do for them in the situation.

In relevance with classroom language, for instance, the field in term of the social action that is taking place refers to the pedagogical or instructional activities carried out by teacher and learners in the classroom. The tenor, the role relationship among participants, pertains to the teacher and the learners whose relationship in communicative event is asymmetrical, in which the former inherently has higher status, thus having more control and authority over the latter. The mode of the language used in such a context is

dominantly spoken rather than written and the function it plays is basically pedagogical.

Allwright and Bailey (1991:19) state that the factors that should be taken into consideration in analyzing classroom interaction include participant turn distribution, topic, what participants do in doing the tasks, tone, and codes. Turn distribution refers to who determines the taking of turn. Is it the teacher who controls the interaction, thus giving turns to the learners, or is it the learners who take initiatives to grab the turn? The topic concerns whether the subject being talked or discussed by the classroom communicative participants is relevant and coherent with the main aim of the lesson. In doing the tasks, what do the learners actually do: listening, speaking, reading, or writing activities with their varieties of manifestation. Tone implies the condition of the interaction, whether it is relaxed, tensed, familiar, or formal. Code adheres to the linguistic variants, dialects, or accents of the interlocutors in performing communication.

The effect of context on language can be observed not only in term of forms but also in term of meanings or functions. The emergence of genres, registers, jargons, styles, and dialects (Chaika, 1982) is the example of the realization of such effect on forms. Speakers from a certain geographical area, for instance, will produce a certain dialect, and so will those from a certain speech community. People engaged in an activity in a formal situation will use formal style, others will use intimate style when conversing in intimate situation, and so forth. That indicates that context, to some extent, dictates the use of certain linguistic forms. From the addressee's point of view, furthermore, the use of linguistic forms in contexts may produce divergent interpretation of meanings. Forms and meanings are not necessarily linearly connected. The relationship between the two is, to some extent, intervened by the effect of contexts.

Equal utterances may convey different meanings when they are produced in different contexts. The utterance

(5) "Are you finished?"

for instance, uttered by a father to a mother when they are going to attend a wedding party, means differently from that by a teacher to learners in a test room. The former means whether the mother is finished beautifying herself, thus asked to get out of the bedroom so that they can leave for the party

soon; whereas the latter means whether the learners are finished doing their tests, thus commanded to submit the papers to the test supervisor. Another example is the utterance

(6) “Go ahead”

uttered by a teacher addressed to a kindergarten student when s/he hesitates to recite a prayer may have the meaning of encouragement to doing something. But, when it is uttered by a mother to a naughty boy when he is annoying his sister may mean the contrary, that she threatens him not to do it anymore.

In the course of communication, therefore, interlocutors should be aware or cognizant of the contexts in order that communication is successful. It is successful when the addressor uses the forms appropriately and the addressee is capable of making accurate interpretation of what is intended by the addressor and giving response properly. In line with this point, Lyons (1979:34) asserts that in communication

the sender will often adjust what he has to say according to his conception of the intended receiver’s state of knowledge, social status, and so on (context, in the writer’s emphasis) ... successful communication depends, not only upon the receiver’s reception of the signal and his appreciation of the fact that it is intended for him rather than for another, but also upon his recognition of the sender’s communicative intention and upon his making an appropriate behavioral or cognitive response to it.

Successful communication also implies that the addressee is capable of perceiving not only what is explicitly said by the addressor but also what is communicated though not said. In connection with this, the concepts of reference, presupposition, implicature, and inference are dealt with here.

## **Reference**

According to Halliday & Hasan (1976:31), there are two kinds of reference: endophoric and exophoric references. Endophoric reference means that the referent to which the referring expression refers is linguistic in nature or can be found within the text. Exophoric reference, on the other hand, means that the referent exists outside of the text. The main difference between the two is that the former tends to belong to the realm of linguistics,

whereas the latter pragmatics. In endophoric reference, it is the text which refers to another text, while in exophoric reference it is the user who performs the act of referring (Searle, 1979).

