

CHAPTER II

THEORY AND METHOD

2.1 Theoretical Framework

To answer the research questions, this study uses two fields of study. First, it uses speech act theory from pragmatics to analyze the types of directive speech acts George uses to express his care for Lennie. Second, it uses the theory of characterization by Pickering and Hooper (1981). This theory is used to explain how George's harsh way of speaking is not just about being angry but a reflection of his quick-tempered personality and his role as a protector. By combining these two fields, this study shows that George's instructions are actually a way to express his care and responsibility toward Lennie, who has an intellectual disability.

2.1.1 Speech Acts

The theory of speech acts was introduced by J. L. Austin (1962). Austin explained that language is not only used to share information but also to perform actions. For example, when someone says, "*I promise to come tomorrow,*" the speaker is not only saying words but also making a promise. John R. Searle (1969) later developed this idea by emphasizing that speech acts are the basic units of communication. He argued that every utterance is important because it always performs a specific function when someone speaks.

Based on this theory, every time we speak, there are three levels of action that happen at once: locutionary, illocutionary, and perlocutionary acts. A

locutionary act is the literal sentence that we say, an illocutionary act is our real purpose when we speak, while a perlocutionary act is how the listener reacts or feels about the things that we say. Following the ideas of Austin (1962) and Searle (1969), this study, however, only focuses on illocutionary acts because this is the only type of speech act that helps to know the meaning behind George's utterances.

There are five types of illocutionary acts, including assertives, directives, commissives, expressives, and declarations (Bach & Harnish, 1979:47). However, in this study, we only focus on the "directives" type because this is the type of speech act that George produces when talking to Lennie and shows his care. In terms of categorizing directive speech acts, this study employs Bach and Harnish's (1979) theory instead of Searle (1969) because Searle's felicity conditions, comprising propositional, preparatory, sincerity, and essential conditions, primarily focus on evaluating whether the speaker's utterance is valid as a specific speech act from the speaker's perspective. In contrast, Bach and Harnish do not only emphasize the speaker's intent but also place significant importance on inference, which examines how the hearer understands and acts upon the utterance through Mutual Contextual Beliefs (MCBs). This emphasis on inference supports Nel Noddings' Ethics of Care, which argues that 'caring' is only completed when the caregiver has the intention to care, and the recipient recognizes and responds to that care. Therefore, using Bach and Harnish's (1979) theory to categorize the types of directive speech acts, allows this study to show that George's harsh directives are acts of care, as they do not only look at George's intentions but also look at Lennie's understanding of George's intentions based on their shared knowledge.

2.1.2 Directive Speech Acts

Directive speech acts are a type of illocutionary act that is used when someone is trying to make others do something (Bach and Harnish, 1979). In categorizing the types of directive speech acts, this study follows the rules of Bach and Harnish (1979), who state that an utterance can be categorized as a directive speech act if it meets the following two characteristics:

- i) Intention: The speaker wants the listener to do an action, and
- ii) Inference: Based on their mutual contextual beliefs, the listener does the action because they are instructed by the speaker (Bach & Harnish, 1979).

Directive speech acts are divided into six types, namely requestive, question, requirement, prohibitive, permissive, and advisory (Bach & Harnish, 1979:47). Here is the explanation of each type:

2.1.2.1 Requestives

Requests occur when a speaker wants the listener to do something and hopes they will do it because of the speaker's wish. This group includes verbs like *ask, beg, insist, request, tell, and urge* (Bach & Harnish, 1979). A request happens under two conditions:

- i. The speaker truly wants the listener to do an action.
- ii. The speaker wants the listener to do that action because the listener recognizes the speaker's desire, based on their mutual contextual beliefs, or MCBs (Bach & Harnish, 1979:47).

An example of a requestive is when a student asks their teacher for help: "*Can you help me complete this exercise, sir?*" (Syammary et al., 2024:148). In this case, (i) the student expresses their desire to the teacher to help them with the questions, and (ii) the student hopes the teacher will help them complete the task because the teacher understands that the student is confused, so as a teacher, he should help (mutual contextual beliefs).

2.1.2.2 Questions

Questions are a special form of request where the speaker asks the listener for information. According to Bach and Harnish (1979), a question shows that the speaker wants the listener to share certain knowledge, which leads the listener to give a verbal answer. A speaker performs a question when their utterance expresses the following conditions:

- i. The speaker wants to know if a statement is true or needs specific information.
- ii. Based on the context, the speaker wants the listener to realize this and provide the answer. (Bach & Harnish, 1979:48).

The following is an example of a question within the same context, which is between a teacher and a student: "*Why is this linguistic pattern used in this context, sir?*" (Syammary et al., 2024:150).

Analysis: (i) The student expresses a genuine desire for the teacher to explain a linguistic pattern, (ii) The teacher understands that the student needs a better explanation, then he gives the answer.

