



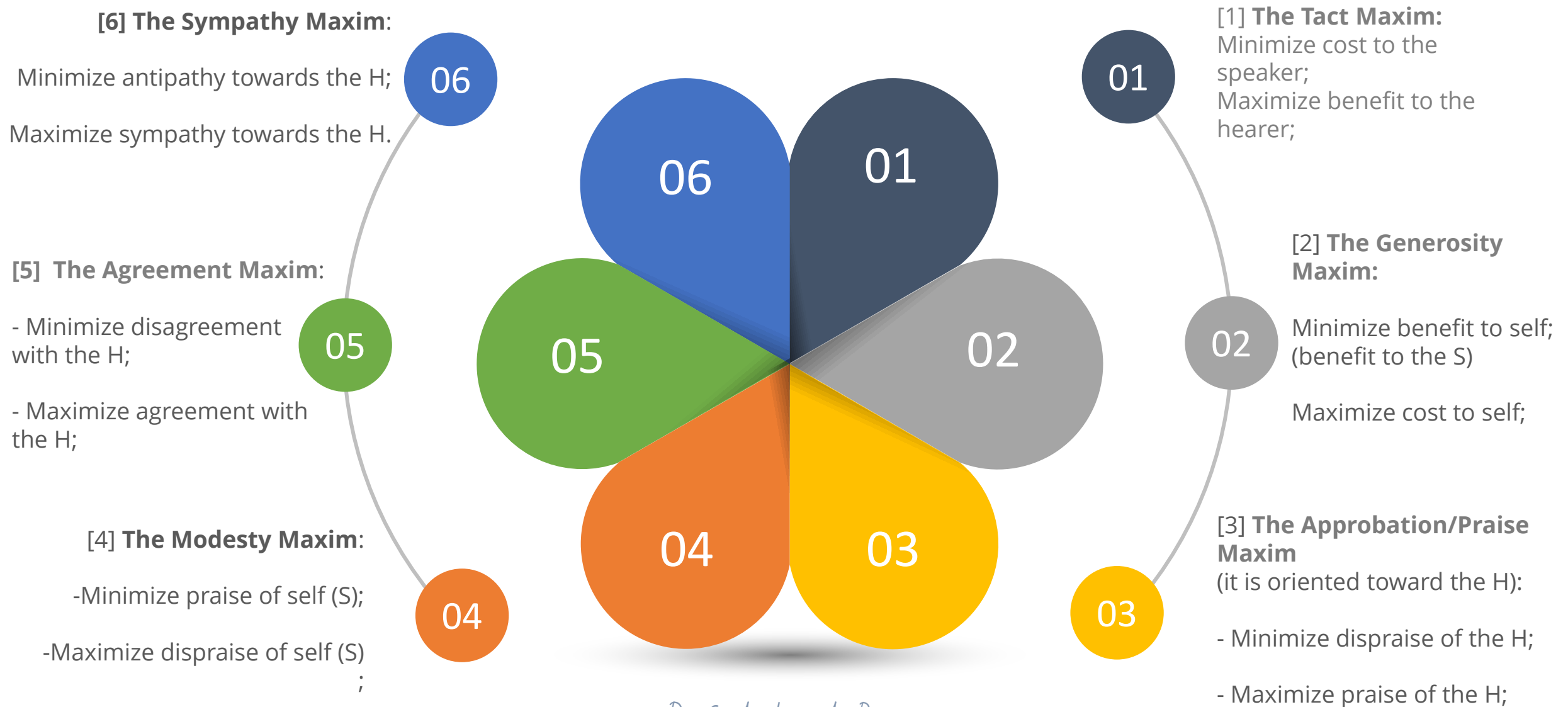
DISCOURSE ANALYSIS

DA, CA, CDA, **POLITENESS**

04-05-2022

Prof. Andrei A. Bogatyrev

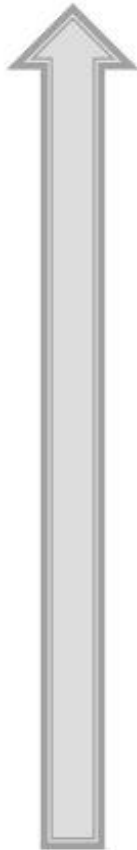
6 Geoffrey N. Leech politeness maxims



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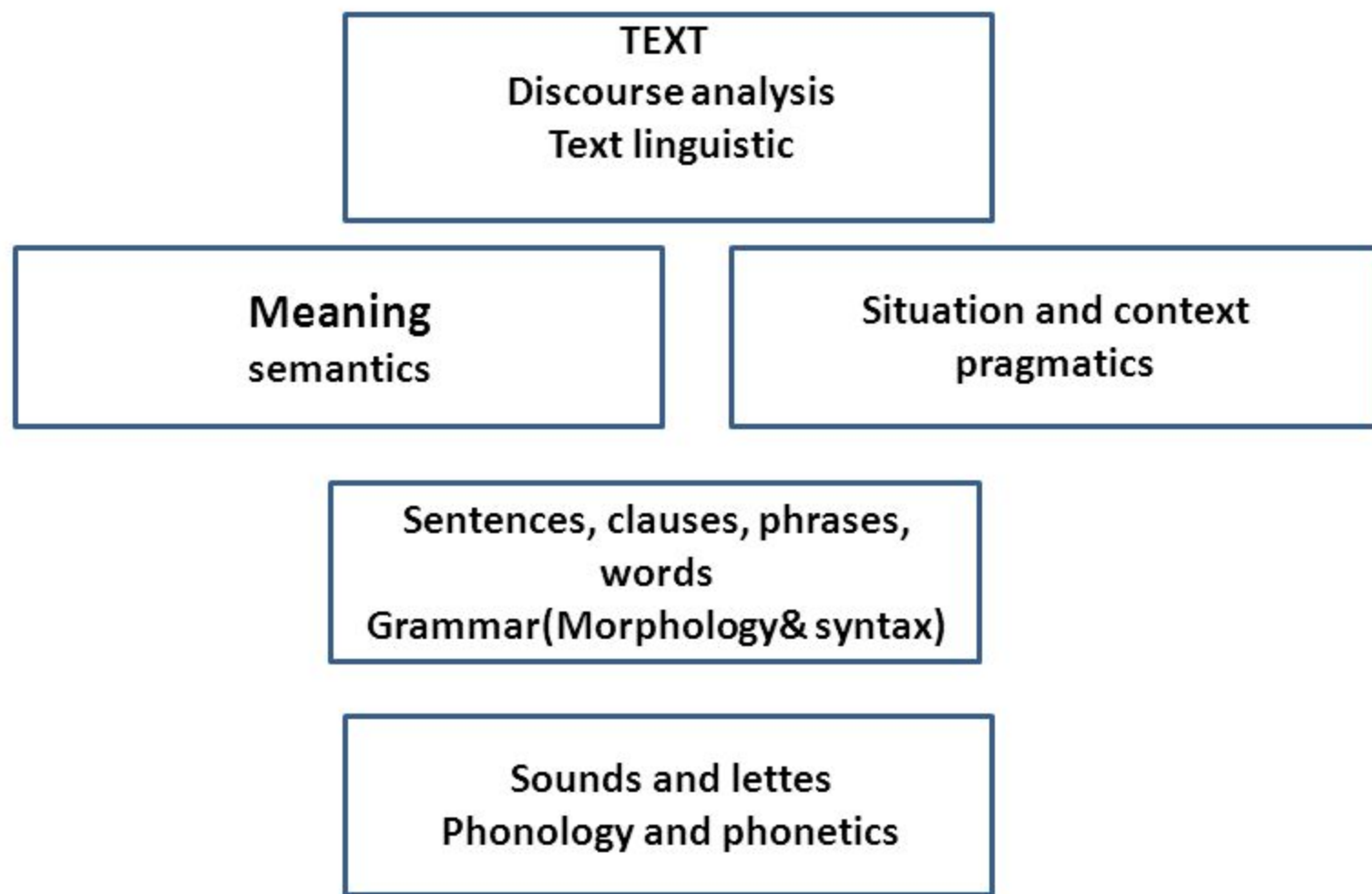
Yes, but ... something is missing....

Levels of Language

Semantics	Related to meanings	
Syntax	Related to structure of sentences	
Morphology	Related to formation of words	
Phonology	Related to sound system (symbols) of a particular language	
Phonetics	Related to sounds of a language	



Levels of Language and Linguistics



WHAT ON EARTH IS DISCOURSE?

- ▣ What helps us make sense of a text is that it must have a certain structure with **cohesion** and **coherence**.
- **Cohesion: The ties and connections that exist within a text.**
 - **Example:** My father once bought a Lincoln convertible. He did it by saving every penny he could. That car would be worth a fortune nowadays. However, he sold it to help pay for my college education. Sometimes I think I'd rather have the convertible.
 - **Cohesive ties:** Maintaining **reference**, connections to **money** and **time**, **connector**.
- **Coherence: The quality of being logical, consistent and forming a unified whole.**
 - ▣ **Example:** My father bought a Lincoln convertible. The car driven by the police was red. That colour doesn't suit her. She consists of three letters. However, a letter isn't as fast as a telephone call.

What is a speech event?

- **A speech event:** An activity in which participants interact via language in some conventional way to arrive at some outcome.
 - Speech events can be a debate, interview, discussion or a casual conversation.
 - It is a social situation involving participants who necessarily have a social relationship of some kind, and who may have particular purposes.
- What people say and do differ according to the circumstances.

What are speech event meaningful factors?

- When we analyse a **speech event**, we take into consideration **social factors**, i.e. the:
 1. **Participants:** The **roles** of the speaker and the listener, their **relationship, age, education**...etc.
 - E.g.: friends, strangers, men, women, young, old, of equal or unequal status
 2. **Setting:** **Where** and **when** are they speaking?
 3. **Topic:** **What** are they talking about?
 4. **Function:** **Why** they are speaking?

THE MAIN ELEMENTS INHERENT TO COMMUNICATION

- a) The formation of communicative motivation or reason.
- b) Message composition (further internal or technical elaboration on what exactly to express).
- c) Message encoding (for example, into digital data, written text, speech, pictures, gestures and so on).
- d) Transmission of the encoded message as a sequence of signals using a specific channel or medium.
- e) Noise sources such as natural forces and in some cases human activity (both intentional and accidental) begin influencing the quality of signals propagating from the sender to one or more receivers.
- f) Reception of signals and reassembling of the encoded message from a sequence of received signals.
- g) Decoding of the reassembled encoded message.
- h) Interpretation and making sense of the presumed original message.

THE MAIN ELEMENTS INHERENT TO COMMUNICATION

Communicative strategy can be viewed as a set of speech actions targeted at solution of communicative tasks of speaker.

The **communicative tactic** can be considered as one or more actions (of **communicative moves**) that promote the implementation of the strategy.

However, implementation of the communicative task depends on addresser's communicative competence and other factors as well.

So the speaker's communication strategy includes one or communicative tactics, based on communicative moves, that can be further divided into some elementary communicative steps.

KEY TRENDS IN DISCOURSE ANALYSIS

Critical discourse analysis task is

'to systematically explore often opaque relationships of causality and determination between (a) discursive practices, events and texts, and (b) wider social and cultural structures, relations and processes; to investigate how such practices, events and texts arise out of and are ideologically shaped by relations of power and struggles over power' (Fairclough 1995: 132).

The key research questions of DISCOURSE ANALYSIS

- How is human discourse organized?
- What meaning does it purport?
- What way does it reflect or form the social relationships between participants?
- How does it influence the communication situation and vice versa?
- What means are involved in human communicative interaction?
- What way does it construct or manage the social identities and social interactions of communicators?

