CHAPTER 2

Literature Review

2.1 Theoretical Framework

2.1.1 Classification of speech acts by John R. Searle

Speech acts focus on study the acts that are done in the process of speaking. People use language to deliver certain kinds of **speech acts**, and these are different from **physical acts,** like drinking a glass of water, or **mental acts** like thinking about drinking a glass of water. Speech acts include *asking* for a glass of water, *promising* to drink a glass of water, *threatening* to drink a glass of water, *ordering* someone to drink a glass of water, and so on. Speech acts may contain only one word, many words or complete sentences. In general, a speaker uses an utterance to offer an apology, greeting, request, complaint, invitation, compliment or refusal. To reach a full understanding in conversation, the speaker normally expects the listener to recognize his communicative intention. Both speaker and listener are usually helped in this process by the situation or context surrounding the utterance. However, speech acts can have various types or forms whereas utterances come in more or less fixed forms. (Horn and Ward 53)

Searle developed the original idea of speech act theory from publications of his teacher, John L.Austin. Searle was one of Austin's students who continued to work on speech act theory. However, Searle's version became the most influential version of Speech Acts Theory. He pointed out that classification of speech acts is actually based on the clear and distinct notion of illocutionary points, as elaborated below.

In Searle's view, there are five illocutionary points that speakers can complete on propositions in an utterance, which are:

i. **Assertives** (or Representatives): acts that express the speaker's belief that something is true, e.g., state, suggest, boast, complain, claim, conclude, deduce, etc.

ii. **Commissives**: acts of the speaker who commits himself to do some future act, e.g., promise, pledge, vow, etc.

iii. **Directives**: acts in which the speaker attempts to get a listener to do something, e.g., request, beg, plead, pray, invite, permit, give advice, etc.

iv. **Expressives**: acts that express a psychological attitude towards the listener such as joy, sorrow, dislike, thanking, apologizing, blaming, praising, etc.

v. **Declarations**: acts that affect sudden change in particular situations, the speaker has to be authorized to do something, such as judges sentencing offenders, priests baptizing a child, etc. (Searle, "A Classification of Illocutionary Acts",10-15).

Table 2.1 Direction of fit of Classification of speech acts

Illocutionary points	Direction of fit	Expressed psychological state
Assertives	Words-to-world	Belief (speaker)
Directives	World-to-words	Desire (addressee)
Commissives	World-to-words	Intention (speaker)
Expressives	None	Variable (speaker)
Declarations	Both	None (speaker)

As the table illustrates, the **five illocutionary points** are divided into **four** dimensions called directions of fit (Huang 108), based on their fit with the world. A simple explanation of the above table is that the direction of fit is used to differentiate between the use of words to match the world, and getting the world to match the words. A word to world direction of fit refers to an already existing state or situation. The opposite or world to word fit is when the world must change to match the utterance. **Expressives** do not fall into a direction of fit category as they contain presupposed ideas. **Declarations** have a double direction of fit, which is world to word to world. For example, an utterance in the form of a declaration is used that will effect change in the world, and carrying out the command of the declaration will again alter the world.

The founder of Speech Acts Theory, Oxford philosopher John L. Austin, formed the fundamental idea of Speech Acts Theory in the late thirties. While he was a professor of Moral Philosophy at the University of Oxford between 1952 and 1954, he contributed to various areas of philosophy, including important work on knowledge, perception, action, freedom, truth, language, and the use of language in speech acts. Austin directed his attention to work on speech acts, in particular his distinction between locutionary, illocutionary, and perlocutionary acts. After Austin's death in 1960, his lectures were published as a monograph *How to Do Things with Words* in 1962 (Archer, Ajimer and Wichmann 35).

In *How to Do Things with Words,* Austin identified three main kinds of speech acts in the use of language that he called locutionary, illocutionary and perlocutionary acts. According to Austin, **locutionary acts** are acts of speaking, such as the creation of speech, uttering certain sounds or making certain marks, using particular words and using them in conformity with grammatical rules. **Illocutionary acts**, Austin's central

11

innovation, are acts done in speaking including the kind of acts that have an obvious purpose such as christening or marrying. **Perlocutionary acts** are the result of taking the listener's perspective such as persuading, convincing, and scaring (Searle, "Speech Acts: An Essay in the Philosophy of Language"86).