2.1.2.3 Requirements

Requirements are speech acts where the speaker uses their influence to make someone do something, such as commanding or instructing. The main difference between a request and a requirement is the motivation; in a requirement, the listener obeys because the speaker has the authority, whether physical, psychological, or institutional, that cannot be ignored (Bach and Harnish, 1979:47). A speaker performs a requirement when their utterance expresses the following conditions:

- i. The speaker believes their words are a strong enough reason for the listener to act because of the speaker's authority.
- ii. The listener does the action because he has to obey the instructions. (Bach & Harnish, 1979:47).

Below is an example of a requirement involving a teacher who asks a student to answer a question, *“Explain to us the main points in this topic!”* (Syammary et al., 2024:152).

Analysis: (i) Having the authority, the teacher believes that their words are a strong reason for the student to do the task. (ii) The student does the task because they know they must obey the teacher, who has the highest authority in the class.

2.1.2.4 Prohibitives

Prohibitives are negative directives where the speaker orders the listener not to do something. Basically, it is a requirement to stop or avoid an action, often

using words like "don't" or "stop" (Bach & Harnish, 1979:47).

A speaker performs a prohibition when their utterance expresses the following conditions:

hei. The speaker believes their authority is a strong enough reason for the listener to stop an action.

ii. The speaker wants the listener to avoid the action simply because they were told not to do it. (Bach & Harnish, 1979:47).

Still in the same teacher-student context, the following data illustrates a prohibitive speech act, *"Please don't speak out loud during the explanation"* (Syammary et al., 2024:154).

Analysis: (i) The teacher firmly wants the students to stop talking loudly during the lesson. (ii) The students stay quiet because they recognize the teacher's need to keep the classroom calm and because the teacher has the authority to manage the class.

2.1.2.5 Permissives

Permissives are directive acts where the speaker gives the listener permission to do something. By doing this, the speaker removes a rule or restriction that previously stopped the listener from acting (Bach & Harnish, 1979:49). A speaker performs a permissive act when their utterance expresses the following conditions:

i. The speaker believes their words give the listener the right to act, based on the

speaker's authority.

ii. The speaker wants the listener to understand they now have permission because the speaker allowed it. (Bach & Harnish, 1979:47).

The following case demonstrates a permissive act occurring within the same classroom environment: "*Sir, can I leave class early today? I have a medical appointment*" (Syammary et al., 2024:156).

Analysis: (i) The teacher gives the student the right to leave early because the teacher has the authority to allow it. (ii) The teacher says this so the student knows they are now allowed to go for their appointment.

2.1.2.6 Advisories

Advisories are directive acts where the speaker gives a suggestion. The speaker tells the listener to do something because it will be good for them. The goal is to give the listener a reason to act for their own benefit (Bach & Harnish, 1979:49).

A speaker gives advice when their utterance expresses the following conditions:

- i. The speaker believes there is a good reason for the listener to do a certain action.
- ii. The speaker wants the listener to accept this reason and actually do it, based on their mutual knowledge. (Bach & Harnish, 1979:47).

Another example within the same setting is an advisory act, as shown in the following utterance, "*Why don't we sit together in the library...?*" (Syammary et al., 2024:155).

Analysis: (i) The student suggests studying together because they believe it

will be more productive for everyone. (ii) The student's friends are moving to the library because they see it as a better idea than studying at the canteen.

2.1.3 Direct and Indirect Speech Acts

In communication, what we say is not always what we actually mean. This difference is the basis for direct and indirect speech acts (Searle, 1975:60). Normally, a direct speech act happens when the sentence type matches its function. For example, a declarative sentence is used to make a statement, an interrogative is for questions, and an imperative is for commands (Yule, 1996:54). On the other hand, indirect speech acts happen when the speaker says something that is very different from their actual intentions (Searle, 1975:60). In this situation, the listener needs to understand the context to understand the real message (Yule, 1996:55).

These are examples of direct and indirect speech acts:

- a) *"You wear a seat belt."* (Yule, 1996:54)
- b) *"I told him that I could fix this computer immediately."* (Yule, 1996:56).

Sentence (a) is a direct speech act because the structure of the sentence and the literal meaning are the same; the utterance is written in a declarative sentence. and the meaning is to make a statement. On the other hand, sentence (b) is an indirect speech act because the sentence structure and the meaning are different. The sentence is a declarative sentence; it is actually an offer. Knowing if George uses direct or indirect speech is important to know the context and the situation he is facing when talking to Lennie.

2.1.4 Theory of Characterization

Characterization is the explicit or implicit method used by an author or a filmmaker to describe, develop, and reveal a character's personality in a story. According to Pickering and Hoepfer (1981), understanding characterization is crucial because it helps the audience understand the human nature, motives, and emotional values represented by the characters. Pickering and Hoepfer (1981) categorize the methods of characterization into two approaches: the telling method (direct/explanatory) and the showing method (indirect/dramatic).