The key research questions of DISCOURSE ANALYSIS

When you do discourse analysis, you might focus on:

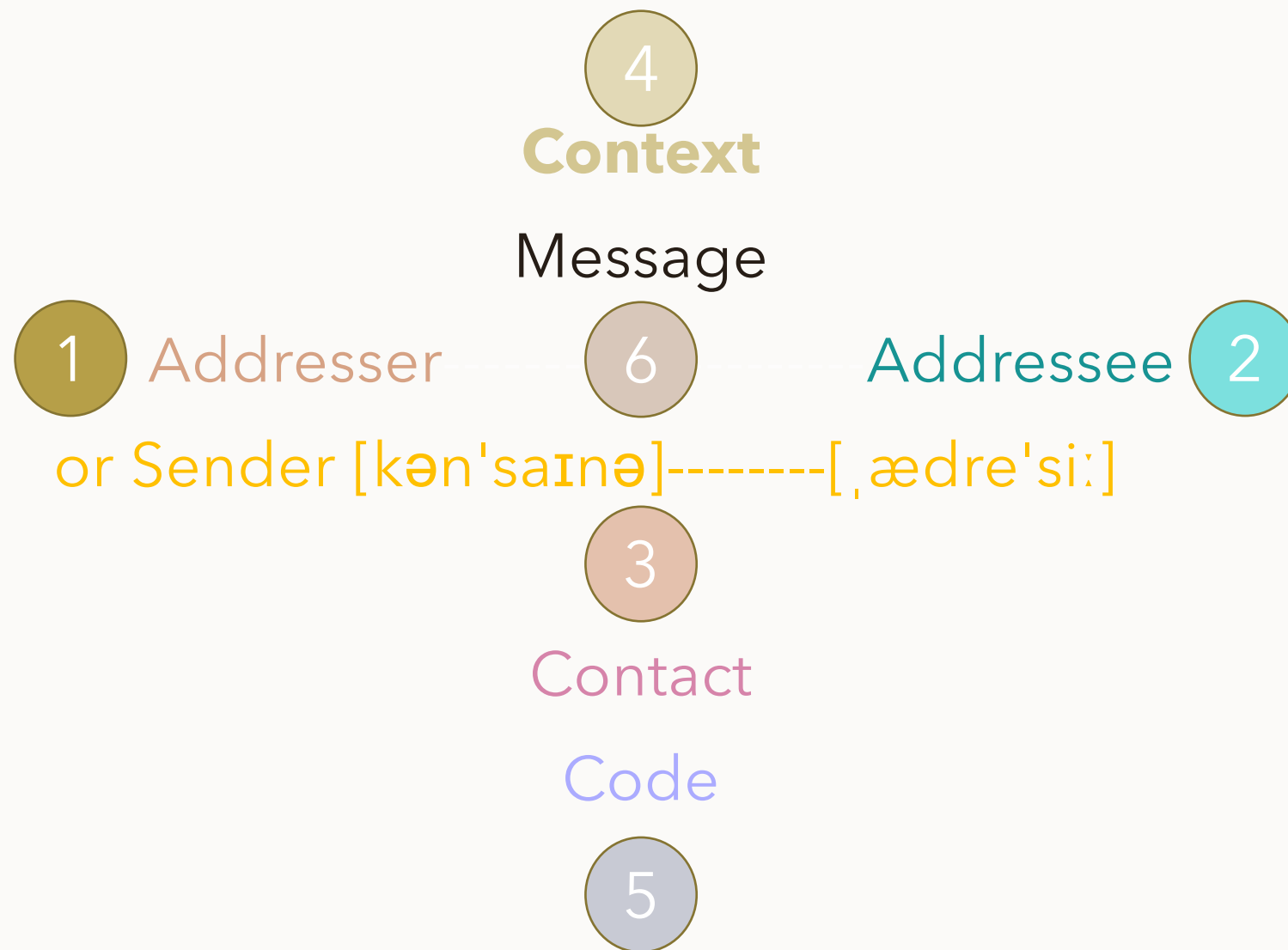
- ☐ What are the purposes and effects of different types of language?
- ☐ Cultural rules and conventions in communication?
- ☐ How values, beliefs and assumptions are communicated?
- ☐ How language use relates to its social, political and historical context?

What structures and patterns discourse analysis is based on?

ML Makarov pays attention to such aspects of discourse as:

- A. Turn-taking;
- B. Developing a communicative strategy;
- C. Discourse cohesion and coherence;
- D. Meta-communication.

STANDARD COMMUNICATIVE EVENT CONSTITUENTS



STANDARD COMMUNICATIVE EVENT CONSTITUENTS

- **referential** (/ denotative):

to convey messages or information

- **emotive** (expressive):

to express attitudes, feelings, and emotions

- **conative**: to persuade and influence others through commands, and entreaties

- **poetic**:

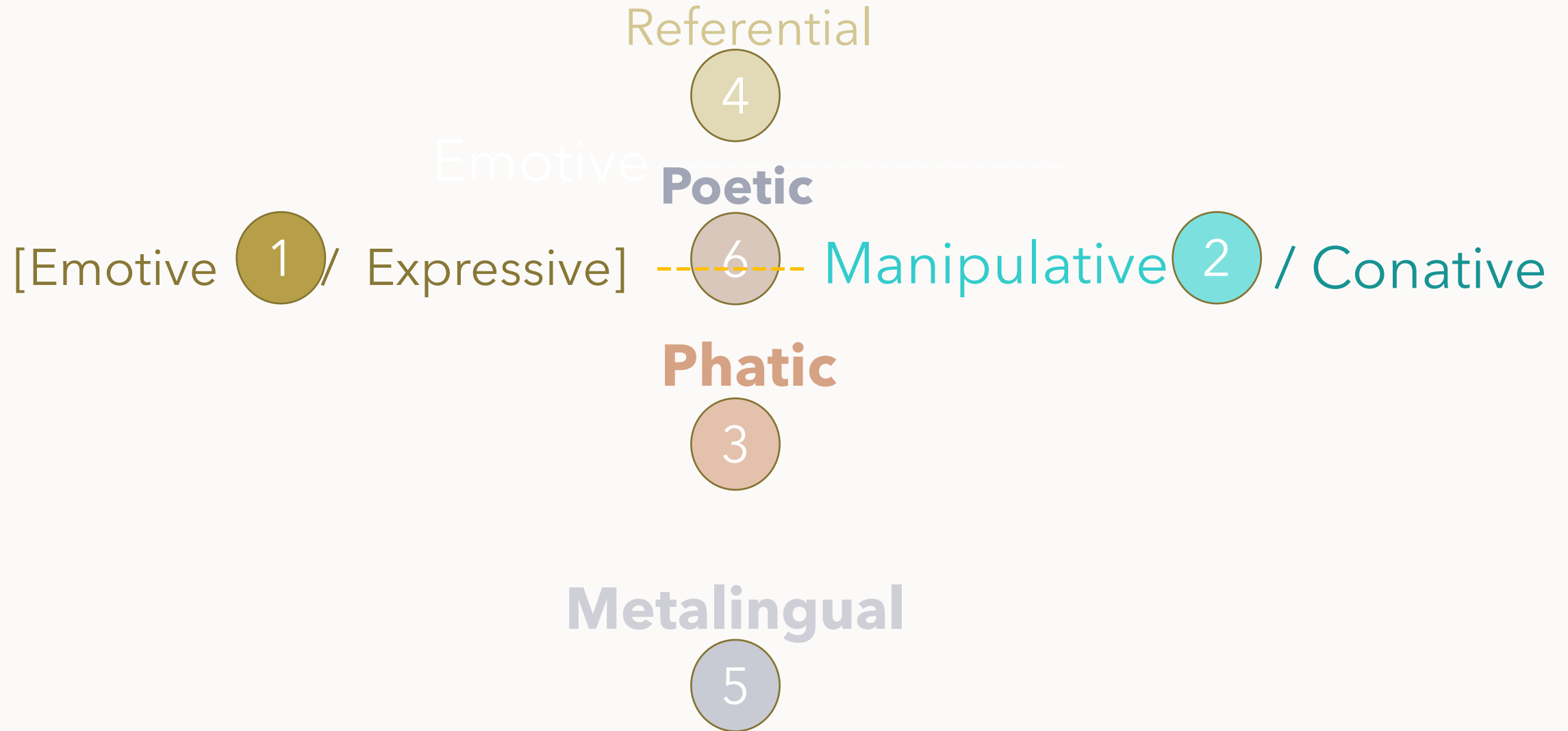
to indulge in language for its own sake

- **phatic**:

to establish and maintain social relations

- **metalingual**: to clear up difficulties about intentions, words, and meanings

STANDARD COMMUNICATIVE EVENT CONSTITUENTS



SIMPLISTIC VIEW ON THE KEY STAGES OF DISCOURSE ANALYSIS

Step 1: Define the research question and select the content of analysis	
Step 2: Gather information and theory on the context	
Step 3: Analyze the content for themes and patterns	
Step 4: Review your results and draw conclusions	

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

1) Working with a Text

1.1. Select a specific text that you'd like to analyze. In critical discourse analysis (CDA), the term "text" has many meanings because it applies to any type of communication, whether it's words or visuals. This includes written texts (whether literary, scientific, or journalistic), speech, and images. A text can also include more than 1 of these.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

1) Working with a Text

1.2. Look for words and phrases that reveal the text's attitude to its subject. Start your CDA at the most specific level: look at the words of your chosen text. Whether it's intentional or not, word choices can show the way an author feels about the subject of the text. Ask yourself: What specific tone or attitude are these words conveying?

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

1.3. Consider how the text includes or excludes readers from a community. One of CDA's main claims is that all language is social and communicative. Texts build social communities by using specific words and phrases to help readers feel engaged and understood. Look at your text and spot a few places where it works to build a community. Identify the audience the author is addressing, and explain why you came to that conclusion. For example, think about a news report about international immigrants coming to a country. The newscaster can create different types of community by referring to the immigrants as "strangers," "refugees," or "aliens."

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SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

1.4. Look for assumed interpretations that the text has already made. As a critical reader, it's your job to analyze the assumptions that exist in texts that less-critical readers may overlook.

SAMPLE STAGES OF CDA

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

2) Analyzing the Text's Form and Production

2.1. Think about the way your text has been produced. Textual production means how a text was created, which includes the historical context, cultural context, authorship, and format.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

2) Analyzing the Text's Form and Production

2.2. Examine the form of the text and consider who has access to it. Within CDA, a text's form and its audience are closely related. The form of a text can be more or less accessible in ways that show who the text's creator wants to have access to the text and who they would like to remain outside of the community that the text creates.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

2) Analyzing the Text's Form and Production

2.3. Analyze quotations and borrowed language in your text. Think about what these quotes are doing and what the author might be trying to communicate. Texts commonly include quotes, borrow passages from other well-known texts, or pay homage to famous texts. Quotations can place a text into a certain literary or journalistic tradition, can show a reverence for history and the past, or can reveal the type of community that the text's creator would like to build.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

3) Tracing Power in Social Practices

3.1. Examine ways in which texts reveal traditions within a culture. Texts are powerful tools that can both reveal and create cultural values and traditions. As a CDA analyst, look for cultural clues within the texts that you're analyzing. A text can reveal ways in which the text's creator (or a group of people that the author is representing) feels about cultural traditions, or can shape the way a culture develops.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

3) Tracing Power in Social Practices

3.1.2. For example, if a political speaker says, "our forefathers smile upon us today," they are using patriarchal language. The term "culture" should be taken very broadly. Businesses can have cultures, as can communities of all sizes, countries, language groups, racial groups, and even hobbyists can have specific cultures.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

3) Tracing Power in Social Practices

3.2.1. Contrast similar texts to find differences between the social cultures. When you're doing a CDA analysis, it's productive to compare similar texts—e.g., 2 advertisements or 2 screenplays—with one another. This can lead to new understandings of the texts themselves.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

3) Tracing Power in Social Practices

3.2.2. Comparing 2 texts can also help analysts understand differences between the social values held by different communities and cultures.

For example, consider 2 different magazine ads for trucks. In the first, a rugged-looking man sits in a truck below the words "The vehicle for men." In the second, a family sits in a truck and the ad copy reads, "A truck to hold everybody."

The first ad seems to rely on stereotypical ideas of masculinity, while the second seems more inclusive.

SAMPLE SIMPLISTIC MODEL OF THE KEY STAGES OF DISCOURSE ANALYSIS

3) Tracing Power in Social Practices

3.3. Determine whether norms are held by a culture or a sub-culture. Many large groups—including businesses and other organizations—contain many smaller sub-cultures. These sub-cultures typically have their own norms and traditions that may not be shared in the large culture as a whole. You can analyze whether a view is held in a large culture or a small sub-culture by figuring out the intended audience for the group's texts and understanding how the text is received by different groups.

DISCOURSE ANALYSIS

Materials that are suitable for discourse analysis include:

- Books, newspapers and periodicals
- Marketing material, such as brochures and advertisements
- Business and government documents
- Websites, forums, social media posts and comments
- Interviews and conversations

By analyzing these types of discourse, researchers aim to gain an understanding of social groups and how they communicate.

What is analyzed?

➤ Vocabulary

DISCOURSE ANALYSIS

Words and phrases can be analyzed for ideological associations, formality, and euphemistic and metaphorical content.

➤ Grammar

The way that sentences are constructed (e.g. verb tenses, active or passive construction, and the use of imperatives and questions) can reveal aspects of intended meaning.

➤ Structure

The structure of a text can be analyzed for how it creates emphasis or builds a narrative.

➤ Genre

Texts can be analyzed in relation to the conventions and communicative aims of their genre (e.g. political speeches or tabloid newspaper articles).

➤ Non-verbal communication

Non-verbal aspects of speech, such as tone of voice, pauses, gestures, and sounds like “um”, can reveal aspects of a speaker’s intentions, attitudes, and emotions.

➤ Conversational codes

The interaction between people in a conversation, such as turn-taking, interruptions and listener response, can reveal aspects of cultural conventions and social roles.