The concept of Illocutionary acts was founded after Austin noticed sentences like "I request you to help me," "you are invited to come," and "I open this session," these are performative, in the sense that they constitute the performance by the speaker of the illocutionary act named by their main verb. Austin called these sorts of sentences performative sentences, and their main verb performative verbs. At the beginning, Austin used illocutionary acts to analyze the meaning of performative sentences as opposed to other types of sentences that he called constative sentences. Utterances of constative sentences are true when they represent things as they are in the world, otherwise they are false. On the other hand, performative utterances can be either happy or unhappy according to Austin. However, Austin realized that illocutionary acts are important for the theory of meaning and understanding in general, and not just for analysis of performative sentences. Indeed any speaker who makes a meaningful utterance attempts to perform illocutionary acts. Constative sentences serve to make statements, interrogative sentences to ask questions and imperative sentences to direct the listener. (Moeschler 5)

2.1.2 Austin's classification of speech acts

Austin also classified the typology of possible illocutionary verbs:

i. **Verdictives**: acts that consist of delivering a finding e.g., acquit, hold (as a matter of law), read something as, etc.

12

ii. **Exercitives**: acts of giving a decision for or against a course of action, e.g. appoint, dismiss, order, sentence, etc.

iii. **Commissives**: acts whose point is to commit the speaker to a course of action, e.g. contract, give one's word, declare one's intention, etc.

iv. **Behavitives**: expression of attitudes toward the conduct, fortune, or attitudes of others, e.g. apologize, thank, congratulate, welcome, etc.

v. **Expositives**: acts of expounding of views, conducting of arguments and clarifying, e.g. deny, inform, concede, refer, etc.

Searle later revised Austin's taxonomy as it contains several weaknesses. He identified six main issues: a constant confusion between verbs and acts, not all verbs are illocutionary verbs, too much overlap between the categories, too much heterogeneity within the categories, many verbs listed do not fit the definition of the category and there is no consistent principal of classification. In Searle's alternative or revised taxonomy, there are still five classifications, which are: Representatives, Directives, Commissives, Expressives and Declarations (Searle, "A Classification of Illocutionary Acts" 8-10). It could be said that while Austin drew attention to the conventional interpretation of speech acts, Searle emphasized psychological interpretation speech acts. Searle's taxonomy had a tremendous influence in the aspect of pragmatics. Many scholars have based their work on Searle's taxonomy according to the well described non-literal meaning of the theory.

Therefore, this research will also employ Searle's taxonomy to clarify type of speech acts that appear in *The Judgment*.

2.1.3 Grice's co-operative principle

In a general conversation, a speaker and an addressee usually expect the other to reach the same understanding in their conversation. According to a study of Paul H. Grice, a philosopher of language, he formulated this notion in 1989 and called this co-operation in conversation: **the co-operative principle** (Huang 23).Grice's co-operative principle suggests some prescriptions to make an effective communication initiated by this idea:

"…make your conversational contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged…" (Grice 75)

Grice divided the set of norms that one usually finds in conversations into four categories:

Quality- the speaker has to give information that is true:

(i) Do not say what you believe to be false.

(ii) Do not say that for which you lack adequate evidence.

Quantity- the speaker has to tell the truth or fact:

(i) Make your contribution as informative as is required (for the current purposes of the exchange).

(ii) Do not make your contribution more informative than is required.

Relation- the speaker's utterance has to be relevant

14

Manner- the speaker's utterance has to be perspicuous:

(i) Avoid obscurity of expression.

(ii) Avoid ambiguity.

(iii) Be brief (avoid unnecessary prolixity).

(iv) Be orderly (Grice 26-27).

Conversation makes use of the co-operative principle; the speaker and addressee are guided by considerations of quantity, quality, relation and manner, and the process of implicature that allows them to figure out the relation between the said and the unsaid. Grice stated that the maxim of quality is the most important maxim for a conversation since people do not expect a lie from the other. However, people may not follow the instruction of Grice's maxim when they are having conversations but may resort to **flouting maxims**.

Sperber and Wilson argued that Grice's maxims could be replaced with relevance theory- the speaker tries to be as relevant as possible in the circumstances. Sperber and Wilson said, "… communicators do not 'follow' the principle of relevance; and they could not violate it even if they wanted to. The principle of relevance applies without exceptions…" However, the relevance theory is still not supported by social and cultural factors (Hongladarom and Choksuwanit 87-89). Hence, this study is based on Grice's theory: the co-operative principle. As conversation is unique to its context, social and cultural setting, and its participants, Grice's theory is able to categorize the utterances into specific groups and explain a flouting maxim for better understanding in conversations.

2.2 Previous studies

2.2.1 Speech Act Theory

Searle's taxonomy is widely used as a theoretical framework to study literature. Some researchers focus their studies only on the typology of Speech acts.

