

CHAPTER II

THEORY AND METHOD

2.1 Theoretical Method

Speech acts are part of a pragmatic study that focuses on how an utterance is used in a social interaction. The definition of speech acts, according to Searle (1969: 16), is: “... *acts such as making statements, giving commands, asking questions, making promises, and so on....*”. Speech acts is also divided into several categories; one of them is illocutionary acts, which was introduced by Austin and later refined by Searle.

Illocutionary acts, according to Searle (1979), is an act of uttering something from the speaker with the intention of being listened to by a listener, of which purpose is to send an information based on what happened to the speaker and their environment. Searle (1979) also divided illocutionary acts into several different categories; assertives (representatives), directives, commissives, expressives, and declarations.

Assertives speech acts is the first kind in this category. Searle’s (1979: 12) description of assertives speech act is: “... *is to commit the speaker (in varying degrees) to something’s case, to the truth of the expressed exposition.*”. The purpose of assertive act is to show or announce the speaker’s opinion or statement confidently and directly, and in which that particular utterance contained information that the speaker believed to be the truth. In assertive speech acts, the

possibility of the utterance is either true or false. Here is an example of assertives speech acts in a dialogue:

- *“My cooking is way better than yours.”*

The indication of the assertives act in this utterance can be seen in the phrase “my cooking is way better,” in which the speaker is “asserting” the idea that their cooking is superior compared to the listener’s.

- *“I cannot understand what that politician was saying during the whole debate.”*

This utterance contains the performative verb “stating” in the “I cannot understand” phrase, where the speaker is speaking their condition that they do not catch the message from the politician during the event.

The difference between “stating” and “asserting” is that the latter is delivered with more confidence while the former is delivered with a neutral tone.

- *“Indeed, I am the organizer of this grand event.”*

Assertives act can also be used to answer a question and confirm information; in this case, the assertives act is using the “affirming” performative verb that is located in the phrase “indeed” to confirm his identity as the person who is responsible for the event.

Directives is the next category of illocutionary speech acts after assertive.

Searle (1979: 13) describes directives act as:

“The illocutionary point of these consists of these consists in the fact that they are attempts (of varying degrees, and hence, more precisely, they are determinates of the determinable which includes attempting) by the speaker to get the hearer to do something.”

Directives speech acts is a kind of utterance in which purpose of the speaker is to make the listener to perform one or some specific tasks according to what the information in the utterances dictates. Directives speech acts is spoken through asking, requesting, suggesting, ordering, inviting and permitting.

Examples of directives speech acts are such as:

- *“Can I have another bowl, please?”*

The indication of this utterance as a directives act is the presence of an “asking” performative verb, which can be found in the phrase “can I have” and is also supported by the presence of a question mark. The intention of this utterance is to make the listener answer their question with a “yes” or “no” answer, or instead immediately make an attempt to bring another bowl.

- *“Do not operate the device without any protection gear.”*

This utterance contains the “ordering” performative verb that is considered a directives act, located in the phrase “do not operate.” The intention of this utterance is to make sure the worker wears the necessary protection to avoid any harm during the work.

- *“I wanted to have a better house for a better living condition.”*

The directives act of this utterance is indicated by the “requesting” performative verb in the phrase “I wanted”, with the intention of making the listener provide the speaker with a better property to be offered to them.

There is a distinct difference between “ordering” and “requesting.” The “ordering” performative verb has a wording that can cause an effect that makes the audience obey the message, while “requesting” has a more polite and neutral tone that does not necessarily push the listener to obey their words.