SOCIALLY CONSTRUCTED

MEANINGS

- CONVERSATIONAL

CC

CODES AND RULES

- NON-VERBALS

NON-VERBALS

- Click to add Title

- GENRE

GENRE

- Click to add Title

- STRUCTURE

STRUCTURE

- Click to add Title

- Grammar

GRAMMAR

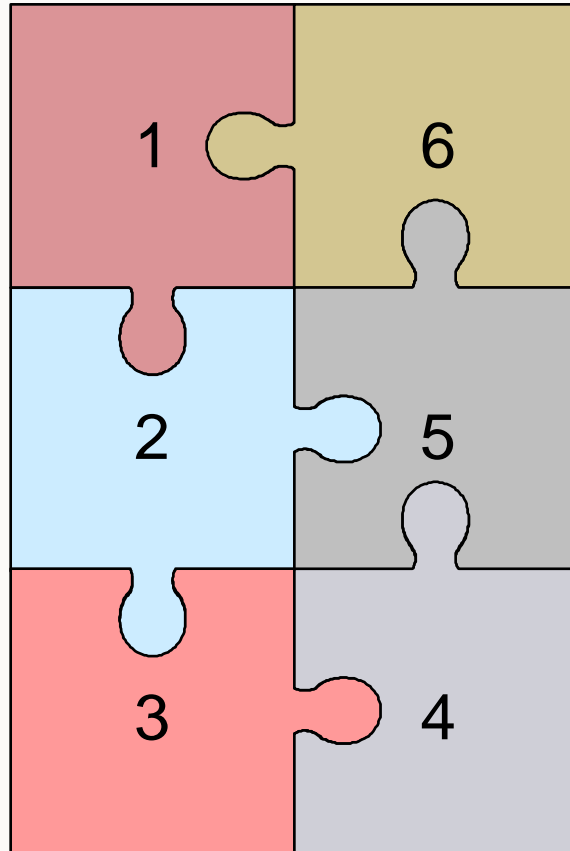
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- LEXIS

VOCABULARY

- Words and phrases

DISCOURSE ANALYSIS



1. VOCABULARY

This is a placeholder text. All phrases can be replaced with your own text.

2. GRAMMAR

This is a placeholder text. All phrases can be replaced with your own text.

3. STRUCTURES

This is a placeholder text. All phrases can be replaced with your own text.

4. GENRE

This is a placeholder text. All phrases can be replaced with your own text.

5. NON-VERBAL COMPONENTS

This is a placeholder text. All phrases can be replaced with your own text.

6. CONVERSATIONAL CODES

This is a placeholder text. All phrases can be replaced with your own text.

IMPORTANCE OF CONTEXT

Interpretation of text is often motivated by factors related to social political geographical and cultural issues. Hence the truth behind a text is often the facts of truth perceived by the reader rather than what the text is presumed to have conceived. It is the interpretation which contributes to the content and substance of the text.

IMPORTANCE OF CRITICISM

Interpretation of text is often motivated by lots of factors, interpreter's critical thinking and taste Included



Vorshack 1 неделю назад (изменено)

@Michael F. Kelly I don't think you have grounds on which to call someone an idiot whilst making such a wild assumption.

I liked the original speech but disliked this version because of the overtly manipulative music and dramatic shots of young people. It completely ruins a genuine moment.

Some may dislike anything McRaven is in because they disagree with his political views. Doesn't mean they're lazy.

Others still may think it doesn't apply to their lives or they have a different outlook. It doesn't mean they're idiots.

<https://www.youtube.com/watch?v=TBuIGBCF9jc>

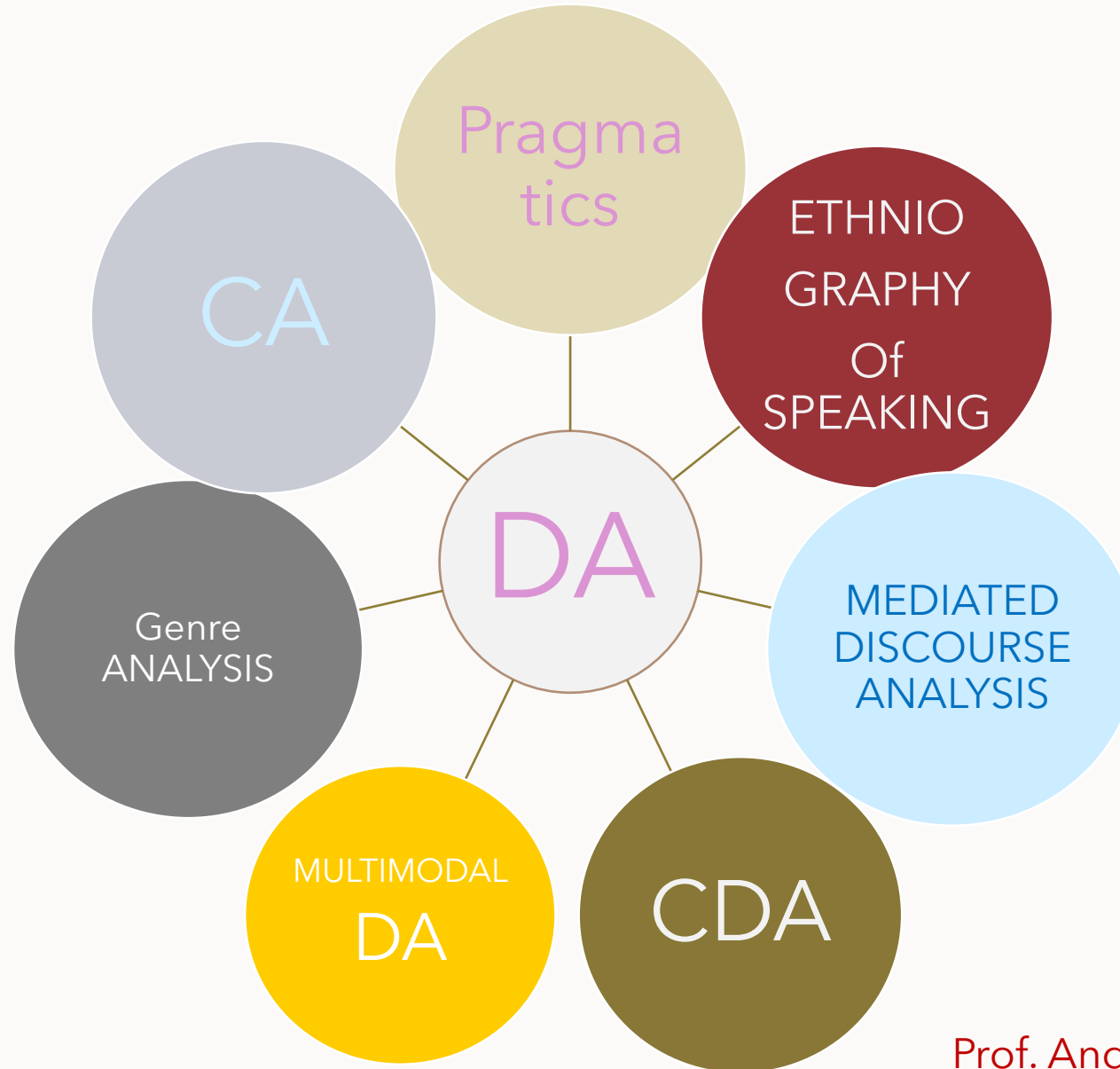
KEY TRENDS IN DISCOURSE ANALYSIS

Both Text Linguistics and Discourse Analysis make fields for interdisciplinary research.

Both Text Linguistics and Discourse Analysis admit contrasting approaches.

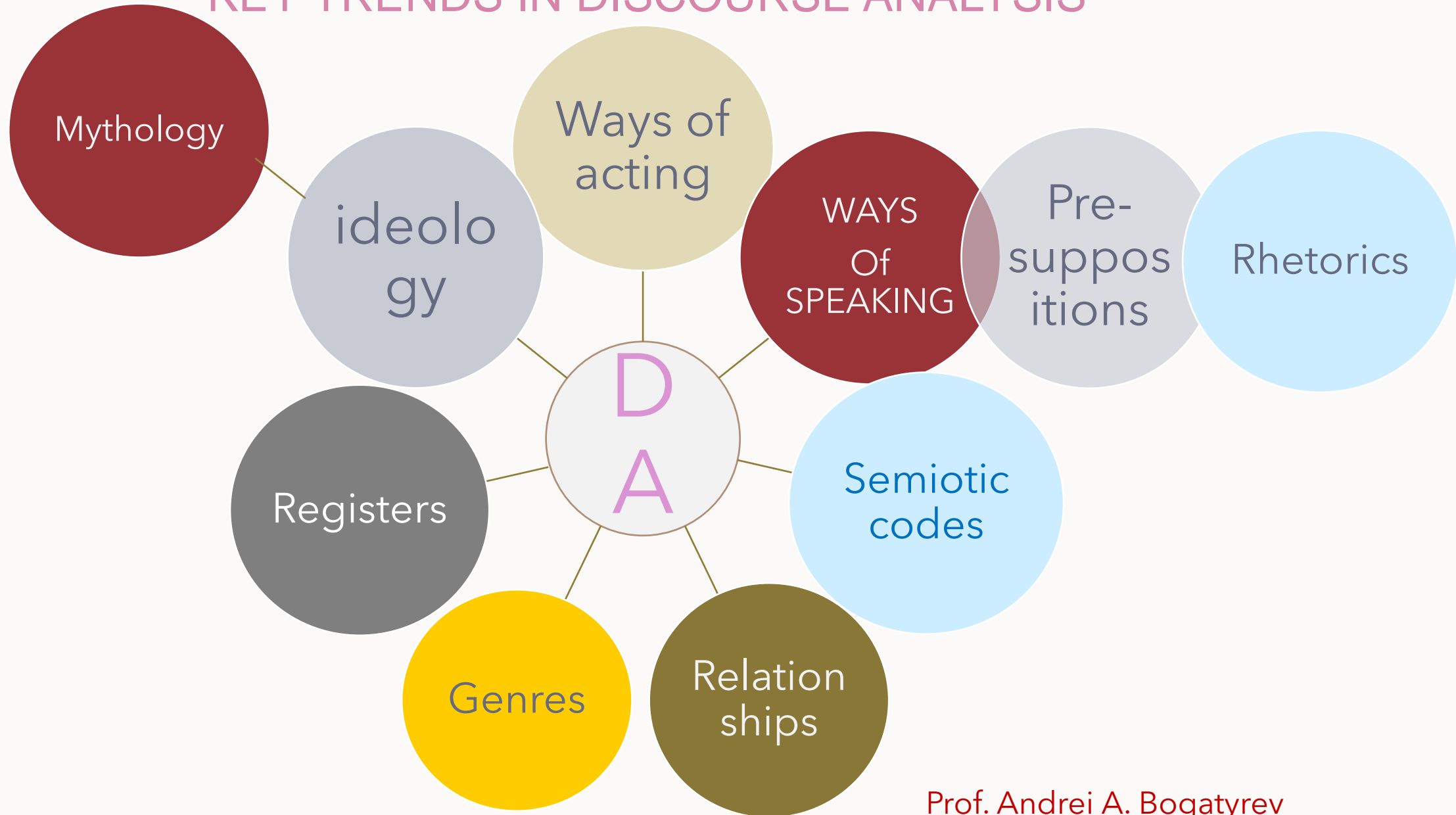
Both Text Linguistics and Discourse Analysis would try elicit **grammar of text / discourse production and meaning construction.**