In 2005, Suchada Sarabanchong applied the classification of speech acts and direct/indirect speech acts to her study, "An Analysis of Speech Act in Drama Dialogues". Sarabanchong chose the play *Romeo and Juliet*, scene 3 act 2, page 17-20, written by William Shakespeare, and analyzed it in terms of Speech Act theory. Dialogues were divided into pairs and interpreted, including direct and indirect speech acts, for non-literal meanings (24). In this stage, utterances were also categorized by Searle's taxonomy. Sarabanchong gathered the data and placed these in a table that showed the different speech act types and the frequency of their appearance (31). Her study revealed that the main characters performed utterances that were both direct and indirect speech acts. Indirect speech acts were found more than direct speech acts since the characters were aware of politeness. All five types of speech acts were found in the dialogues (54).

In this study, only the utterances that other people say directly to the protagonist are analyzed. While Sarabanchong studied whole dialogues that had many characters, focusing on type of speech acts and direct/indirect speech acts, this study chose selected utterances, categorized them to find the frequency of the speech act type that is mostly used in the novel, and analyzed the misjudged utterances again by Grice's maxims for more implicit meanings.

In 2006, Jacquelyn Nastri, Jorge Pena and Jeffrey T. Hancock also applied Searle's taxonomy in their research "The Construction of Away Messages: A Speech Act Analysis." In their study, the researchers recorded instant away messages from 49 male and female students in a communication class at a large northeastern university in the United States, three times a day, for two weeks. Nastri, Pena and Hancock investigated which type of speech act was mostly used to construct away messages; the massages that students put as a status on the chat program of the university (2). The researchers first analyzed numbers of speech acts in each instant message. Then they categorized instant messages into five categories, using Searle's taxonomy (8). The results showed that females and males posted almost the same amount of away messages in a day. Researchers found 80 quotations, which are song lyrics, quotes from famous people and links to web pages. These quotations were excluded from speech acts analysis since students did not produce them. A total of 574 speech acts was found in away messages. The utterances were divided by Searle's taxonomy and averages calculated. The type of speech acts that were mostly used in instant away message was Assertives (68%). The second type was Expressives, (accounting for 14%). Commissives accounted for 12% and Directives were only 6%. Declaratives were not found in away messaging because students did not have utterances that were able to change an institution or state of affairs. (9)

The material for this research is a Thai novel, *The Judgment.* However, Nastri, Pena and Hancock chose instant messages from students. The methodology is fairly similar in the speech act analysis part, except that this research chose to study a Thai novel, *The judgment,* which has not been studied in the field of Speech Acts theory.

17

Additionally, this study focuses more on implicit meanings of the misunderstanding utterances that other people address to the protagonist.

In 2007, Nipawan Mantalay used Searle's taxonomy and Grice's conversational maxims to analyze "A Pragmatic Approach to an Interpretation of *Behind the Painting*, a Thai Novel by Sriburapha". Mantalay chose to study selected conversations and letters of the protagonists in a well-known Thai novel, *Behind the Painting*. For example, In *Behind the Painting,* Mantalay examined the protagonists' conversations and letters from 15 pieces of data from five chapters that caused a tragic love relationship based on speech act theory and conversational implicature. Mantalay used Grice's theory of conversational implicature between main characters Khun Ying Kirati and Nopporn (24). The study revealed that they both kept their feelings about each other for themselves and this resulted in a tragic love affair. The first part analyzes conversations between Kirati and Nopporn in Chapter 10 using Searle's taxonomy. The result indicated that Kirati performed her utterances by Expressive speech acts, which were acts that expressed a psychological attitude towards the listener. Kirati tried to explain to Nopporn that their love could not happen since she was a married lady and Nopporn was still a student (55).The second part is an analysis using Grice's theory of conversational implicature. Kirati broke the maxim of quantity, manner and relation to avoid telling the truth about her feelings. Nopporn broke the maxim of quality because he assumed that his love was a one-sided love. No matter how much they loved each other, their love would not be true according to pragmatics conversations (73).

In her study of a Thai novel, Mantalay's material was a communication between two people, Kirati and Nopporn. Mantalay interpreted those conversations as more non-literal meanings to clarify their unsuccessful love story. However, the current study

18

focuses on only the utterances that other villagers make to the main character in *The Judgment.* This was done to identify the type of speech acts that people use the most to convey messages to the protagonist of *The Judgment.* Eventually this study explains the misunderstood utterances by Grice's maxims in order to better understand the story.