In sentences, “Tom is in Germany. He is studying Aerodinamics,” the pronoun “He” in the second sentence refers to the word “Tom” in the first. Both the referent and the referring expression can be found in the text. This reference is endophoric. But, when the speaker says that, s/he actually talks about a person whose name is Tom, and that he uses the pronoun “he” also refers to that person. So, both “Tom” and “he” are co-referential; and the referent, the person whose name is Tom, of course, exists outside of the text. He is somewhere in a part of the world, in a country called Germany. The word “Germany” here also refers to one country in Europe. It does not lie within the text, but it exists in the world. This is an example of exophoric reference.

In order for the hearer to understand accurately what the speaker refers to, it is important that both the speaker and hearer stand on the same frame. That is because the referent is frequently located outside of the text, and the clue to the interpretation of what the referring expression refers to is usually provided by the context. In a Structure class, when the teacher says, “Open Betty page 282,” for instance, learners will understand what is meant by the teacher. They are ordered to open a Structure book, entitled *Understanding and Using English Grammar* written by Betty Schramper Azar, page 282. Despite the fact that Azar also writes several other books, and there are many other persons whose name is Betty, the learners will definitely know what is intended or referred to by the teacher. That is because the interlocutors are aware of the frame of the conversation.

First, learners are aware of the fact that Betty is not a kind of door or window that can be opened, because a door or window is not generally given a name. So, they conclude that Betty must be something that can be opened, such as book, bag, case, etc. But, a bag or a case is usually nameless. It must refer to a book, then. Second, learners know that they do not have such a book whose name is Betty, but they are aware that Betty refers to Betty Schramper Azar who writes the book of Structure. Third, although Azar also writes many other books, they are also aware that they are in a Structure class in which the book entitled *Understanding and Using English Grammar*

written by Betty Schramper Azar is being used. So, they infer that what the teacher refers to must be that definite book. They will not interpret that the teacher instructs them to open other Azar's books because that is irrelevant with the current context.

Still, closely related to reference, speakers usually point at a certain person, place, or time using linguistic forms. This is dealt with in the following part about deixis.

## **Deixis**

Deixis is coined from Greek meaning "pointing" via language (Yule, 1996:9). He further says that there are three kinds of deictic expressions, namely personal, spatial, and temporal. Personal deixis is used to point at a person, such as the use of pronouns (we, you, he, etc.) Spatial deixis points at a place, for instance here, there; and, temporal deixis refers to time, such as now, yesterday, next month, etc. The referents of the deictic expressions are relative depending on the context of the communication. The use of the word "now", for example, may refer to this very moment of speaking, this semester, or even this era.

(7) Let's give him a big applause **now**.

(8) If you finish your thesis **now**, you will have graduated by the end this year.

(9) **Now**, all countries tend to be borderless in term of information flow.

The word "now" in those three sentences varies in meaning. In (7), it refers to this moment of speaking, in (8) to this semester, and in (9) to this era called globalization.

This expanding meaning also applies to the personal as well as spatial deixis depending on the communicative context.

(10) We must do something.

When (10) was whispered by Tom to Ricky, when they saw someone doing a crime, for example, the deictic expression "we" refers to the two boys. But, when it was spoken by an orator in front of labor demonstrators, the word "we" points to all the demonstrators including the speaker, the hearers, and even all members of the labor union in the company despite their being not present at that event.

- (11) Mary, come here.  
(12) The Minister will come here next week.  
(13) When he came here last December, George Bush was demonstrated by people.

The expression “here” in those utterances refers to different things. In (11), it refers to the specific location of the speaker. Spoken by the Principal in a school meeting, “here” in (12) points at the school campus. Uttered by an Indonesian to a foreign visitor, “here” in (13) refers to this country, Indonesia.

In order for the hearer to interpret correctly what the speaker says using deictic expressions, both interlocutors should share the same context. Otherwise, it would be very difficult to understand the utterance. For instance,

- (14) I’ll put it here, OK?