Commissives speech acts is defined by Searle (1979: 14) as: “... *are those illocutionary acts whose point is to commit the speaker (again in varying degree) to some future course of action.*” Commissives act expresses the upcoming action the speaker would perform in the future. The purpose of this category of speech acts is to explain or giving the information regarding the intention of the speaker themselves. The utterances from commissives speech acts are formed in the manner of promising, threatening, guaranteeing, or refusing. The examples of commissives speech acts in a sentence are:

- “*Mark will lose another job if he keep being late to work.*”

This utterance is considered a commissives act with the appearance of a “guaranteeing” performative verb in the phrase “Mark will lose,” with the support of the phrase “he keep being late to work” as the condition of the guaranteeing verb. The function of this

utterance is to show the future scenario of Mark being fired if meets the already-determined condition of being late to work.

- *“I will bring success for our group project.”*

This utterance contains the “promising” performative verb in the phrase “I will bring,” which is part of commissives act. The function of this utterance is to show a future probability of their work, although it is unsure whether the speaker is able to fulfil it.

The main difference between “guaranteeing” and “promising” is that the certain future event in “guaranteeing” will always be fulfilled, while in “promising,” it is still undetermined whether it will be fulfilled or if the speaker really has an intention to fulfil it.

Expressives act is the fourth category of illocutionary act by Searle (1979: 15), which his definition of it is: “... *to express the psychological state specified in the sincerity condition about the state of affairs specified in the propositional content.*” This illocutionary act category meant express the emotional condition of the speaker in the earnest manner possible. This category of speech acts in a glance, is quite similar to assertives speech acts, but the information from the expressives speech acts alone cannot be proven whether it is a true or false without any clarification beforehand. Typically, expressives speech acts is expressed to thank, congratulate, condole, deplore, and welcome. Examples of these expressions in a sentence are:

- *“Congratulations on your employment in abroad.”*

The speaker is expressing their feelings through the “congratulating” performative verb that is indicated with the phrase “congratulations.” The purpose of this utterance is to express the happiness of the speaker for the achievement of the listener.

- “*Greetings Mr. Kennedy.*”

The “welcoming” performative verb can be seen in the “greetings” phrase. The purpose of this utterance is to express their positive reception upon the arrival of the listener.

And lastly, is the declarations speech acts, which Searle (1979: 16-17) explains it as:

“... The defining characteristic of this class that the successful performance of its members brings about the correspondence between the propositional content and reality, successful performance guarantees that the propositional content corresponds to the world....”

Declarations speech acts is a kind of utterance that immediately take effect once it utterance. While similar to assertive act in a glance, declarations act can only be performance by an individual or group of people with a proper authority. Examples of declarations speech acts in a dialogue is in:

- “*You are eliminated from this exam.*”

The indication of declarations act is located in the “declarating” performative verb of “you are eliminated.” The purpose of this utterance is to remove the participation rights of the listener from the exam. There is a condition for this utterance to be considered a declarations act: the speaker must be the supervisor of the exam, as

they are the ones with rights or authority during the exam; otherwise, this utterance is considered an assertives act.

In order to decide where an utterance belongs to in illocutionary act, Searle created a system that he called as “Illocutionary Forces Indicating System” (IFID). According to Searle (1969: 30), illocutionary force is:

“... how the proportion to be taken, or to put it another way, what illocutionary force the utterance is to have; that is, what illocutionary act the speaker is performing in the utterance of the sentence. Illocutionary force indicating devices in English include at least: word order, stress, intonation contour, punctuation, the mood of the verb, and the so-called performative verbs.”

Illocutionary Force Indicating System is used to decide which category of illocutionary act an utterance belongs to based on performative verb that is present in an utterance. Performative verb also determines the function of an utterance due to they hold the active role to perform an action. The performative verb categories for assertive act are: assert, affirm, and state. For the directives act, they are: request, ask, order, suggest, invite, and permit. As for the commissives act, the categories are: promise, vow, threaten, pledge, guarantee, offer, refusal, and volunteer. And the categories for expressives are: thank, welcome, congratulate, apologize, condole, blame, exclamation, complain, praise, and deplore. Delarations act is unique as it overlaps with assertives act, the difference between them is located on the subject or the speaker of the utterance, declarations act can only be performed by an individual or group of people with authority.