In 2011, Zuliati Rohma published the study "A Speech Act Analysis of Jane Eyre," in which she analyzed Jane Eyre's character through her speeches, using the five classifications of Searle's taxonomy, and studied Jane Eyre's character through her speeches with Searle's taxonomy (2).Jane's conversations with her master in thirteen chapters out of thirty-eight chapters were chosen(3). Rohma found that Jane used all five kinds of speech acts with her master, and then explained the conversations for each type of speech act classification. This revealed that Jane was a reasonable woman. She not only spoke clearly and frankly, but also acted independently. These personality traits elevated Jane's stature much more than that of other women.(9)

Rohma focused on discovering Jane Eyre's character from her speeches based on speech acts theory, the classification of speech acts. The current research, however, aims to portray the kind of speech acts people use when talking to Fak, a main character in *The Judgment*, and explains the implicit meanings using the co-operative principle. Rohma explained the definition of Searle's taxonomy divided into types, gave examples from the story in support, and described Eyre's character. Even though Rohma used the same speech act theory as the present study, the materials are different. This research studies the utterances that other villagers use when talking to the protagonist, Fak, and translates them into English. Next, the utterances are categorized using Searle's taxonomy, identifying the frequency of the most used speech acts type and analyzing the misunderstanding utterances using Grice's maxims.

19

In 2011, a research undertaken by Pathima Boonpok entitled "Si Phaen Din: A Study of Pragmatics in Dialogue", focused on the Thai novel *Si Phaen Din* and investigated the protagonist's character, Mae Phloy, through her speeches when talking to other characters in the novel. Her research was based on Searle's speech act theory, conversational implicature by Grice and politeness by Leech. Boonpok collected Mae Phloy's conversations and compared these with other characters. Data were analyzed and divided into three parts according to the theories(43).The study revealed that Mae Phloy used five types of speech acts in her dialogues when talking to other people (44-45).Conversational implicature was found in dialogues; Boonpok explained a few examples that had more non-literal meanings (46-47). For politeness, Mae Phloy used different maxims to interact with other people in different situations depending on whom she talked to, such as the tact maxim to keep her feelings inside and express less of her emotions that may cause a burden to others, the generosity maxim to be generous to other people, the approbation maxim to admire people when it was time to congratulate, the modesty maxim to show a Thai-appropriate manner with the elders in the palace, the agreement maxim to be obedient as Mae Phloy was a daughter, wife and a woman who had to obey her father and husband, and the sympathy maxim to show sympathy with other people (45-47).The result indicated that Mae Phloy was not a talkative person; she was always aware of her speech when she talked to other people. Therefore, people around her adored her because of her politeness. However, Mae Phloy was actually too polite and had no power over her children. They barely respected her advice and thought of her as an old, out of touch lady (50).

As mentioned above, Boonpok studied a Thai novel, *Si Phaen Din*. She used it to identify the character of the protagonist, Mae Phloy, who was raised in a royal

palace, from her speech. The current research, however, seeks to study the impact of language of a Thai lower class community. Whereas Boonpok's analysis was based on three theories (speech acts theory of Searle, conversational implicature of Grice and politeness of Leech, the present study focuses on two theories only, i.e. the Speech acts of Searle, and the co-operative of Grice.

All of this research studied speech acts in written communication: messages, dialogues, short stories and novels. The general purpose of this research is to examine Searle's taxonomy in various communication patterns. This study not only categorizes types of speech act in written language, but some of them also investigate their materials in other pragmatics theories.

Only two Thai novels were studied in the field of Speech act theory. *Behind the Painting* was studied using only selected chapters based on two theories: the speech act of Searle and conversational implicature of Grice. *Si Phaen Din* was studied using the speech act of Searle, politeness of Leech and Conversational implicature of Grice. The characters of both *Behind the Painting* and *Si Phaen Din* belong to the upper class of Thai society. Boonpok and Mantalay focus their studies on the protagonists' conversation, whereas this study focuses on the utterances that other characters made to one protagonist only, to study the pragmatic utterances that affect the protagonist's life. Moreover, the setting in *The Judgment* is a small area of Thailand where people are common villagers, speaking more directly than those of the upper class. Apart from what was mentioned previously, no other Thai novels were chosen to study within a pragmatics field. Hence, this is a great chance to bring another Thai novel to a pragmatics study, the speech act and the co-operative principle.