KEY TRENDS IN DISCOURSE ANALYSIS

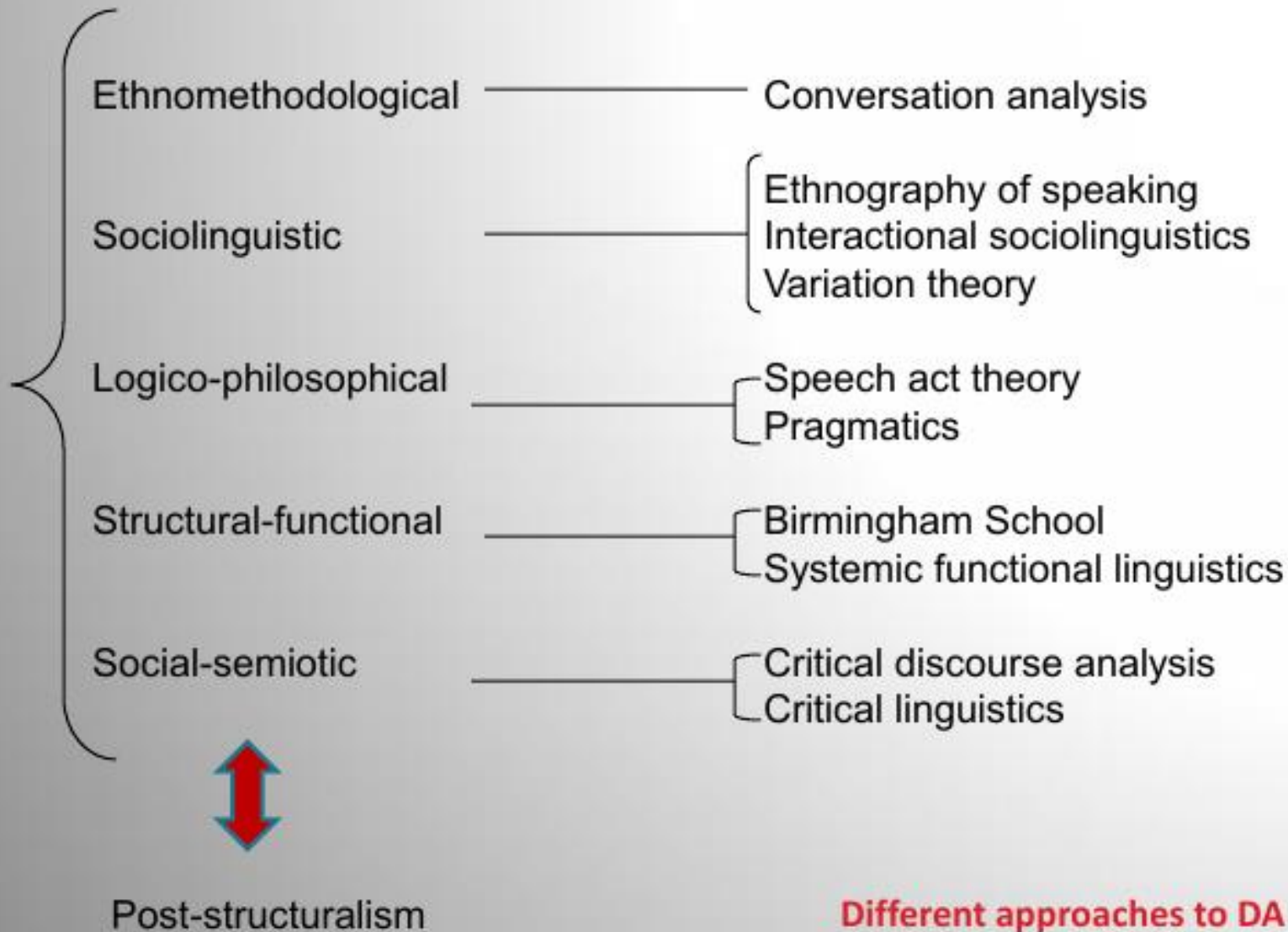


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KEY TRENDS IN DISCOURSE ANALYSIS



KEY TRENDS IN DISCOURSE ANALYSIS



Different approaches to DA

after Eggins (1997, p. 24)

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KEY TRENDS IN DISCOURSE ANALYSIS

Discourse Analysis:
Its Development
and Application
to the Structure
of News
by Teun A. van Dijk

Figure 2: Superstructure of "Kremlin talks tougher"

THE GUARDIAN GUARDIAN July 8 1982

Kremlin talks tougher

By Mella Piek

The Soviet Union, which has been reluctant to respond to PLO pressure to become more directly involved in the Lebanon crisis, yesterday hinted that it might adopt a tougher stance if President Reagan's plan to include US troops in a multinational peace force goes ahead.

Already angered by Israeli shelling of the Soviet Embassy compound in West Beirut, Moscow's first public reaction to President Reagan's plan was to accuse the US of "preparing for direct military intervention in Lebanon." Radio Moscow also said that President Reagan would be acting illegally if US landing craft were on their way to Lebanon.

P **The Kremlin, which** has
11 accused the US of supporting
(P 11) and, indeed, encouraging the
12 Israeli invasion of Lebanon, is
known to be concerned about
(P 13) the possibility of a US troop
presence there, however tem-
porary. Analysts have been
P 14 arguing that one important
reason why the Soviet Union
(p 15) has been acting with restraint
so far in the crisis has been
the Kremlin's desire to do
nothing that might give the US
P 16 the justification for direct
military intervention.

P **The Kremlin is obviously**
17 waiting to see what becomes of
the Reagan proposals. Mean-
while, Tass yesterday sharply
P 18 condemned the attack on its
embassy buildings on Tuesday
night, which caused extensive
P 19 damage to the six storey Soviet
trade mission in Beirut, and a
nearby apartment block for
Soviet staff. Tass claimed that
P 20 Israeli artillery had directed
(P 21) heavy fire on the embassy
area.

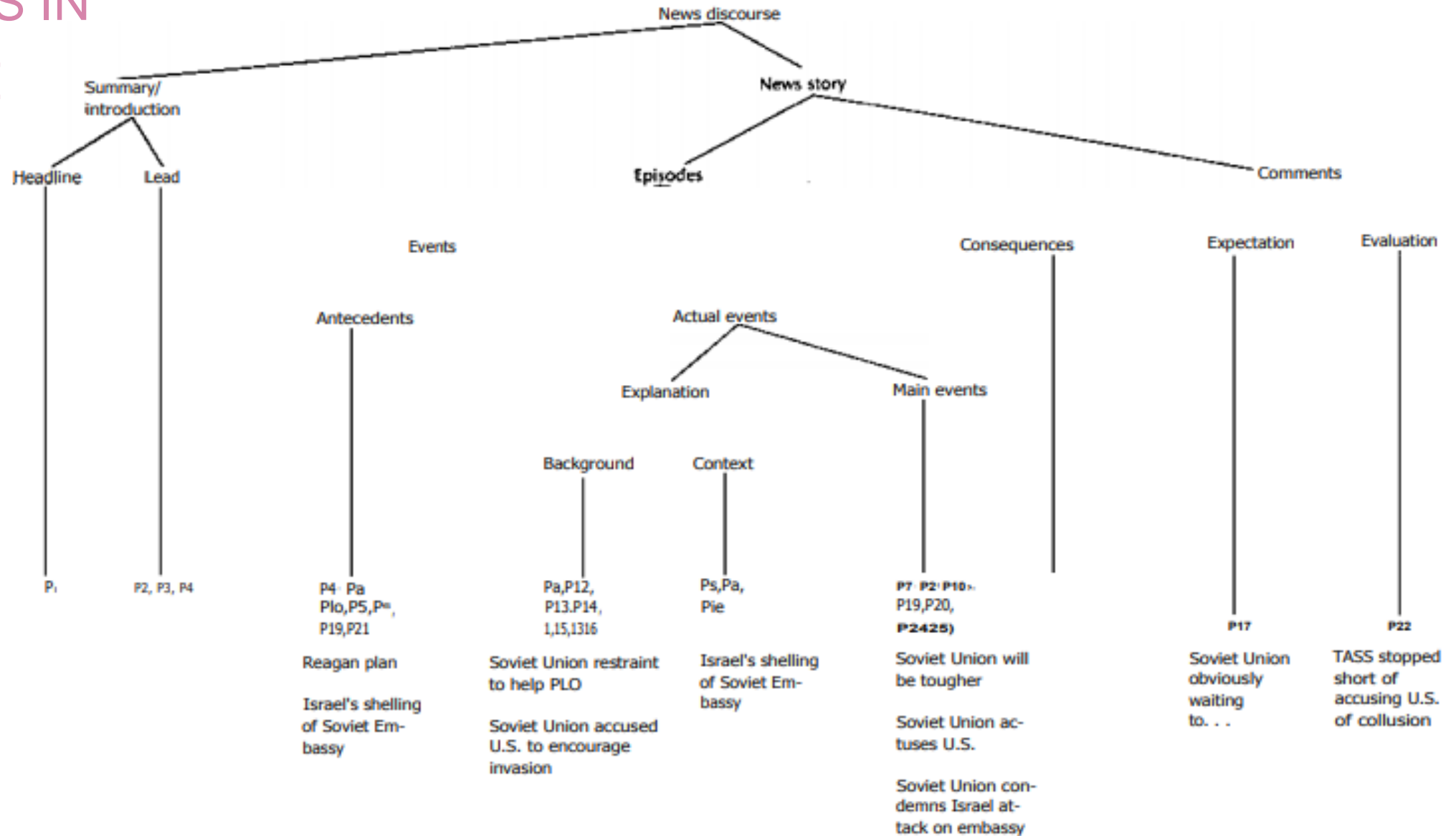
P **The official Soviet news**
22 agency stopped short of accus-
ing the US of collusion. But
(P 23) the Soviet Foreign Minister,
Mr Gromyko, again accused the
US of the direct encouragement
P 24 of Israeli aggression.

KEY TRENDS IN DISCOURSE ANALYSIS

Discourse Analysis:

Its Development and Application to the Structure of News

by Teun A. van Dijk

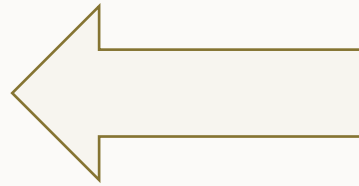


Note: Terminal categories in the schema are propositions. Those in "headline" and "lead" are macropropositions. The main event is the Soviet Union's tough reaction against Reagan's plans. Hence "antecedent" events are Reagan's plans. The context for the Soviet tough reactions is (its anger about) Israeli shelling of the Soviet embassy. But this is also an "antecedent," namely, for p_{main}: Soviet Union condemns Israel. The "background" explains why the Soviet Union is tough now and not before, and provides the (earlier) Soviet interpretation of the invasion. Under the terminal categories are some summarizing (macro) propositions. Part of "antecedent" could be "previous information" (the Embassy aside on same page).

MORE TRENDS in DA	Main Focus
Content analysis	It focuses on the FORM: morphology, lexis, syntax and semantics
Speech act analysis	It focuses on the FUNCTION : purpose of the speaker or writer
Frame analysis	It focuses on the TYPE OF ACTIVITY the speaker is engaged with when uttering a sentence
Literary Criticism	the examination of a literary text.
Critical Discourse Analysis	It focuses on the way SOCIAL FORCES are enacted, reproduced and resisted by the text

PART 03

Conversation analysis (CA)



- **A conversation:** An activity in which two or more people take turns at speaking.
- Typically, only **one person** speaks at a time and there tends to be **avoidance of silence** .
 - A: Didn't you [know why-
 - B: [But he must've been there by two
 - A: Yes but you knew where he was going.
 - [= **overlapping**

Why analyze discourse micro-structures?

The discourse is usually split into macro- and micro- structures, viewed as tools of speech flow segmentation.

Generally **macro-structures** refer to big compositional units and chunks of conversation.

Micro-structures refer to minimal discernible units of discourse production, such as utterances, propositions, predications.

Why analyze discourse micro-structures?

The choice of units of discourse analysis may depend on the specific targets and adopted apparatus of the research.

These may include **communicative situation**

/communicative event/ also speech situation, usually characterized by unity of theme and **text type or genre** [ʒɔŋrə]/ ['ʒɑ:nrə].

This might be either a monolog or a dialogue, a narrative, a story, a report, an explanation, a discussion, an argument, some sort of negotiation or something.

Why analyze discourse micro-structures?

The communicative event can be analyzed in terms of **personal deixis**, interlocutors' **statuses** and communicative **roles**, communicative **strategy**, including communicative **moves** and communicative **steps**, traced in terms of communicative initiatives, tasks and actions, speaker's and listener's meanings; utterances and speech acts; shared knowledges, values and meanings ; explicit and implicit information conveyed, reaching consent, turn-taking, rules of conversation etc.

Why analyze discourse micro-structures?

Speech events encompass multiple speech acts;

SE can be defined as comprising:

- **Speech situation:** scene (cultural) and setting (physical)
- **Speech event:** within speech situation, composed of speech acts
- **Speech act:** minimal unit of speech event

What does DA
specify in
communicative
event?

- **Setting:** physical and social scene
- **Participants:** Addressor, Addressee, Audience
- **Ends:** purpose of event, goals of participants
- **Act-Sequence:** message form and content: request-comply-thank etc
- **Key:** manner and tone: mock versus serious, perfunctory versus painstaking etc
- **Instrumentalities:** channel (verbal and non-verbal forms of communication): register, variety, dialect, gestures etc
- **Norms:** conventions of language interaction and interpretation "no gap, no overlap" in conversation, "speak only when you're spoken to" for children etc
- **Genre:** story, poem, proverb, lecture, advertisement etc

How does DA analyze communicative event?

speech situation	speech event	speech act
market place	transaction	offer
conversation	story	preface
ceremony	prayer	Invocation

What way does DA regard conversation?