One can hardly understand what that utterance means unless one is familiar with its context. It is difficult to identify who will put what where if the hearer does not know its context. Given in a certain context, however, it becomes clear that it means the husband will put the door key under the door mat as is usually done by the members of that family. Uttered in another context, it may mean the wife is telling the husband that she will put the shirt, having been ironed, in a wardrobe.

Besides reference and deixis, other important concepts in Pragmatics are presupposition and implicature.

### **Presupposition**

Presupposition is defined as “something the speaker assumes to be the case prior to making an utterance” (Yule, 1996:25). Stalnaker (1978:321) provides another definition by mentioning its function i.e. “what is taken by the speaker to be the common ground of the participants in the conversation”. Those definitions imply some points. First, it is the speaker who presupposes, not the sentence. Second, as it is in the form of assumption, presupposition can be wrong. Third, presupposition exists in the mind of the speaker before his/her making an utterance. Fourth, its function is as the common ground on which interlocutors stand.

Before starting the class, for instance, the teacher said to the learners

(15) OK, now submit your homework first.

This utterance (15) is underlain by an assumption in the mind of the teacher, as the speaker, that the learners, as the hearers, know which homework she meant, and that they have done it. Otherwise, she might have asked “Do you know that you have homework? Have you done it? If so, before we start the class, now submit your homework first” Those two questions are not explicitly uttered but only assumed or presupposed. The presupposition, of course, can be wrong in that some learners might not know that they have homework, and that they might not have done it. Despite the fact, however, presupposition remains unaffected. This presupposition is used as the common ground on which communication between the teacher and learners took place.

The property of presupposition is that it is constant under negation (Yule, 1996:26; Brown and Yule, 1983:29). It means whether the utterance is in affirmative or negative form, presupposition remains existent.

(16) OK, don't submit your homework now.

Although the utterance (16) is negative, the presupposition the speaker has prior to making such an utterance is that the learners know which homework she meant and that they have done it. Presupposition is another pragmatic phenomenon which is communicated though not said and can be interpreted by a discourse analyst based on the present context.

In addition to such a conversational presupposition, i.e. presupposition identified based on conversational contexts, Yule (1996:27) also implies the existence of linguistically conventional presupposition, namely presupposition which “has been associated with the use of a large number of words, phrases, and structures”. The explicit term used by Yule (1996:30) to represent this kind of presupposition is potential presuppositions which include several types, namely existential, factive, non-factive, lexical, structural, and counterfactual.

The possessives and definite noun phrases, for example, are interpreted to have existential presupposition. The words “know”, “realize”, “regret”, “be aware”, “be odd”, “be glad”, and many others, on the other hand, have factive presupposition. The words “pretend”, “dream”, “imagine” etc. have non-factive presupposition. The use of some lexical items, such as “manage”, “again”, “start” are said to have lexical presupposition. The use

of some structural items, such as wh-question, is said to have structural presupposition, whereas the use of conditional structure presupposes counterfactual presupposition.

The use of definite article presupposes the existence of the noun phrase. The use of the word “regret” presupposes that the information following it is a fact, whereas the word “pretend” presupposes information which is not a fact. The word “manage” presupposes that the speaker “has tried” beforehand. Using “wh-question” presupposes that the information after it is already known to be the case. The use of conditional structure presupposes that the information is contrary to the fact.

Yule’s (1996:30) classification of the types of potential presuppositions, presented above, takes lexical and syntactical considerations. On the one hand, he classifies the presupposition based on meaning, such as (1), (2), (3), and (4), on the other hand, he includes the classification based on form, like (5) and (6). Anyway, the point he wants to make is obvious, that is besides conversational presupposition of which interpretation is based on context, there is also conventional presupposition which is inherent in the use of some lexical and structural items, not necessarily dependent on communicative context.

### **Implicature**

Another important concept in Pragmatics is implicature. Implicature as stated by Brown and Yule (1983:31) quoting Grice is “to account for what a speaker can imply, suggest, or mean, as distinct from what the speaker literally says”. This definition implies two points. First, implicature is performed by the speaker rather than by the hearer. Second, implicature is implied meaning which is distinct from the literal meaning of an utterance.

