

CHAPTER II

THEORY AND METHOD

2.1. Theoretical Framework

In this chapter, the researcher provides the theories used in conducting the research. The theories presented by the researcher are about speech acts, social factors, and character development. The researcher uses the theory of directive speech acts to analyze character development.

2.1.1. Speech Acts

Levinson (1983) discusses speech acts in his book *Pragmatics*, referring to Austin's theories. Levinson emphasizes that understanding speech acts requires further understanding of social conventions, mutual understanding between speakers and listeners, and semantic analysis of sentences. In addition, Levinson developed Austin's idea by emphasizing the importance of social context in understanding speech acts, and his main focus is on illocutionary acts. Austin (1962) explains in full the basic theory of speech acts. He explains that when we speak, it is not only in the form of saying a word or sentence, but in the utterance that contains the meaning to do something. Austin divides speech acts into three main types: locutionary acts, illocutionary acts, and perlocutionary acts.

Locutionary act are the basic action of an utterance. According to Austin (1962:108), a locutionary act are a speech act saying the literal meaning of the utterance. An illocutionary act is a speech act that asks the listener to do something. A perlocutionary speech act is the effect that appears to the listener after the speaker

says something. This can be in the form of the listener doing something that has meaning with the speaker's utterance. Example: "There isn't enough fresh air in here". In that utterance, the locutionary acts is the speaker wants to inform the listener about the information that the air in the room is not fresh enough, while the illocutionary is the speaker indirectly asks the listener to open the window so that the air in the room becomes fresher, and the perlocutionary acts can be the listener opening the window or refusing to do so.

Illocutionary speech acts are additional meanings of an utterance that are produced based on its literal meaning, such as promising, commanding, suggesting, prohibiting, or warning. According to Levinson (1983: 237), illocutionary acts are actions that are directly performed by conventional forces by issuing a certain type of speech using conventional methods, and the consequences are deterministic. Searle (1979) and Yule (1996) both divide illocutionary acts into 5 types: Representatives, Directives, Commissives, Expressives, and Declarations. Representatives is a speech act that asserts the speaker's truth about a matter expressed (asserting, describing, concluding), for example: "It was a warm sunny day". Directives are a speech act used by speakers to ask others to do something (commanding, requesting, ordering), for example: "Could you lend me a pen, please?". Comissives are a speech act that refer to a future action of the speaker (promising, threatening, offering, refusing), for example: "I'm going to get it right next time". Expressives are speech acts that express the speaker's emotions and attitudes (congratulating, apologizing, thanking), for example: "What a great day!".

Declarations is a speech act that asserts according to the declaration proposition (excommunicating, declaring war, christening), for example: “You’re out!”.

2.1.2. Directive Speech Acts

Directives speech act causes the listener to take a particular action. Yule (1996) explains that directive speech acts are speech acts in which the speaker tries to make the listener do something. Directive speech acts aim to get others to do something. In utterances containing directives, the speaker attempts to get the listener to perform the action represented by the propositional content (Searle and Vanderveken, 1985: 37).

Searle and Vanderveken (1985: 198) classify directive speech acts into 24 types. However, in this study, the researcher limited only the directive command, request, suggest, order, tell, forbid, advise, warn, and ask to be used for analysis. The following list is the types of directive speech acts according to Searle and Vanderveken (1985: 198).

2.1.2.1. Command

Commands are speech acts that occur when the speaker gives a direct instruction to the listener to perform an action. Based on Searle and Vanderveken (1985:201), command can come from someone with higher power or authority. In addition, commands can also be used for very important and urgent situations, which require action from the listener to carry out the command as soon as possible. Commands can be either formal style or casual style. Formal style commands are usually used

in formal or military contexts, while casual style commands are usually used in everyday conversation, for example: “Wear a seat belt!” (Yule, 1996:56).