Conversation is a speech event or discourse type with its own characteristic cohesive devices and coherent structure

a performative verb, sentence, or utterance

1) For example, 'I confess that I was there' is itself a confession, and so is performative in the narrower sense, while '*I'd like you to meet ...*' (effecting an introduction) is performative only in the looser sense.

a performative verb, sentence, or utterance

2) a) denoting a *verb* that may be used as the main verb in such an utterance

b) (as *noun*) "promise" is a performative.

a performative verb, sentence, or utterance

A performative uttered by the right person under the right circumstances has as a result a change in the world.

a performative verb, sentence, or utterance

Performative utterances are those uses of language, often involving some **ritual** ['ritjuəl], [-tʃuə-] **aspect**, which are themselves a kind of action and whose very utterance brings about some result.

a performative verb, sentence, or utterance

For example, "*I pronounce you husband and wife*" uttered by a priest, in the church with all the legal and traditional aspects being settled, will have the **actual effect** of the couple referred to being husband and wife after the performative has taken place.

Review. Identify performative utterances

- a) I testify that she met the agent.
- b) I know that she met the agent.
- c) I suppose the Yankees will win.
- d) I bet her \$2500 that Clinton would lose the election.
- e) I teach the class.
- f) We promise to leave early.
- g) We owe Revenue Canada 1, 000, 000.
- h) I bequeath \$ 100, 000 to ABU.
- i) I swore I didn't do it.
- j) I swear I didn't do it.
- k) I hereby sentence you for life after all the charges against you have been proven true...

Pay attention to performative verbs and markers.

- ✓ I bet you five dollars that the Canadians win.
- ✓ I challenge you to a match.
- ✓ I nominate John for president.
- ✓ I promise to improve.
- ✓ I resign!
- ✓ I hereby ...

More performative markers.

👉 The word *hereby* shows that
the speaker intends to
accomplish something in
virtue of saying something

More performative utterances.

- ✓ I divorce thee, I divorce thee, I divorce thee.
- ✓ I congratulate you.
- ✓ I challenge you to a duel.
- ✓ The United States does hereby declare war on Japan.
- ✓ I urge you to vote yes on the reform bill.
- ✓ We the jury do hereby find the defendant guilty of murder.
- ✓ I'm sorry.

Performative versus non-performative utterances.

- ✓The earth is round.
- ✓I bet you sixpence it will rain tomorrow.....
- ✓I promise to pay you five bucks tomorrow.
- ✓India won independence in 1947.
- ✓I name this ship Queen Elizabeth.

Explicit vs. Primary Performatives

Explicit performance:

I apologize. I approve. (All in favor say Aye...) Aye. Welcome (I bid you).

Half performance, half description:

I am sorry. I approve of that decision.
I welcome you.

Descriptive statement:

I am disgusted by your behavior.
I feel approval for that idea.
I wish to welcome you

Explicit vs. Primary Performatives

Problems with this simple distinction.

You can draw up a list of performative verbs:

- I promise, I order, I declare
- but you can't limit performative language only with those verbs.

Speech act theory

❑ John Langshaw Austin (1911 – 1960) was a British philosopher of language, who wrote and published the famous book 'How to do things with words' (1962, Lectures of 1955, 169 p.).

❑ Why wouldn't you try to read it?

❑ The key word here is act! We do "things" when we speak!

Speech act theory

- John Langshaw Austin (1911 – 1960) was a British philosopher of language, who wrote and published the famous book
- Austin J. L. *How to do things with words*. Cambridge, 1962., 169 p.).



Speech act theory

Austin noted that not only were sentences used to report of statements but some sentences must be treated as the performance of an act

Speech act theory

❑ In 1955 John L. Austin gave lectures at Harvard University (William James Lectures) which were published in 1962 as 'How to Do Things with Words and Speech Acts'.

❑ Though Austin is said to the founder of Speech Act Theory it is John R. Searle's book, incorporating Austin's work published in 1969 entitled 'An Essay in the Philosophy of Language' which has been the more influential in development of a Speech Act Theory.

Speech act theory

- ❑ There is a significant difference between the two conceptions: whereas Austin emphasized the *conventional* interpretation of speech acts,
- ❑ Searle emphasized a *psychological interpretation* (based on beliefs, intentions, etc.).

Speech act theory

- John Langshaw
Austin



- John Rogers Searle
[/s3:rl/](#)



Speech act theory

- ❑ In J. L. Austin's formulation of speech act theory, **a performative utterance is neither true nor false**, but can instead be deemed "**felicitous**" or "**infelicitous**" according to a set of conditions whose interpretation differs depending on whether the utterance in question is
 - ❑ a *declaration* ("I sentence you to death"),
 - ❑ a *request* ("I ask that you stop doing that") or
 - ❑ a *warning* ("I warn you not to jump off the roof").

Speech act theory

Vanderveken (1981 and 1983) with J. Searle (1985) furthered Austin's Speech Act Theory with the proposition that the three main components of sentence meaning are the **illocutionary forces, senses, and denotations** (Vanderveken p.195).

Speech act theory

Searle deals with illocutionary acts in the context of philosophy of language (Crosby, 1990). His social action of speech acts can be reduced to one of promising. **Promising as in intent is an act of sincerity.** In a chatroom sincerity is the smallest equation of meaning exchange.

Speech act theory

□ Speech act theory (John L. Austin) broadly explains that utterances (or speech acts) have three parts or aspects:

1) Locutionary act /ləʊkyʊʃənəri/

2) Illocutionary act /ɪləkyʊʃənəri/

3) Perlocutionary act /pɜːləkyʊʃənəri/

□ The key word here is act! We do “things” when we speak!

Speech act theory

Austin identified three different uses of any speech act:

❑ Locutionary act /ləʊkjuːʃənəri/

☞ The utterance conveys **proposition** with ordinary meaning. The proposition has a **truth-value** (i.e. is either true or false).

❑ Illocutionary

☞ Informing, ordering, warning : The utterance has a certain conventional force.

❑ Perlocutionary /pɜːrləˈkjuːʃənəri/

☞ The utterance brings about or achieves a state of affairs in virtue of the saying of it.

The key word here is act! We do “things” when we speak!

Speech act theory

❑ Locutionary acts:

simply the speech that has taken place

❑ Illocutionary force:

are the real actions which are performed by the utterance.

In other words : where saying equals doing.

E.g.: betting, pleading, declaration, welcoming, warning, etc.

❑ Perlocutionary force:

are the effects of the utterance on the listener:

I hereby ...

/John L. Austin/

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/John L. Austin/

Speech act theory

□ According to Kent Bach, "almost any speech act is really the performance of several acts at once, distinguished by different aspects of the speaker's intention:

- I. There is the act of saying something,
- II. what one does in saying it, such as requesting or promising,
- III. and how one is trying to affect one's audience".

Speech act structure

Speech acts can be analysed on three levels:

□ **A locutionary act:** the performance of an utterance: the actual utterance and its apparent meaning, comprising any and all of its verbal, social, and rhetorical meanings, all of which correspond to the verbal, syntactic and semantic aspects of any meaningful utterance;

Speech act structure

Speech acts can be analysed on three levels:

□ **an illocutionary act:** the active result of the implied request or meaning presented by the locutionary act. For example, if the locutionary act in an interaction is the question "Is there any salt?" the implied illocutionary request is "Can someone pass the salt to me?";

Speech act structure

and in certain cases a further perlocutionary act:

□ the actual effect of the locutionary and illocutionary acts, such as persuading, convincing, scaring, enlightening, inspiring, or otherwise getting someone to do or realize something, whether intended or not.

ELOCUTION	Locutionary act:	Illocutionary Act:	Perlocutionary Act:
<ul style="list-style-type: none"> the skill of clear and expressive speech, especially of distinct pronunciation and articulation 	<ul style="list-style-type: none"> the act of saying, the literal meaning of the utterance 	<p>the extra meaning of the utterance produced on the basis of its literal meaning</p>	<p>the effect of the utterance on the hearer, depending on specific circumstances.</p>

Theory of Speech Acts



A speech act has 3 aspects:

- **locution** = physical utterance by the speaker
- **illocution** = the intended meaning of the utterance by the speaker (performative)
- **prelocution** = the action that results from the locution

Alice told Tom **Would you please close the door**

J. Austin - How to do things with words, 1962.

J. Searle - Speech acts, 1969.

Marcus Fabius Quintilianus

Latin:

[kʷiːntɪliˈaːnʊs],

• c. 35 – c. 100 AD)



SPEAKER



Marcus Fabius Quintilianus (Latin: [kʰiːntɪliˈaːnʊs], c. 35 – c. 100 AD) was a Roman educator and rhetorician from Hispania, widely referred to in medieval schools of rhetoric and in Renaissance writing. In English translation, he is usually referred to as Quintilian (/kwɪnˈtɪliən/)

You have a wish, and you have the idea. Now you are fishing for inspiration and imagination in inventing the form, the immediate content, and the tone of the message

Now your need for self-expression has passed the censorship barrier, and you start pronouncing the utterance.

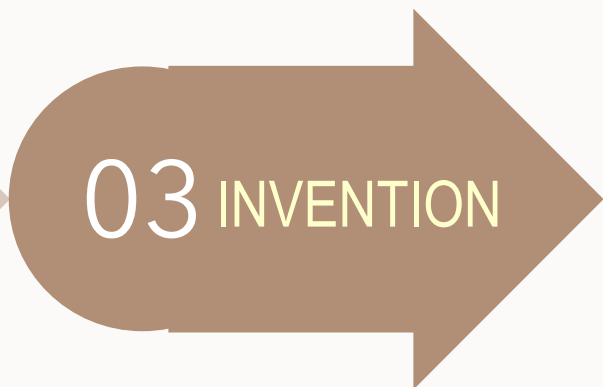
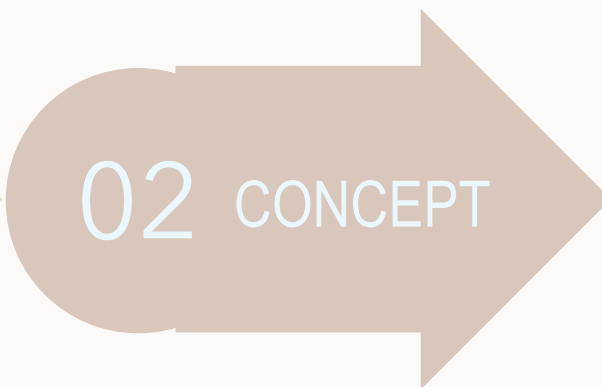
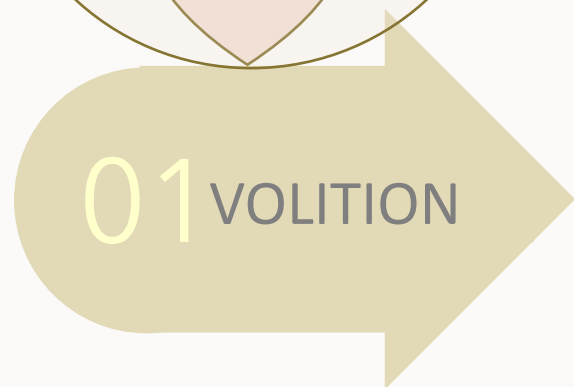
You should take into account your listeners' capacity to see the irony and catch the meaning of your message..



This step may include deletion of some extra information, retouch, paraphrasing, as well as other techniques, concerned with audience design or recipient design

It is the way you convey your message in public. You need to speak confidently distinctly, and convincingly to stir the public attention.

Perlocution means the post-communicative effect, that is the extralinguistic consequences of your speech.