The corollary of those points is that first, due to the fact that implicature belongs to the speaker, what is done by the hearer is to make inference. Second, since implicature is distinct from literal meaning, in order for the hearer to be able to make accurate inference, s/he must be cognizant with the prevalent context. This is especially true with conversational implicature. Here lies the difference between conversational and conventional implicatures.

Brown and Yule (1983:31) mention that there are two types of implicature: conventional and conversational implicatures. Conventional implicature is implicature which is based on the convention by which the form of expression is usually used to implicate. Implied by the example given in their book *Discourse Analysis* (1983:31), the convention tends to be cultural. Yule (1996:45), on the other hand, states more specifically, that conventional implicature is “associated with specific words and result in additional conveyed meanings when those words are used”. Considering the examples given in his book *Pragmatics*, Yule’s (1996:45) emphasis is given not on cultural but on linguistic convention. The convergent point is that the conventional implicature is relatively fixed and inherent to certain forms of expression, hardly dependent on contextual variables.

Conversational implicature, on the other hand, is relatively loose in the sense that it is distinct from its literal meaning, and its interpretation is greatly dictated by its context. Its practical operation is “derived from a general principle of conversation plus a number of maxims which speakers will normally obey” (Brown and Yule, 1983:31). It frequently happens in communication that speakers do not say things directly, whether it is motivated by politeness strategy or by compliance with conversational principles. In such a case, what is implicated—not literally said—during conversation is called conversational implicature. In short, Brown and Yule (1983:33) summarize the account of implicature by stating that

Implicatures are pragmatic aspects of meaning and have certain identifiable characteristics. They are partially derived from the conventional or literal meaning of an utterance, produced in a specific context which is shared by the speaker and the hearer, and depend on a recognition by the speaker and the hearer of the Cooperative principle and its maxims.

### **Conversational Principles**

Relevant with pragmatic study, one of which purpose is to uncover how more gets communicated than is said (Yule, 1996:3), it is important to deal with the principles underlying communicative behavior which is in the form of conversation. In connection with this, Grice (1975:45) proposes what is called Cooperative Principle, which says “Make your conversational

contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of talk exchange in which you are engaged”.

In its operation this principle is supported by four maxims, namely quantity, quality, relation, and manner. Quantity maxim says, “Make your contribution as informative as is required (for the current purposes of the exchange). Do not make your contribution more informative than is required.” Quality maxim says, “Do not say what you believe to be false. Do not say that for which you lack adequate evidence.” Relation maxim says, “Be relevant.” Manner maxim says, “Be perspicuous. Avoid obscurity of expression. Avoid ambiguity. Be brief. Be orderly” (Brown and Yule, 1983:32).

Normally, when interlocutors are engaged in a conversation, they comply with any of those maxims. The phrase “normally” at the beginning of this paragraph is worth noting. It implies that sometimes there are some conditions in which interlocutors do not comply with the maxims. In other words, it is quite possible that they flout them for some purposes. The phrase “any of those maxims” at the end of the paragraph is also worth paying attention. It indicates that the compliance is not necessarily with all maxims at the same time. But, it is quite possible that the compliance is only with one, or two, or three of them depending on whether the condition requires. In addition to that, the compliance with the maxims may sometimes be contradictive to each other. In other words, it sometimes happens that certain condition requires the compliance with one maxim and at the same time flout another.

Cummings (2005:17), however, states that “the entire framework of Gricean maxims is superseded by a principle of relevance”. The principle of relevance that Cummings recommends to replace Grice’s maxims belongs to Sperber and Wilson. He further says that despite the fact that Grice has mentioned the maxim of relation, but he “never even so much as advances a definition of relevance” (Cummings, 2005:17). Cummings’ reason in preferring Sperber and Wilson’s principle of relevance to Grice’s maxims is that the former is more deep-rooted and more efficient than the latter.