2.1.2.2. Request

Requests are speech acts that occur when the speaker asks the listener to do something, usually with a higher level of politeness than a command. The speaker makes a request to the listener to do something in a more polite way and without coercion. In addition, the listener has the freedom to do or reject the request. Yule (1996:56) explains that requests usually use questions such as “could you”, “can you”, “will you”, or “would you”, for example: “Could you lend me a pen, please?” (Yule, 1996:54).

2.1.2.3. Suggest

Suggests are speech acts that occur when the speaker wants the listener to perform an action but conveys it in the form of suggestion or guidance. Suggest often involve a certain level of politeness or respect, usually speakers use suggestions to ask someone to do something without appearing overly forceful or rude. Suggestions can also be direct or indirect, for example: “I suggest that you leave?” (Searle, 1969:122).

2.1.2.4. Order

Orders are speech acts that occur outside of formal settings or professional work environments, regardless of their status, position, or power. An order is different from a command. Anyone can give orders without having a higher power or position, but if commands, the speaker must have a higher position or power than

the interlocutor. Searle and Vandervaken (1985:198) explain that an order is successful if the listener takes action to comply with that order, for example: “Gimme a cup of coffee. Make it Black” (Yule,1996:54).

2.1.2.5. Tell

Tell can be either an assertive or a directive speech act. Tell is guiding or instructing someone to do something, which does not give them the option of refusal. According to Searle and Vanderveken (1985: 200), Tell differs from Request and Ask because it instructs in a more assertive, less polite manner. Furthermore, Request and Ask allow for the possibility of refusal, whereas Tell does not. Tell is also commonly used in casual situations, such as when parents tell their children in everyday conversation, for example: “Tell me the way to the Palace Hotel!” (Searle and Vanderveken, 1985: 10).

2.1.2.6. Forbid

Forbid is to prevent or prohibit the listener from doing something. Forbid means to prevent or prohibit the listener from doing something. A speaker uses the directive speech act forbid as a means of prevention and to deny the listener permission to perform a certain action. Based on Searle and Vanderveken (1985: 202), Prohibit and forbid differ only in that a prohibition tends to take the form of an order, for example: “Don’t touch that” (Yule, 1996: 54)

2.1.2.7. Advise

Advise is intended to provide listeners with suggestions or recommendations to take certain actions that are considered good or beneficial for them. Advise is also used

by speakers to ensure that their directive speech act is not perceived as forcing the listener. This speech act is a recommendation delivered with the intention of helping, without directly commanding or urging, for example: “You’d better do it” (Searle and Vanderveken, 1985: 75)

2.1.2.8. Warn

Warn is alerts someone to the possible consequences of an action or negligence. The purpose of a Warn is for the speaker to encourage the listener to take precautions or prepare in anticipation of something, for example: “I warn you to stay away from my wife” (Searle and Vanderveken, 1985: 181)

2.1.2.9. Ask

Ask in a directive speech act can have two meanings. Ask can be used to request that the listener perform an action, or it can be used to ask a question and request information. A question can be classified as a directive speech act if it is used to cause the listener to respond with an action in response to the speech act. For example: “How many people went to the party?”. It is of the form: “I request you, you tell me the correct value of x in 'x number of people went to the party’” (Searle and Vanderveken, 1985:200).

2.1.3. Direct and Indirect Speech Acts

According to Yule (1996), each form of directive speech act can be divided into direct and indirect speech based on the relationship between structure and function. Direct speech acts occur when the sentence form matches the function directly intended by the speaker. For direct speech acts, the sentence type is usually an

imperative, often found in directive speech acts such as commands or requests. Example: “wear a seat belt!” (Yule, 1996:54).

Meanwhile, indirect speech acts occur when the sentence form does not match the speaker's original intended function. The speaker conveys meaning indirectly, and the listener needs to understand the meaning of a directive speech act through context. According to Yule, indirect speech acts are usually associated with greater politeness. Indirect speech in directive speech acts usually takes the form of declarative or interrogative sentences. Example: “do you wear a seat belt?” (Yule, 1996:54).