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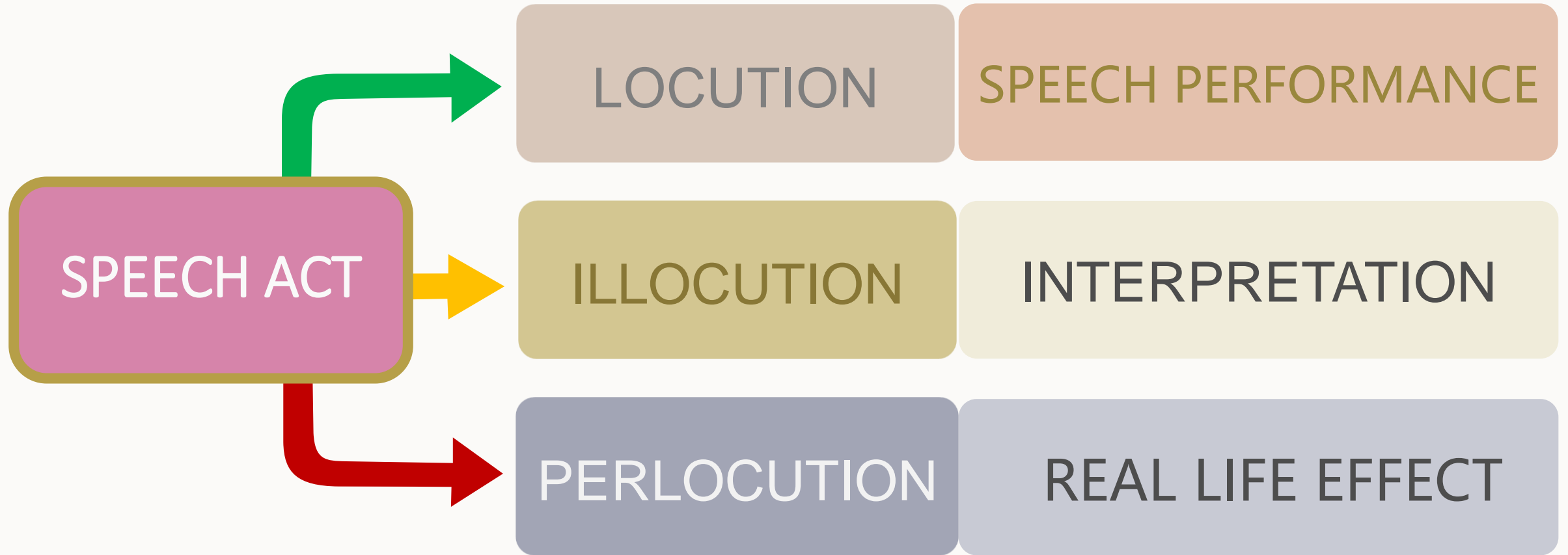
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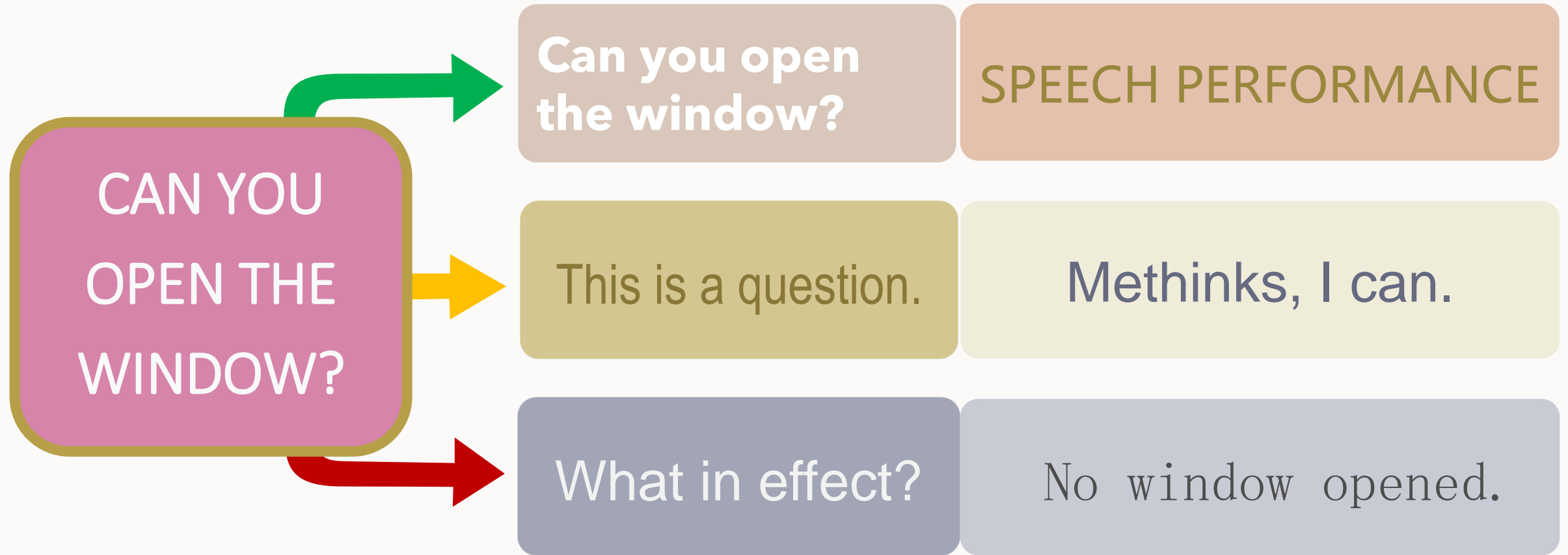
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SPEECH ACT STRUCTURE

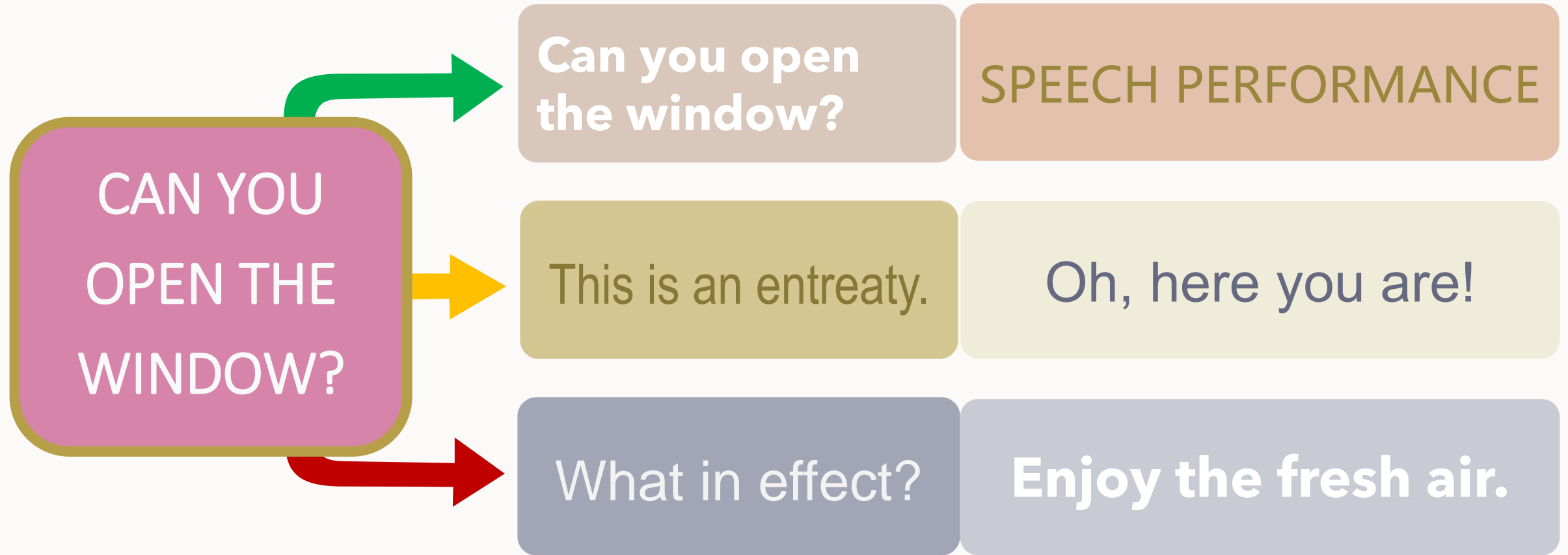


EXTENDED SPEECH ACT STRUCTURE



Communicative event:
A man turned a deaf ear to the lady's entreaties.

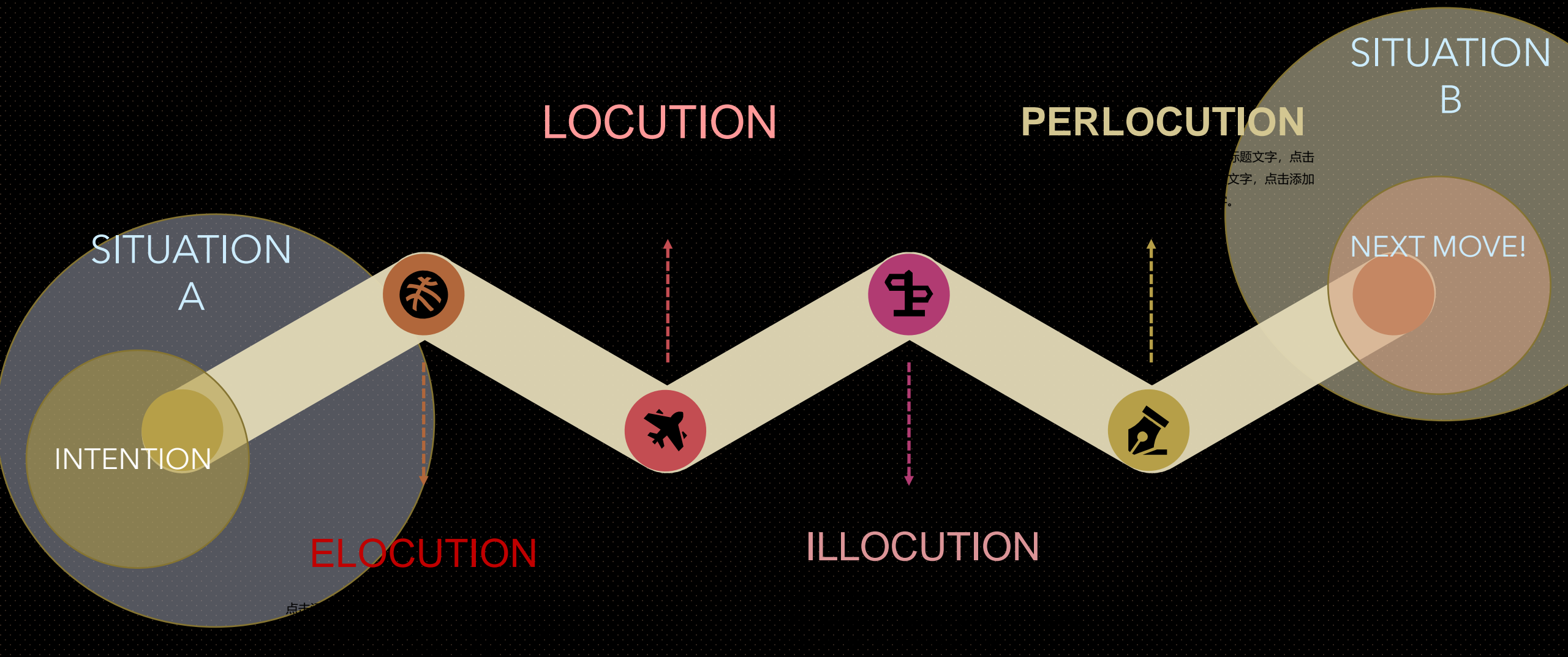
EXTENDED SPEECH ACT STRUCTURE



Communicative event:

A man had to comply with the lady's request.

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Felicity Conditions

- ❑ **Felicity conditions** are conditions necessary to the success of a speech act.
- ❑ They are conditions needed for success or achievement of a performative.
- ❑ Loosely speaking, felicity conditions are of the kinds:
 - a) preparatory conditions,
 - b) conditions for execution,
 - c) sincerity conditions,
 - d) essential conditions.(J. Searle, Speech Acts, pp. 60 ff.).

Felicity Conditions

- ❑ When I promise to mow your lawn, the preparatory conditions are that you want me to mow your lawn and that I believe that this is the case and that neither of us believes that I would in any case mow your lawn as part of the normal course of events;
- ❑ the propositional conditions are that my utterance 'I promise to mow your lawn' predicates the right sort of act on my part;
- ❑ the sincerity condition is that I truly do intend to mow your lawn;
- ❑ and the essential condition is that my utterance counts as an undertaking on my part to perform this action.

Felicity Conditions

- ❑ **Conventionality of procedure:** the procedure (e.g. an oath) follows its conventional form.
- ❑ **Appropriate participants and circumstances:** the participants are able to perform a *felicitous speech act* under the circumstances (e.g. a judge can sentence a criminal in court, but not on the street).
- ❑ **Complete execution:** the speaker completes the speech act without errors or interruptions.

Five Felicity Conditions

“I promise to see you tomorrow’.

❑ General conditions:

The utterance is understood.

❑ Content conditions:

The content of the utterance is about a future event and the speaker is committed to the act.

❑ Preparatory conditions:

The event does not happen by itself. The event will have a beneficial effect.

❑ Sincerity conditions:

The speaker does have a genuine intention to carry out the future act.

❑ Essential conditions: The utterance changes the speaker’s state from non-obligation to obligation.

Felicity Conditions

Possible Causes of Infelicity in a Speech Act

- a. misfire act – purported but void;
- b. abuse act – professed but hollow;
- c. misinvocation act – disallowed;
- d. misexecution act – has flaws or hitches.

Felicity Conditions

Propositions and Entailments vs. Speech Acts and Implicatures

A: The cat is on the mat.

B: Do you really think so? I thought I saw the cat on the couch!

A: Well, I just said that the cat is on the mat. It is really on the couch.

- B **draws the implicature** that A believes the proposition that the cat is on the mat because A has uttered the sentence 'The cat is on the mat'.

But the proposition is not in fact entailed merely by A's speech act.

- A then **cancels the implicature** that he believes the proposition .