Cummings (2005:17-18) supports his preference by enumerating some features of the principle. There are three noteworthy features of Sperber and Wilson’s principle of relevance. First, its applicability is not only to

communication but also to the domain of cognition in general. It means principle of relevance is basically a principle of cognition. In so far as communication occurs always following the principle of cognition, communicative phenomenon, thus, should always be compliant with the principle of relevance. Second, principle of relevance is also shaped by cognition. It means the processing that is warranted by this principle will proceed in cost-benefit fashion. When the cost of processing a proposition exceeds the benefit of its result, the processing ceases. Third, the principle of relevance does not only shape the utterances of the speaker but also the interpretation of the hearer.

In relation to this, Sperber and Wilson as quoted by Cummings (2005:18) explicitly state

We also assume that a speaker who thinks it worth speaking at all will try to make his utterance as relevant as possible. A hearer should therefore bring to the processing of every utterance the standing assumption that the speaker tried to be as relevant as possible in the circumstances. It is this assumption that we call the principle of relevance.

This principle of relevance is more efficient to explain the communicative behavior, because it can be used to explain not only the relationship between interlocutors' utterances and their contexts but also among the utterances themselves. The principle is that all communicative behaviors are assumed to be relevant. That is based on the reason that communication is based on cognition, and cognition always follows the principle of relevance. Sperber and Wilson as restated by Cummings (2005:18) say that "communication is properly part of wider cognition. ... principle of relevance is thus a cognitive principle in the first instance and a communicative principle only derivatively through the dependence of communication on cognition".

### **Politeness Strategy**

As a social being, people need to interact with each other. In order for the interaction to be successful, the interaction participants should not only know the language but at the mean time they should also obey the social norms governing language use. This is intended to avoid communication

misunderstanding or even miscommunication among the participants. To serve this purpose, interlocutors should be familiar with politeness strategy.

The basic idea of politeness is face-saving (Goffman, 1967). Face is a public self-image of a person. It refers to “emotional and social sense of self that everyone has and expects everyone else to recognize” (Yule, 1996:60). In interaction process, each participant should endeavor to preserve each other’s face. Politeness, therefore, is defined as “the means employed to show awareness of another person’s face” (Yule, 1996:60).

Brown and Levinson (1987) propose four strategies of politeness, namely, first, bald on-record strategy by which communicative act is realized in the most direct way. The teacher’s language of control in classroom discourse addressed to learners is usually of this type. For the reasons of efficiency and/or asymmetrical relationship between the teacher and the learners in which the teacher is more powerful and the holder of authority over the learners, the teacher uses this kind of strategy. It is also usually used between intimate friends. The most common form is imperative such as “Do X.”

The second strategy is positive politeness strategy. This is used to satisfy the addressee’s positive face that is “the need to be accepted, even liked, by others, to be treated as a member of the same group, and to know that his/her wants are shared by others” (Yule, 1996:62). So, this strategy is used by showing solidarity between interlocutors. Blum-Kulka (1998:51) gives some further indicators of this strategy stating that it may include attention to “the hearer’s interests or needs ... to preface a request for a favor, ...in-group identity markers to mitigate a command, ...the use of slang, jokes, endearments and nicknames.” An example given by Yule (1996:64) is, “Hey, buddy, I’d appreciate it if you’d let me use your pen.”

The third type is negative politeness strategy. This is used by satisfying the negative face, namely “the need to be independent, to have freedom of action, and not to be imposed on by others” (Yule, 1996:61). It may be realized “by asking about (rather than assuming) cooperation, by giving options to the hearer not to do the act, by adopting a pessimistic attitude and by various kinds of hedging, ...and explicit linguistic marking of deference” (Blum-Kulka, 1997:51). The primary example for this is the

use of conventional indirectness in requests, such as “Could you do X for me?”

The fourth is off-record strategy. This is the most indirect type of strategy. Using this strategy means “realizing the act so indirectly that speaker cannot be made accountable for any specific communicative intent” (Blum-Kulka, 1997:52). Due to its indirectness, it is quite possible that the act is not satisfied because of the hearer’s failure in recognizing the intent. Non-conventional indirect requests may be best example for this. Saying “I think it’s a little bit too chilly in here,” intending that someone may turn down the ceiling fan in a classroom, for example, may not get any proper behavioral or actional response from anybody because of their failure to perceive the request. Since it is the most indirect, this strategy seems to be the least threatening to the face, thus the most polite in comparison to the other three.

