

CHAPTER II

THEORY AND METHOD

2.1 Theoretical Framework

This study uses several relevant theories. The first theory is about the types of language alternation by Charlotte Hoffmann (1991). The second theory used is Bhatia et al's (2013) theory of factors that influence language alternation. The next are Hoffmann's (1991) concept about motives behind code-switching and Hockett's (1958) theory about the motives of doing code-mixing. Lastly, Genette's (1980) narratology concept will be used as a parameter to analyze the factors and motives of language alternation.

2.1.1 Bilingualism

Bilingualism is the practice of speaking and using two or more languages, and the individual involved is called bilingual (Hoffmann, 1991: 15). However, this is not only based on a person's ability to speak two or more languages but also related to the influence obtained from the social environment. It causes many differences in the characteristics of language use in each individual.

2.1.2 Code

Code or variety of language in context is the set of linguistic shapes that patterns as a cause of social factors (Holmes, 2013: 6). It also includes the communication strategies used by a person depending on the specific social context or a certain situation. For example, a person may use a language when talking to their peers, but then switch to another language when talking to their teachers or superiors.

2.1.3 Language Alternation: Code-switching and Code-mixing

Switching and mixing languages are more likely to occur in everyday communication, particularly in a multilingual community. People in such societies often express their identity by using language alternation. Using two (or more) languages in a single utterance is called code-switching (Bhatia et al., 2013: 323). Moreover, switching that occurs at the lexical level is called code-mixing (Hoffmann, 1991: 104).

Indeed, some recent studies do not distinguish between the two terms. Gardner (2009: 10-14) asserts in her book that distinguishing between the two terms is sometimes futile because each researcher has different limitations in their interpretation. However, although some researchers consider the two to be the same, their definitions are not uniform (Gardner, 2009). For example, recent theories such as Muysken (2000) emphasize the structure and process of grammatical language alternation, such as alternation, insertion, and congruent lexicalization, making them less relevant for use in research on fictional literary works based on mimesis and diegesis narratives.

Furthermore, although there is a new term regarding translanguaging (García & Li, 2014) that represents the latest ideas about bilingualism, unfortunately, this theory completely rejects the existence of boundaries between different languages (Chapelle, 2018). According to Garcia et al. (2014), the practice of bilingualism is a unified repertoire that has no separation. Meanwhile, in *Esperanza Rising*, the separation of Spanish and English is the most important thing because it illustrates the conflict that represents the characters' identities. This

shows that the two languages in the novel are treated as two different systems and are negotiated by the characters. The use of this latest theory would actually eliminate the main theme of the novel regarding identity.

Therefore, Hoffmann's (1991) theory on types of language alternation, which provides a clear definition of the difference between code-switching and code-mixing, will provide a simpler, easier-to-understand, and more focused understanding in the analysis. This theoretical framework can be used to identify types of codes in the text. Hoffmann's framework is also compatible when linked to contemporary sociolinguistic theories that discuss the social context in literary narratives, making it the most suitable base theory for this study.

2.1.4 Hoffmann's Types of Code-switching

2.1.4.1 Intra-sentential switching

Intra-sentential switching is the switching that occurs within a sentence (Hoffmann, 1991). The example is taken from a French-English bilingual who said, "*Va chercher Marc, **and bribe him** avec un chocolat chaud **with cream on top.***" (Hoffmann, 1991: 111).

2.1.4.2 Inter-sentential switching

Inter-sentential switching is the switching that occurs between sentences (Hoffmann, 1991). For example, an adult Spanish-English bilingual said, "*Tenia zapatos blancos, un poco, **they were off-white, you know.***" (Hoffmann, 1991: 112).

2.1.4.3 Establishing continuity with the previous speaker

According to Hoffmann (1991), this type of code-switching is used to continue the previous speaker's utterance. For example, a Catalan-Spanish was responding to a

Spanish utterance “*Y se van a molestar, ¿no? No tienen por qué*” with “***Bueno! Sí que tienen por qué,***” and “*O sigui, o l’encenen amb nosaltres o...*” (Hoffmann 1991: 111).

2.1.4.4 Emblematic switching

This type of switching occurs when there are linguistic items, such as tags (exclamations), that are used (Hoffmann, 1991). For example, an adult Spanish-American said “...***Oh! Ay!*** *It was embarrassing! It was very nice, though, but I was embarrassed!*” (Hoffmann, 1991: 112).

2.1.5 Hoffmann’s Types of Code-mixing

2.1.5.1 Intra-sentential mixing

This kind of code-mixing occurs at the level of phrase or clause (Hoffmann, 1991). It is quite similar to intra-sentential switching. The example is “*Pongan los picket signs.*” (Hoffmann, 1991: 104).

2.1.5.2 Intra-lexical mixing

Intra-lexical mixing occurs within the word (Hoffmann, 1991). The sentence “*Tee schon gepourt*” shows intra-lexical mixing where an English lexical item was adjusted into German morphology (Hoffmann, 1991: 106). Intra-lexical mixing shows the occurrence of word mixing and grammar adaptation.

2.1.5.3 Involving a change of pronunciation

This type of code-mixing occurs at the phonological level. It can also be said as a change of tone. Involving a change of pronunciation in code-mixing can be in the form of borrowing blends (Hoffmann, 1991: 105).

2.1.6 Factors Influencing Language Alternation

Factors are things that tend to be external and objective, that influence a person in doing something. In this case, various factors are found to be significantly influencing language choice in communication. Bhatia et al. (2013: 378) consider 4 factors that influence language alternation. The factors are social roles and relationships of participants (refers to the social dynamics between the participants), situational factors: discourse topic and language allocation (relates to specific context or suitable language), message-intrinsic considerations (the content of the message), and language attitudes including social dominance and security (the attitudes toward bilingualism).