Felicity Conditions

“Speaking a language is performing acts according to rules”

(Searle 1969:36-7),

By “rule” Searle he means a conventional association between a certain kind of act and its socially determined consequences.

These are **CONSTITUTIVE RULES**, he said, in the same sense that the rules of chess are constitutive of the game itself.

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Pre-conditions:	Assert	Thank (for)	Warn
1.Propositional content	Any proposition p	Past act A done by H	Future event or state etc. E=EVENT
2.Preparatory	1. S has evidence (reasons, etc.) for the truth of p. 2. It is not obvious to both S and H that H knows (does not need to be reminded of, etc.)	A benefits S and S believes A benefits S.	1. H has reason to believe E will occur and is not in H's interest. 2. It is not obvious to both S and H that E will occur.
2.Sincerity	S believes p .	S feels grateful or appreciative for A.	S believes E is not in H's best interest.
4. Essential	Counts as an undertaking that p represents an actual state of affairs.	Counts as an expression of gratitude or appreciation.	Counts as an undertaking to the effect that E is not in H's best interest.

Note that violations of Searle's preparatory conditions produce infelicities of Austin's type A, misinvocations. Violations of the sincerity conditions correspond more or less directly to Austin's class Γ of infelicities, the abuses that do not nullify or vitiate the illocutionary act but nevertheless make it flawed.

Speech acts typology

Speech Act Classification by John Austin

- Verdictives: giving a verdict, estimate, appraisal etc.
- Excersitives: exercising of power, rights or influence, advising, warning etc.
- Commissives: promising or undertaking, they commit

you to doing something etc.;

- Behabitives: which have to do with social behaviour

and attitudes, apologizing, congratulating, commending, condoling, cursing etc.;

- Expositives: I argue, I concede, I illustrate – could be

classed as metalinguistic;

There could be marginal cases, they could overlap.

Speech Act Classification by John Austin

1. VERDICTIVES:	acts that consist of delivering a finding, e.g., acquit, hold (as a matter of law), read something as, etc.
2. EXERCITIVES	acts of giving a decision for or against a course of action, e.g., appoint, dismiss, order, sentence, etc.
3. 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.
4. BEHABITIVES:	expressions of attitudes toward the conduct, fortunes or attitudes of others, e.g., apologize, thank, congratulate, welcome, etc.
5. EXPOSITIVES:	acts of expounding of views, conducting of arguments, and clarifying, e.g., deny, inform, concede, refer, etc.

Speech acts typology

Speech Act Classification by John Austin

- ❑ One can find many faults with these five classes of utterances that mostly have to do with the overlapping of concepts and intermingling of classes.
- ❑ This begs the question of whether an expositive with a commissive, 'I vow that...', is an expositive commissive or just a commissive; or whether a declaration of war, if uttered
- ❑ 'We hereby declare war on ...', is a commissive, exercitive, or an expositive of either or both!

J. Searle is concerned with the act of promising and lists several factors which he believes constitute the act of promising:

1. intending to do the thing promised
2. intending that the uttering of the words of promising place one under an obligation
3. intending that the **promisee learn** that the uttered words place the **promisor** under an obligation,
4. intending that the **promisee** recognize this last intention by understanding the meaning of the words of promising.

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Speech acts typology

- From Searle's view, there are **only five illocutionary points** that speakers can achieve on propositions in an utterance, namely:
1. the assertive,
 2. the commissive,
 3. the directive,
 4. the declaratory and
 5. the expressive illocutionary points.

Searle's speech acts typology

- ❑ Speakers achieve the *assertive point* when they represent how things are in the world,
- ❑ the *commissive point* when they commit themselves to doing something,
- ❑ the *directive point* when they make an attempt to get hearers to do something,
- ❑ the *declaratory point* when they do things in the world at the moment of the utterance solely by virtue of saying that they do and
- ❑ the *expressive point* when they express their attitudes about objects and facts of the world (Vanderkeven and Kubo 2002).

Searle's speech acts typology

❑ **Assertives** (statements, averrings) have a word-to-world direction of fit;

❑ **Directives** (commands, requests, entreaties), have a world-to-word direction of fit,

❑ as also do **Commissives** (promises), which bind the speaker to perform a certain action in the future.

❑ **Expressives** (congratulations, apologies, condolences) have no direction of fit; they simply presuppose the truth of the expressed proposition.

❑ **Declaratives** (appointings, baptizings, marryings), in contrast, bring about the fit between word and world by the very fact of their successful performance.

Speech acts typology

Dore (1975) proposed that children's utterances were realizations of one of *nine primitive speech acts*:

- 1.labelling
- 2.repeating
- 3.answering
- 4.requesting (action)
- 5.requesting (answer)
- 6.calling
- 7.greeting
- 8.protesting
- 9.practicing

Indirect speech acts

□ One common way of performing speech acts is to use an expression which indicates one speech act, and indeed performs this act, but also performs a further speech act, which is indirect.

Indirect speech acts

❑ J.Searle can also be merited for introducing a theory of **indirect speech acts**.,

❑ Indirect speech acts are cases in which one speech act is performed *indirectly* – *by way of performing another*:

❑ *Can you pass me the salt?* Though the sentence is interrogative, it is conventionally used to mark a request – we cannot just answer “yes” or “no”.

According to modern point of view such utterances contain **two illocutionary forces**, with one of them dominating

Indirect speech acts

- ❑ Indirect speech acts are commonly used to reject proposals and to make requests. For example, if a speaker asks, "Would you like to meet me for coffee?" and the other replies, "I have class."
- ❑ The second speaker has **used an indirect speech act to reject the proposal**. This is indirect because the literal meaning of "I have class" does not entail any sort of rejection.

Indirect speech acts

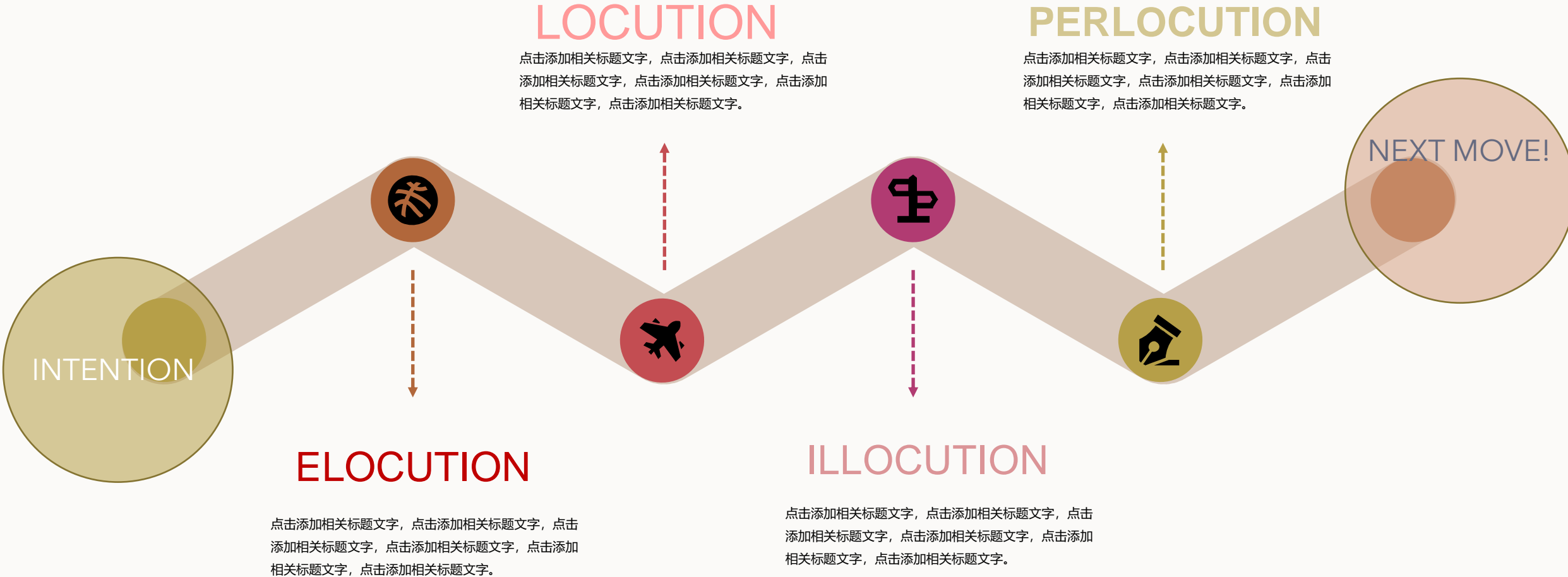
□ This poses a problem for linguists, as it is confusing (on a rather simple approach) to see how the person who made the proposal can understand that his proposal was rejected. Searle suggests that the **illocutionary force** of **indirect speech acts** can be derived by means of a Gricean reasoning process; however, the process he proposes does not seem to accurately solve the problem.

Indirect speech acts

- ❑ In other words, this means that one does not need to say the words apologize, pledge, or praise in order to show they are doing the action.
- ❑ The examples above show how the actions and indirect words make something happen rather than coming out straightforward with specific words and saying it.

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Dialogue management

The illocutionary and perlocutionary force of utterances are always interpreted and achieved in a particular context.

As far as **dialogue management** is concerned, that results in a need to define speech acts for different **genres** and take into account the characteristics of a dialogue and the specific dialogue context in which they appear.

For example, different speech acts are used in a human-human than a human-computer interaction;

COOPERATIVE PRINCIPLE

Herbert Paul Grice (1913-1988)

Herbert Paul Grice (1913-1988) is British philosopher, famous for his innovative work in philosophy of language;

- His **Theory of Implicature** is important contribution to pragmatics;
- **Conversational Implicature:** meaning beyond the literal sense which must be inferred from non-linguistic features of a conversational situation together with general principle of communication and cooperation.

Herbert Paul Grice (1913-1988)

A conversational implicature of an assertion is something that is conveyed to a thoughtful listener *by the mode of expression* rather than by the meanings of the words.

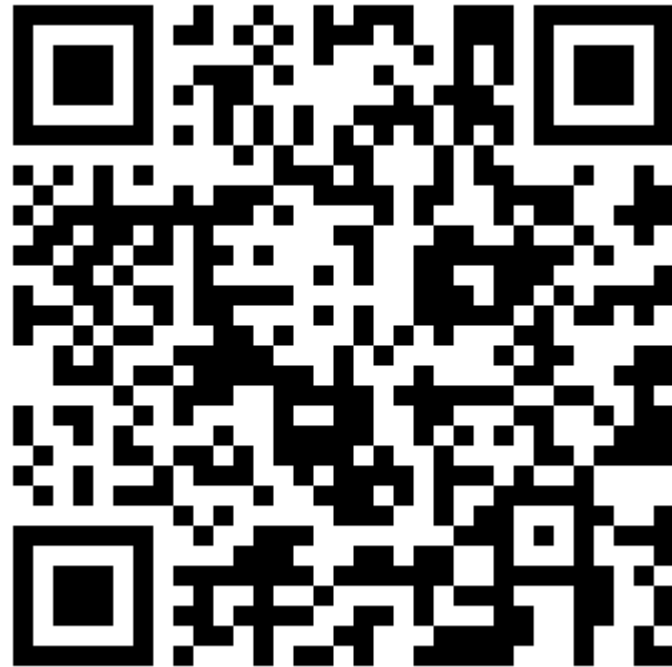
These arise from the fact that conversation is normally governed by principles including cooperation, truthfulness, and informativeness, and that both parties are aware of these.

Herbert Paul Grice (1913-1988)

Grice published his Cooperative principle of communication in "**Logic and Conversation**", 1975;
Cooperative principle is a norm governing all cooperative interactions among humans:
"Make your **conversational contribution** what is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged"

Herbert Paul Grice (1913-1988)

Cooperative principle of communication, 1975;



COOPERATIVE PRINCIPLE

Click on add related title words

1

QUALITY

Be truthful. Do not say what you believe is false. Do not say that for which you lack adequate evidence.

2

QUANTITY

Be informative.

Make your contribution as informative as required. Do not make your contribution more informative than required..

3

RELEVANCE

Be relevant.
Make your contribution relevant.

4

MANNER

Be perspicuous
Avoid ambiguity, obscurity. Be brief, orderly

Herbert Paul Grice (1913-1988)

Quality: Be truthful. Do not say what you believe is false. Do not say that for which you lack adequate evidence.

Quantity: Be informative. Make your contribution as informative as required. Do not make your contribution more informative than required.

Relation: Be relevant. Make your contribution relevant.

Manner: Be perspicuous [pə'spɪkjʊəs].