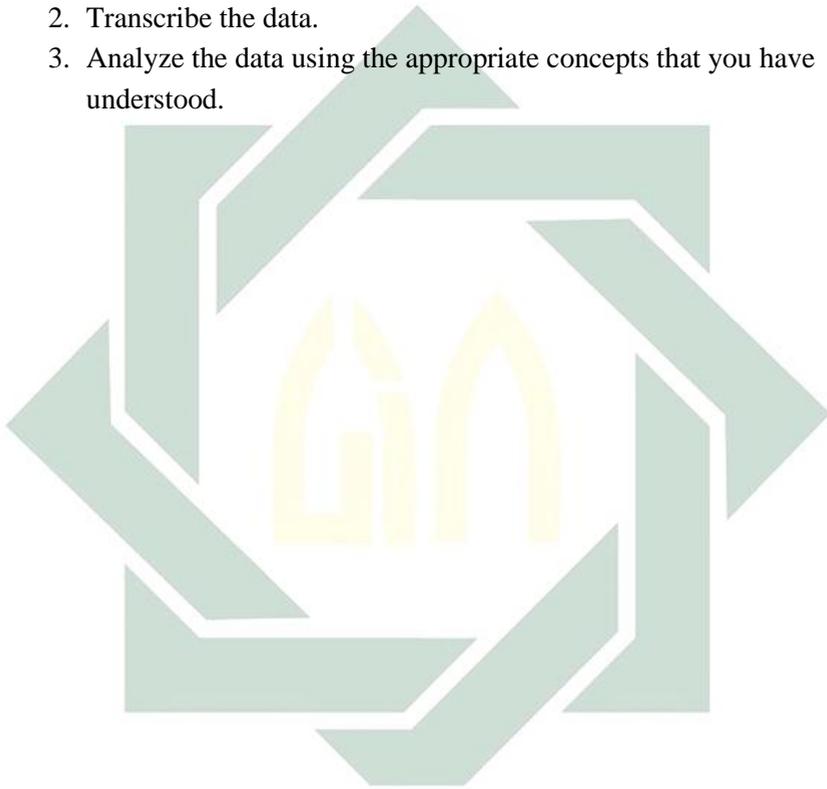
Leech (1983) tries to relate illocutionary acts to politeness. In dealing with this, he cites four kinds of illocutionary functions, namely competitive, convivial, collaborative, and conflictive. It is called competitive when illocutionary goal competes with the social goal, such as ordering, asking, demanding, begging, etc. In convivial, the illocutionary goal coincides with the social goal, e.g. offering, inviting, greeting, thanking, congratulating, etc. In collaborative, the illocutionary goal is indifferent to the social goal, e.g. asserting, reporting, announcing, instructing, etc. In conflictive, the illocutionary goal conflicts with the social goal, e.g. threatening, accusing, cursing, reprimanding, etc. (Leech, 1983:104)

In relation to politeness, the first two functions are the ones which involve politeness. The third is not relevant with politeness, it tends to be neutral as regards politeness. The fourth is against politeness, because it is by nature impolite. Leech (1983) further relates his four illocutionary functions to the five classifications of Searle’s illocutionary acts. Assertives which commit the speaker to the truth of the expressed proposition tending to be neutral as regards politeness belong to collaborative. Directives in which the speaker imposes an action done by the hearer, thus closely related to politeness belong to competitive. Commissives which commit the speaker to some future action tend to be convivial. Expressives in which the speaker expresses psychological attitude, such as thanking, congratulating, praising,

etc. tend to be convivial. The reverse, however, such as cursing, blaming, accusing, etc. are conflictive. Declarations which bring propositional content into reality tend to be collaborative, which is neutral regarding politeness.

### **Final Tasks**

1. Record authentic processes of verbal communication.
2. Transcribe the data.
3. Analyze the data using the appropriate concepts that you have understood.



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