2.1.4.1 The Telling Method (Direct Exposition)

The telling method relies on direct explanation and explicit details provided by the text. The audience can directly identify the character's traits without having to guess them. Pickering and Hoepfer (1981) divide this method into three distinct types:

Direct Assessment by the author: The narrator explicitly states the character's traits (e.g., describing someone as "selfish and impatient").

Use of Names: The name hints at the character's qualities or roles (e.g., "Grace" for an innocent character).

Appearance: Physical looks and clothing provide essential clues to their true nature (Pickering & Hoepfer, 1981) (e.g., a neat suit representing discipline).

2.1.4.2 The Showing Method (Indirect/Dramatic Method)

The showing method requires the audience to analyze and infer a character's traits based on the clues provided within the narrative. This method is highly

dominant in plays, dramas, and films. Pickering and Hoeper (1981) break this down into several major elements:

Characterization through Action: A character's behavior, choices, and reactions to events reveal who they truly are. Example: A character who risks their own life to pull a stranger out of a burning car is implicitly characterized as brave and selfless.

Characterization through Setting: The environment, house, or room where a character lives reflects their mental state or lifestyle. Example: A character whose bedroom is perfectly organized and clean indicates a disciplined and orderly personality.

Characterization through Dialogue: This is one of the most dynamic ways to reveal a character's nature. Pickering and Hoeper (1981) emphasize that dialogue must be analyzed through two main sub-elements:

What is Said: The actual content and topic of the conversation.

Example: If a character constantly talks about protecting their friend from getting hurt, what is said shows that they possess a deeply caring and protective nature.

The Manner of Speech: How the character delivers their words, including their tone, sentence structures, and emotional expressions.

Example: If that same character shouts their protective advice angrily ("Shut up and stay inside where it is safe!"), their manner of speech implicitly reveals a harsh, dominant, and short-tempered personality, despite their good intentions.

Among these methods, this study only uses the indirect method (the showing method), specifically characterization through dialogue, because this study focuses on analyzing the character's language to uncover his hidden traits. By

examining the dialogue, we can understand George's true personality: his caring intentions are shown through what is said, while his harsh and short-tempered nature is revealed through his harsh instructions.

2. 2 Research Method

This section explains the steps to analyze the data, from the type of research used to how the data is collected and examined. By following these steps, the study ensures that the findings are accurate and directly answer the research questions. This approach helps to provide a clear explanation of how George's harsh directive speech acts and actions reflect his true personality as a short-tempered guy throughout the story.

2.2.1 Type of The Research

This study uses descriptive qualitative research. According to Kothari (2004), descriptive research is used to describe the characteristics of a specific individual or group. This method is appropriate for this study because it focuses on describing George Milton's personality through his directive speech acts in the movie. The data in this study is qualitative. Kothari (2004) explains that qualitative research is essential in behavioral sciences to uncover the motives behind human behavior. Therefore, the data consists of George's utterances, which reveal his underlying motives for caring for Lennie.

2.2.2 Data and Data Source

The primary data of this study are George's utterances in the 1939 movie *Of Mice and Men*, produced by Hal Roach Studios. The movie was accessed

through a viewing platform available at [\[https://www.lookmovie2.to/movies/play/1689788556-des-souris-et-des-hommes-1939\]](https://www.lookmovie2.to/movies/play/1689788556-des-souris-et-des-hommes-1939). The data population in this study is all the directive speech acts that George produces when talking to Lennie. The sampling technique used is purposive sampling, meaning that the analysis focuses specifically on George's utterances that are categorized as directive speech acts but pragmatically function as acts of caring toward Lennie. In total, there are 37 directive speech acts that George produces that fit these criteria.

2.2.3 Method of Collecting Data

This study uses the documentation method for data collection. Kothari (2004) defines this as a method that uses documents to uncover specific phenomena. In this study, the movie transcript serves as the document, which is examined to identify the relevant directive speech acts showing a caring attitude that George uses to talk to Lennie.

2.2.4 Method of Analyzing Data

The data is analyzed using content analysis. Kothari (2004) states that content analysis involves examining verbal materials, whether spoken or written. This method is used to categorize George's utterances into specific directive types and interpret the caring intentions behind his harsh way of speaking. To answer the research questions, the analysis follows these steps:

Data Identification: The process begins by identifying and collecting all of George Milton's directive speech acts from the movie.

Classification: These speech acts are then categorized into specific types using the taxonomy proposed by Bach and Harnish (1979).

Analyzing Care (RQ 1): In this step, the context of each scene is examined to explain how those directives demonstrate George's caring attitude toward Lennie.

Characterization Analysis (RQ 2): Furthermore, the analysis explores how these harsh and short-tempered directive speech acts reflect George's overall characterization by connecting his linguistic choices with his personality traits.

Interpretation: Finally, the findings are combined to illustrate the relationship between George's harsh instructions, his caring intentions, and his quick-tempered personality as a protector.