2.1.4. Illocutionary Force Indicating Device (IFIDs)

Illocutionary Force Indicating Device (IFIDs) is a linguistic marker used to determine the function and meaning of an utterance within the context of speech acts. IFIDs help us understand the purpose of speech acts, whether they are statements, questions, requests, promises, warnings, and so on. According to Yule (1996:50), identifiable IFIDs are performative verbs, word order, stress, and intonation.

Performative verbs are verbs that explicitly mention the illocutionary act being performed. Intonation is also an IFIDs device that can indicate whether an utterance is a command, request, or question. In addition, stress on certain words or sentences can also change the meaning of an utterance. The way we say something can be used to convey illocutionary force and make the intended meaning stronger,

for example, by lowering our voice when speaking to someone in a higher position, or speaking more firmly when giving a warning or a threat.

2.1.5. Felicity Conditions

Felicity conditions are the conditions that must be fulfilled for an illocutionary act to be successful. Yule (1996:50) defines felicity conditions as the conditions needed to achieve the purpose of a speech act, in which the listener understands the meaning intended behind the utterance. Searle (1979:44) outlines four conditions for demonstrating the success of a speech act, namely: preparatory condition, sincerity condition, propositional content condition, and essential condition.

According to Searle (1979:44), the preparatory condition is a contextual requirement that enables the action to be proposed. This includes the listener's ability to act, the action not having occurred yet, and the speaker having a reason to request the action from the listener. Sincerity condition relates to the speaker's psychological state; the speaker genuinely wants the listener to act. Propositional content condition refers to the propositional content of the action; for directive forms, this is usually an action to be performed by the listener in the future. An essential condition is that the utterance is an attempt by the speaker to get the listener to act.

2.1.6. Social Factors

The use of directive speech acts is strongly related to politeness theory and social factors. Brown and Levinson (1987) explain the politeness theory that speakers use to maintain social relationships and "face" when asking them to do something. The

choice of the type of directive speech act used is influenced by social factors, which depend on the social relationship, level of formality, and relative power between the speaker and the listener. Brown and Levinson (1987: 74) explain that three main factors influence directive speech acts, such as the social distance (D), the relative power (P), and the absolute ranking of imposition (R).

2.1.7. Characterization and Character Development

Characterization is a technique or process used by the author to describe the personality, attitude, and development of the character. According to Meyer (2009:43), the method of presenting characterization is showing and telling. In the telling method, the author intervenes directly to describe, explain, and evaluate the character. In the showing method, the author leaves it up to the reader to deduce the underlying motives and character of what the character says and does. In his book, Murphy (1972:161-173) describes nine methods of portraying characters in literary works, one of which is the character's speech.

Character development is the process of personality transformation carried out by a character, from a bad character to a good character, or even a good character to a bad character, which is influenced by psychological factors or intrinsic elements. To identify the development of characters in a movie, researchers must pay attention to the thoughts, speech, and behavior of these characters. Analyzing how characters grow or change can be done by paying attention to character traits at the beginning of the story, then compared to character traits at the end of the story. This can be seen with the speech acts used by characters based on the theory of Murphy (1972), explaining methods of portraying characters in literary works.

2.2. Research Method

In this section, the researcher will discuss the type of research, research approach, the data and data sources, population and sample, the method of collecting data, and the method of analyzing data.

2.2.1. Type of Research

This research was conducted using descriptive-qualitative research. Qualitative research is a method related to subjective aspects and non-numeric data that is usually used in research in linguistic fields, and it is often better at showing how an event or phenomenon can occur.

Leavy (2017: 9) explains that qualitative approaches are used by researchers to reveal the meaning provided by individuals to activities, situations, or events, as well as to build a deeper understanding of various aspects of social life. Furthermore, descriptive qualitative research is a very useful approach when researchers want to know about a phenomenon, who is involved, and where it happens.