In the theory of speech acts, there is an important term that dictates the quality of an utterance as a speech act. “Felicity Condition,” as Austin (1962)

refers to them in his book as the “Happy/Unhappy Dimension” of a performative utterance, are various factors that decide whether an utterance is true or false. Felicity Conditions are conditions or criteria that must be fulfilled to construct a speech act that is capable of performing its purpose. According to Searle (1969), there are four criteria for Felicity Conditions: propositional content condition, preparatory condition, sincerity condition, and essential condition. For this study, however, the Felicity Conditions that are going to be used to analyze the data are: preparatory condition, sincerity condition, and essential condition.

The first is the preparatory condition. Searle (1979: 62) defined this rule as: *“the speaker must be in a position to provide evidence or reasons for the truth of the expressed proposition.”* In an attempt to perform a speech act, there should be a correlation between the condition of the speaker and their speech act utterance. This condition plays a crucial role in manipulating the listener, either positively or negatively.

The next category is the sincerity condition. The definition from Searle (1979: 62) of this rule is that: *“the speaker commits himself to the belief or truth of the expressed proposition.”* This condition is related to the psychological condition of the speaker when performing a speech act. In the Felicity Condition, when someone performs a speech act, the speaker should be held responsible for the utterance they made.

The third condition is an essential condition, which Searle (1979: 62) describes as *“the maker of an assertion commits himself to the truth of the*

expressed proposition.” In every speech act, there will always be one or several intentions behind the utterance itself. The Felicity Condition for essential criteria means that the utterance that the speaker made should be alleged with the intention of the speaker themselves.

2.2 Research Methods

The approach of this study is a case study research approach, as this study is focusing on a specific topic to be discussed, which in this case is the illocutionary act usage in Alice’s dialogue and monologue.. The data for this study is the dialogues and monologues from Alice that are considered speech acts. The data are taken from the first edition of the novel “*Alice’s Adventure in Wonderland,*” written by Lewis Carroll and published in 1865 by Macmillan & Co. in London. The sampling technique that will be used in this research is the purposive sampling technique, where only the dialogue and monologue from Alice that are considered speech acts are going to be included as the data for this study. As for the data analysis, thematic analysis is chosen. The data of this study, which is the dialogue and monologue of Alice, are categorized based on the presence of the performative verbs in the utterance, and each category is going to be analyzed to identify the pattern of situations that a certain illocutionary act is mostly used to.

The example of data analysis can be seen in the example below:

“How funny it’ll seem to come out among the people that walk with their heads downwards! (Alice’s Adventure in Wonderland, 1865: 5)”

*“It was much **pleasanter** at home ... when **one wasn’t always growing** larger and smaller, and being ordered around by mice and rabbits. (Alice’s Adventure in Wonderland, 1865: 48)”*

*“... and **things are worse** than ever... for **I never was so small** as this before, never! (Alice’s Adventure in Wonderland, 1865: 22)”*

These three examples are taken from Alice’s monologue from various chapters. Three of them are considered an assertives act for the presence of the “stating” performative verb, and the phrases are marked with a bold font. The three of those utterances have the function of “stating” or expressing their opinion on the events that are happening to her. These “events” in particular are not the usual occurrences; rather, they are some bizarre phenomenon that only happened during Alice’s journey in Wonderland, which in this case is the preparatory condition of these utterances. The bizarre phenomenon in the first utterance is that Alice is falling almost indefinitely in the rabbit hole based on Alice’s previous utterance *“I wonder if I shall fall right through the earth! (Alice’s Adventure in Wonderland, 1865: 5)”*; the second utterance has a bizarre phenomenon where Alice keeps growing and shrinking at an unreasonable pace and is also being ordered by animals that are usually unable to talk; and the third utterance is where Alice is shrinking into a diminutive size. Based on the similarities between these three examples, we can conclude that Alice is mostly using an assertives act with a “stating” function to express her opinion on the unusual events that are happening around her.