2.1.7 Motives of Doing Language Alternation

In everyday communication, the language usage sometimes also implies different meanings from what is said verbally. Unlike factors that are objective, motives tend to be subjective based on each individual's goals. Hoffmann (1991) considers seven motives of code-switching, namely talking about a particular topic, quoting somebody else, being emphatic about something, interjection, repetition used for clarification, expressing group identity, and the intention of clarifying the speech content for the interlocutor (Hoffmann, 1991: 116).

Meanwhile, according to Hockett (1958), there are two reasons that underlie people's motives in doing code-mixing. These two reasons are the prestige motive and the need-filling motive. Prestige motive is when people borrow words with the aim of gaining recognition or to be like the speakers of certain languages, who are often admired. Meanwhile, the need-filling motive is when there is no similar

equivalent in their own language, forcing them to use terms from another language. For example, 'spaghetti' and 'pizza' are the words derived from Italian (Hockett, 1958: 404-406).

2.1.8 Narratology

The concept of narratology used is Genette's (1980) theory of narrative mood and distance (mimesis and diegesis) and focalization. Mimesis is a direct quotation to show what is conveyed by the character, while diegesis is the narration where the narrator purely recounts the entire event in their own voice (Genette, 1980: 162-164). Mimesis is not entirely pure because it is written by the author, but it can be achieved with more details and scenes. According to Genette (1980: 171-173), the forms of mimesis and diegesis are divided into three levels, namely narrated/narratized (most diegetic), transposed, and reported (direct speech, mimesis).

Meanwhile, focalization itself is awareness or knowledge. Unlike point of view, which tends to be limited to the perspective from which the plot can be seen, focalization is more valid as a reference because it is rooted in the knowledge of characters in fictional narratives. Genette (1980: 189-190) divides focalization into three types, namely zero focalization (the narrator knows more than the characters), internal focalization (the narrator knows the thoughts of one or more characters but is limited), and external focalization (the narrator only describes what is seen).

2.2 Research Method

This study was conducted by following some steps of analysis as follows.

2.2.1 Type of Research

The type of this study is qualitative descriptive. The qualitative method allows the process of identifying, describing, and analyzing the phenomena, while the descriptive method was used to present a more detailed and systematic explanation of language alternation.

2.2.2 Research Approach

The sociolinguistic approach was chosen to identify the types and the factors of language alternation that are used by the characters throughout the novel. In addition, the socio-pragmatic perspective was also used when the writer analyzed the motives. The theories that were applied in the analysis process are the types of code-switching and code-mixing, and the factors and motives that influence them. Lastly, the concept of narratology was used briefly to validate the data found.

2.2.3 Data Source

The primary data was taken from the dialogues and monologues of the characters in *Esperanza Rising*¹ (2000) containing code-switching and code-mixing between English and Spanish (e.g., “*Mija*, my daughter, do not worry. I know what I am doing.” (Ryan, 2000: 46)). Furthermore, the writer also used primary sources, for example, books, theses, and journal articles, to strengthen the analysis process.

2.2.4 Population and Sample

The sample of the data was determined by using a total sampling method and collecting the entire population of the study. The criteria include the dialogues and

¹ *Esperanza Rising* (2000) by Pam Muñoz Ryan: <https://online.flipbuilder.com/fdyv/dsop/>

monologues of the characters, which employ language alternation, rather than the narration of the author.

2.2.5 Method of Data Collection

The data was collected through the observation technique (reading and note-taking technique). The writer began the data collection process by reading the entire novel repeatedly to identify data. Next, each datum found was recorded and classified based on type. The data was then organized into a classification table to make the analysis process easier and more structured.

2.2.6 Method of Data Analysis

This analysis is conducted through some steps as follows.

1. The analysis started by determining the labels for types of code-switching using a table that contains the types along with labels, examples, and explanations. The labels used are based on Hoffmann's (1991) theory, described in sub-chapter 2.1.4. "IS" is intra-sentential switching, "IES" stands for inter-sentential switching, "EC" is for establishing continuity with the previous speaker, and "EM" is for emblematic.
2. The next step was determining the labels for types of code-mixing using Hoffmann's (1991) theory, explained in sub-chapter 2.1.5, to identify the types of code-mixing. The label "IS" stands for intra-sentential mixing, "IL" for intra-lexical mixing, and "CP" for involving a change of pronunciation.
3. The third step was distributing the data into tables according to left context, keyword in context, right context, and mixing and switching (CM/CS) categorization. The keyword in context (KWIC) column focused on parts of

sentences or phrases that indicated the appearance of language alternation phenomena in Spanish.

4. Next, the writer classified the raw data according to the types of language alternation using Hoffmann's (1991) theory regarding various types of language alternation. The classification results were also calculated in a simple statistics model to show the frequency of each type.
5. The fifth step was identifying the factors behind the language alternation used by the characters using the theory of Bhatia et al. (2013) regarding factors that influence code-switching and code-mixing. In addition, the results of the classification were also represented through a simple statistical approach.
6. The next step included determining the categories used by characters in performing code-switching and code-mixing using two theories for analysis, namely Hoffmann's (1991) theory regarding the motives for code-switching and Hockett's (1958) theory about the motives for code-mixing. The classification results were presented to provide a clearer statistical overview. To validate the data interpretation of factor and motive, the writer used the theory of narratology by Genette (1980).
7. Lastly, the analysis ended with a conclusion to formulate the main findings by relating them to the theories applied.