2.2.2. Research Approach

This study is a pragmatic approach from Yule (1996) to speech acts in relation to social factors and characterization. In the analysis process, this study employs a classification theory of directive speech acts, politeness theory to analyze the underlying factors, and the concept of characterization to analyze character development.

2.2.3. Data and Data Source

In analyzing the movies, this research used spoken data from watching *Despicable Me* (2010) and *Despicable Me 2* (2013) through the Apple TV¹ and written data from the movie transcript². The primary data is taken from all of Gru's dialogue in *Despicable Me* (2010) and *Despicable Me 2* (2013) containing directive speech acts. Furthermore, the primary sources, such as theory books, theses, and journal articles, are also used to strengthen the analysis.

2.2.4. Population and Sample

The data population is all Gru's utterances in *Despicable Me* (2010) and *Despicable Me 2* (2013), and the data sample is Gru's utterances containing directive speech acts. The researcher analyzed all of the data in the sample, which is known as total sampling. According to Sugiyono (2018), total sampling is a sampling technique which all members of the population are used as research samples because the population is relatively small.

2.2.5. Method of Collecting Data

The method of data collection used by the researcher is the observation method. According to Kumar (2023), the observation method is a method used to observe and describe the behavior of the subject, using basic techniques that rely solely on observation of phenomena until a certain understanding or insight is obtained. The

¹ <https://tv.apple.com/id/movie/despicable-me/umc.cmc.72wwdqjcbzl0ps0iq6pop01x3>
(Despicable Me)

<https://tv.apple.com/id/movie/despicable-me-2/umc.cmc.54jp8wr1bvja4w8indzrzqxl>
(Despicable Me 2)

² <https://subscene.com/subtitle/388443> (Despicable Me)
<https://subscene.com/subtitle/804083> (Despicable Me 2)

researcher observed all of Gru's utterances to find his directive speech acts by watching and listening to the movie *Despicable Me* (2010) and *Despicable Me 2* (2013).

The tool used by the researcher during the observation is a note that contains important and detailed notes during the observation process to document Gru's directive speech acts in these two movies. To ensure the accuracy in obtaining data from Gru's utterances, the researcher used the movie transcript as an auxiliary tool.

2.2.6. Method of Analyzing Data

The analysis process involved several steps as follows.

1. The analysis starts by determining the labels for types of directive speech acts using a table that contains the types along with labels, examples, receiver, movie title, and explanation. The labels that are used are based on Searle and Vanderveken's (1985) theory. "CO" is command, "OR" is order, "TE" is tell, "FO" is forbid, "WA" is warn, "SU" is suggest, "AD" is advise, "RE" is request, and "AS" is ask.
2. Distributing the data into tables according to Gru's dialogue by matching the transcript while watching. Collect Gru's speech data only, and filter the dialogue belonging to other characters. Dialogue from other characters is not deleted to preserve the film's conversation context related to Gru's directive speech act.
3. Next, the researcher identifies the data by sorting Gru's dialogue containing directive speech acts according to the types of directive speech acts using

Searle and Vanderveken's (1985) theory. Write the receiver, in which film, and describe the context of the scene.

4. The fourth step is to calculate the number of frequencies and the proportion of each type of directive speech act in each movie. The classification results will be calculated in a simple statistics model.
5. Next, analyze the findings regarding the frequency of directive speech acts in each film. Identify which types show an increase or decrease in frequency.
6. Of the directive speech acts found in the data, the researcher limited and selected only three types for further analysis based on the context, the relationship between the characters, and the purpose of the communication. The types chosen were order, advise, and request because they show a clear contrast in Gru's use of directive speech acts in both films.
7. The next step is identifying the factors underlying the differences in the use of directive speech acts between the first and second films. In analyzing the factors underlying the differences in usage, the researcher drew on Brown and Levinson's (1978) theory of social factors.
8. Next, the analysis of character development was conducted by correlating the frequency of various types of directive speech acts with the underlying social factors that reflect the characterization of Gru in both films.
9. Finally, the analysis concludes with a summary of the main findings and their connection to the relevant theories.