21

2.2.2 The Judgment

In 2000, Muang-in Atthasith studied "Existentialist Thought in Chart Korbjitti's Literary Work 1979- 1993".Muang-in explored Korbjitti's literary works between 1979 and 1993 to trace existentialist philosophy as it appeared in the novels, and to analyze existentialist thought as expressed through Kobjitti's works. Muang-in chose to study short stories and novels such as *Thang Chana* (1979),*Chon Trok* (1980),*The Judgment* (1981), *Rueang Thamada* (1983), *Mit Pracham Tua* (1984), *Ma Nao Loi Nam* (2530), *Phan Ma Ba* (2531), *Nakhon Mai Pen Rai* (2532), and *Wela* (1993). This research was based on the Existentialism theory of Jean Paul Sartre and Albert Camus, focusing on the following areas:

1. **Features of Human Beings** such as Absurdity, Existence Precedes Essence, Freedom and Responsibility, Bad Faith, Alienation, Despair and Death.

2**. The Relationship between Man and Others,** such as Love, Hate and Indifference.

3. **The Relationship between Man and the World,** such as Man and the Things surrounding him and Man and the Society.

Muang-in found that Korbjitti had Existentialist thought, based on his short stories and novels, covering all three topics; 1.) The Goal of Human Beings was freedom from materialism. 2.) The Relationship between Man and the Others. Korbjitti showed how materialism was not as important as another human being's life. Man should take more care of the relationship with others than things. 3.) The Relationship between Man and the World. Since the lives of some groups of people depended on careers and nature, Korbjitti's literary works showed that he cared about the nature of a human's life. Korbjitti mostly represented the idea of freedom in his literary works as he saw that

22

human beings had their own right to accept or not accept the rule of society, and accepted the results of their own decisions.

Muang-in studied nine of Korbjitti's short stories and novels. The present study, however, is related to one novel, *The Judgment,* focusing on the pragmatic field. Unlike, Muang-in employs Existentialism framework in philosophy field to analyze Korbjitti's work.

In 2007, Saralamba Wanchula published "Emotional Quotient of the Characters in Sea-Write Novels". She aimed to analyze the Emotional Quotient (E.Q.) of the main characters in nine S.E.A. Write awarded novels, which are *Luk Isan* by Kampoon Boonthavee, *Kham Phiphaksa* by Chart Korbjitti, *Poon Pid Tong* by Krisna Asokesin, *Taling Soong Sung Nak* by Nikhom Rayawa, *Chao Chan Phom Horm* by Mala Khamjun, *Pracha Thippatai Bon Sen Khanan* by Win Lyovarin, *Amata (Immortal)* by Wimon Sainimnuan, *Wela (Time)* by Chart Korbjitti, and *Chang Sam ran* by Duanwad Pimwana. Saralamba analyzed her materials by using Daniel Goleman's theory, emotional intelligence (E.I.), to identify the E.Q. of the main characters in the selected novels through their conversations. She divided the E.Q. into two parts: Personal Competence and Social Competence. **Personal Competence** included emotional awareness, accurate self-assessment, self-confidence, self-control, trustworthiness, conscientiousness, adaptability, innovativeness, achievement drive, commitment, initiative and optimism. **Social Competence** included empathy, service orientation, developing others, leveraging diversity, political awareness, influence, communication, leadership, change catalysts, conflict management, building bonds, collaboration and cooperation. The result revealed that each novel contained Emotional Quotients as follows: *Luk Isan* represented emotional awareness, building bonds, collaboration and

23

cooperation*; Kham Phiphaksa* represented emotional awareness, accurate self-assessment and political awareness*; Poon Pid Tong* represented achievement drive*, leadership and communication; *Taling Soong Sung Nak* represented optimism, collaboration and cooperation; *Chao Chan Phom Horm* represented self-control, trustworthiness and change catalyst; *Pracha Thippatai Bon Sen Khanan* represented communication ,commitment*, conflict management and building bonds; *Amata* represented emotional awareness*, self-control, empathy and commitment; *Wela* represented leveraging diversity, service orientation, developing others and consciousness; and *Chang Samran* represented optimism*, adaptability, conflict management and building bonds*.

Saralamba studied **nine** novels whereas the present study focuses on **one** selected novel. All of her materials were S.E.A. write awarded novels as is the present object. Her study used Goleman's theory of emotional intelligence to find out what kind of E.Q. appeared in each novel. Although the present study used the same material as Saralamba, it analyzed the material by employing a different perspective of Searle's Speech acts theory.

Even though *The Judgment* was used as material in these two studies, none of them views *The Judgment* through the pragmatic dimension, nor speech acts theory. Therefore, this establishes a beginning to introduce a Thai novel to a new area of linguistic study.