Avoid ambiguity, obscurity. Be brief, orderly

Gricean maxims

Quality:	Quantity:	Relation:	Manner:
Be truthful.	Be informative.	Be relevant.	Be perspicuous.
Do not say what you believe is false.			
	Make your contribution as informative as required.	Make your contribution relevant.	Avoid ambiguity, obscurity.
Do not say that for which you lack adequate evidence.	Do not make your contribution more informative than required.		Be brief, orderly

Herbert Paul Grice (1913-1988)

- **Violating maxims** (Grice's term): speaker **secretly breaks** them (e.g., intentionally lying)
- **Flouting (flaut): overtly breaking** the maxims for some linguistic effect (e.g., sarcasm, irony, entertainment...)

To flout is to show disdain, scorn, or contempt; scoff or mock.

Distinguishing factor:

we must look at a speaker's intention!

Check yourself!

Cooperative principle of communication, 1975;



Prof. Andrei A. Bogatyrev

We also need to be polite

There's more to co-operation than following the maxims, we also need to be polite

"Co-operation is vital to conversation, but without politeness, all is lost."

We also need to be polite

According to George Yule (1996) in his book "Pragmatics" the traditional linguists have no real social lives whereas the modern linguists tend to consider that linguistic interaction has a tight relation to social interaction.

We also need to be polite

Much of what we say and communicate is determined by our social relationships. In order to make sense of what is said in an interaction, we have to look at various factors of interaction which **relate to social distance and closeness.**

We also need to be polite

The definition of Politeness

Politeness is the awareness of another person's face. The word "Face" in this case refers to the public self- image of a person.

Politeness is the means employed to show awareness of another person's face.

Face is the public self-image of a person. It is the emotional and social sense of self that everyone has and expects everyone else to recognize.

[1] a. Excuse me, Mr. Buckingham, but can I talk to you for a minute?

b. Hey, Bucky, got a minute?

- showing awareness for a socially distant person's face - respect, deference;
- showing awareness for a socially close person's face friendliness, solidarity;

[1] a. Excuse me, Mr. Buckingham, but can I talk to you for a minute?

b. Hey, Bucky, got a minute?

There will be different kinds of politeness associated and marked linguistically with the assumption of relative social distance or closeness.

The participants in an interaction have to determine the relative social distance between them,
and hence their '**face wants**'.

Geoffrey Leech Politeness Principle

"It means Minimizing (other things being equal) the expression of impolite beliefs, and there is a corresponding positive version (maximizing (other things being equal) the expression of polite beliefs) which is somewhat less important.."

Geoffrey Leech Politeness Principle

(1) The Tact Maxim:

- Minimize cost to the speaker;
- Maximize benefit to the hearer;

(2) The Generosity Maxim:

- Minimize benefit to self (benefit to the S)
- Maximize cost to self

(3) The Approbation/Praise Maxim (it is oriented toward the H):

- Minimize dispraise of the H
- Maximize praise of the H

Geoffrey Leech Politeness Principle

4) The Modesty Maxim:

- Minimize praise of self (S);
- Maximize dispraise of self (S);

(5) The Agreement Maxim:

- Minimize disagreement with the H;
- Maximize agreement with the H;

(6) The Sympathy Maxim:

- Minimize antipathy towards the H;
- Maximize sympathy towards the H.

Extended Politeness Principle

(7) Consideration Maxim:

- Minimize the hearer's discomfort/displeasure
- Maximize the hearer's comfort/pleasure

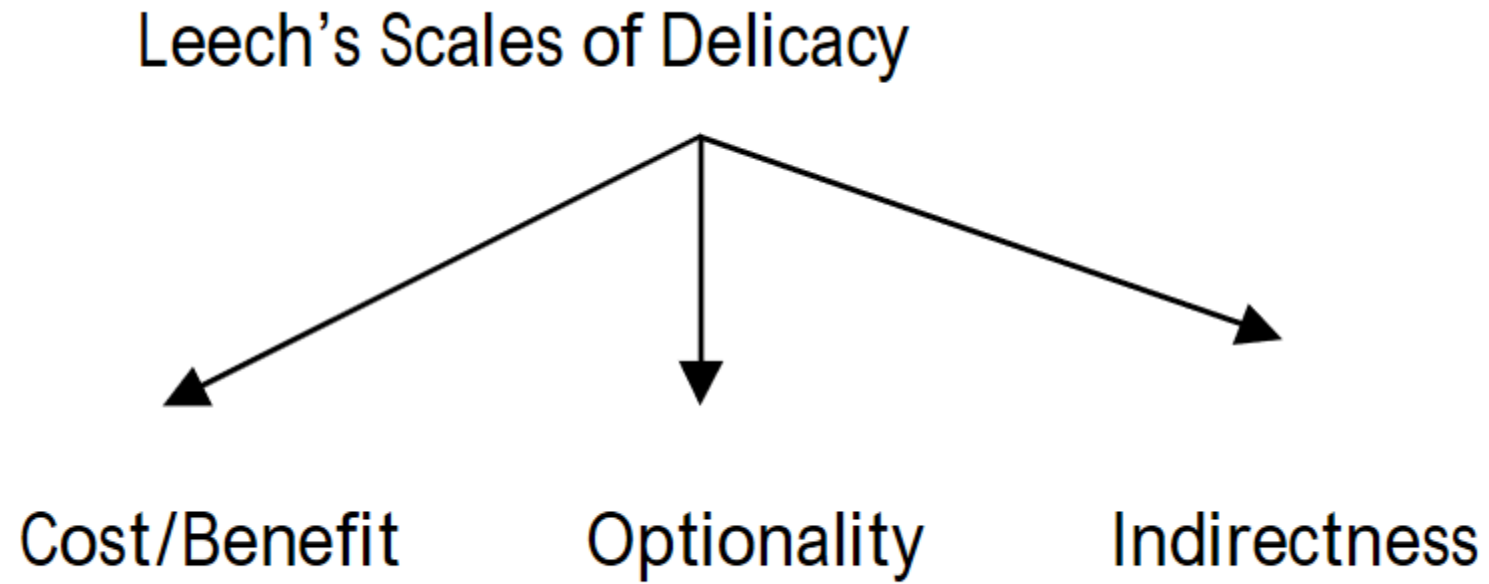
(Leech, 1997; Thomas, 1997: 158-166; Watts, 2003: 65-68)

Geoffrey Leech

Politeness Principle Answers:

1 The tact maxim	Give your own examples
2 The generosity maxim	Give your own examples
3 The approbation maxim	A: "The performance was great!" B: "Yes, wasn't it!"
4 The modesty maxim	<i>Oh, I'm so stupid – I didn't make a note of our lecture! Did you?</i>
5 The agreement maxim	avoids disagreement; the second part intends to make other people feel good by showing solidarity. Give your own examples
6 The sympathy maxim	<i>I am sorry to hear about your father.</i>

Leech's Scales of Delicacy



Irving Goffman. 1955

Face = the image
that we present of ourselves to others.

Irving Goffman. 1955

Goffman says our face is like a persona which we present in a conversation. It changes from situation to situation.

For example, in one situation you might want to present the face of a good friend, whilst in another you may want to appear to be a knowledgeable student.

We also need to be polite

- Face is maintained by the audience, not by the speaker.
- This is achieved by the listener **accepting the face** being presented by the speaker, and just generally being **sensitive** towards them.

Examples of how this politeness is shown include:

Using appropriate forms of address

- Speaking to others in a way that is appropriate to the social relationship you have with them
- Speaking with a degree of formality appropriate on the occasion
- Understanding the conventions of language associated with particular situations (e.g. accepting or refusing an invitation, beginning and ending a conversation)
- Understanding the conventions of turn taking.

Positive / Negative face

Face: Two kinds of face:

- 1. Positive Face** refers to our need to be accepted and liked by others and our need to feel that our social group shares common goals.
- 2. Negative Face** refers to our right to independence of action and our need not to be imposed on by others.

Face Threatening Act (FTA)

Face Threatening Act (FTA): an illocutionary act which is able to damage another person's reputation / threaten other people's face.

There are two types of FTA:

- 👉 Act threatening the negative face
- 👉 Act threatening the positive face

Act threatening the negative face of the addressee: orders, requests, threats, and warnings from the speaker.

Act threatening the positive face of the addressee: offers and promises from the speaker

Positive / Negative face

Negative Face – the desire to feel unimpeded, i.e. the freedom from feeling imposed upon by the interaction.

Positive Face – the desire to feel approved of, i.e. to maintain a positive and consistent self-image during the interaction.

Positive / Negative face

- ❑ **Negative Face:** need to be independent, to have freedom of action, not be imposed on by others
- ❑ **Positive Face:** need to be accepted/liked, to be treated as a member of the same group, to know that wants are shared by others.

Negative face	Positive face
<p>1/ The need to be independent .</p> <p>2/ The need to have freedom of action .</p>	<p>1/ The need to be accepted by others .</p> <p>2/ The need to be treated as a member of the same group .</p>
<p>e.g.</p> <p>1/ I am sorry to bother you .</p> <p>2/ I know you are busy .</p>	<p>e.g.</p> <p>1/ Let's do it together .</p> <p>2/ You and I have the same problem .</p>

Brown and Levinson (Politeness), 1987

Having regard for another person's "face" or image is an important aspect of politeness.

Brown and Levinson said that we meet the needs of "face" through positive and negative politeness.

POLITENESS STRATEGIES

According to Brown and Levinson (1987:91-225), there are four strategies for doing FTA:

- ☐ Bald on Record
- ☐ Positive Politeness
- ☐ Negative Politeness
- ☐ Off Record

Within everyday social interactions, people generally behave as if their expectations concerning their public self-image, or their face wants, will be respected.

Face threatening act: speaker says something that represents a threat to another individual's expectations regarding self-image .

Face saving act: speaker says something to lessen a possible threat.

For example: a young neighbor is playing loud music late at night. Older couple cannot sleep.

[2] **Him:** I'm going to tell him to stop that awful noise right now!

Her: Perhaps you could just ask him if he's going to stop soon because it's getting a bit late and people need to get to sleep.

We also need to be polite

Interpretation includes also evaluations such as '**rude**', '**considerate**' or '**thoughtful**' which represent an additional aspect of communication perceived in terms **of politeness** .

POLITENESS STRATEGIES

Use of positive politeness forms= **solidarity strategy**

(used more by groups than individuals)

- includes personal information, nicknames, even abusive terms (esp. among males), shared

dialect/slang expressions, inclusive terms ('we', 'let's' etc.)

Come on, let's go to the party. Everyone will be there. We'll have fun.

Use of negative politeness forms = **deference strategy**

- formal politeness, more impersonal, can include expressions that refer to neither the

speaker nor the hearer, emphasizing hearer's and speaker's independence, no personal claims

There's going to be a party, if you can make it. It will be fun.

How to get a pen

How to get a pen from someone else



SELF AND OTHER: SAY NOTHING STRATEGY

Example situation to map out different interpretations associated with different expressions used within a speech event

You arrive at an important lecture. You want to take notes but realize that you do not have a pen. There is a person sitting next to you.

First choice: say something or not

- ✓ - rummage in your bag, search through your pockets, go back to the bag
- ✓ - other person offers pen

Many people prefer to have their needs recognized by others without having to express them (**less imposition**) -- clearly a case of communicating more than what is said.

POLITENESS STRATEGIES

A positive politeness strategy leads the requester to appeal to a common goal, even friendship

How about letting me use your pen?

Hey, buddy, I'd appreciate it if you'd let me use your pen

□ greater risk of refusal, therefore often preceded by 'getting-to-know-you-talk' to establish common ground

Hi, How's it going? Okay if I sit here? We must be interested in the same crazy stuff. You take a lot of notes too, huh? Say, do me a big favor and let me use one of your pens

A negative politeness strategy is more commonly performed in face saving acts

Could you lend me a pen?

I'm sorry to bother you, but can I ask you for a pen?

I know you're busy, might I ask you if - - if you happen to have an extra pen

BALD ON RECORD STRATEGY

Bald on-record: These provide no effort by you to reduce the impact of the FTA's. You will likely shock the person to whom you are speaking to, embarrass them, or make them feel a bit uncomfortable. However, this type of strategy is commonly found with people who know each other very well, and are very comfortable in their environment, such as close friends and family.

Example:

- An emergency: Help!
- Task oriented: Give me that!
- Request: Put your coat away.
- Alerting: Turn you headlights on!

BALD ON RECORD STRATEGY

Bald-on-record strategy can be treated as speaking in conformity with Grice's Maxims (Grice, 1975). These maxims are an intuitive characterization of conversational principles that would constitute guidelines for achieving maximally efficient communication.

Cases of non-minimization of the face threat: maximum efficiency is very important, and this is mutually known to both S and H, no face redress is necessary.

Example: Help! (not "Please help me".)

Cases of FTA-oriented bald-on-record usage: It is oriented to face. This illustrates the way in which respect for face involves mutual orientation, so that each participant attempts to foresee what is other participant is attempting to foresee.

Example: "Come in, don't hesitate, I am not busy".

OFF AND ON RECORD STRATEGY

❑ **off record**: statements not directly addressed to another person (i.e. hints)

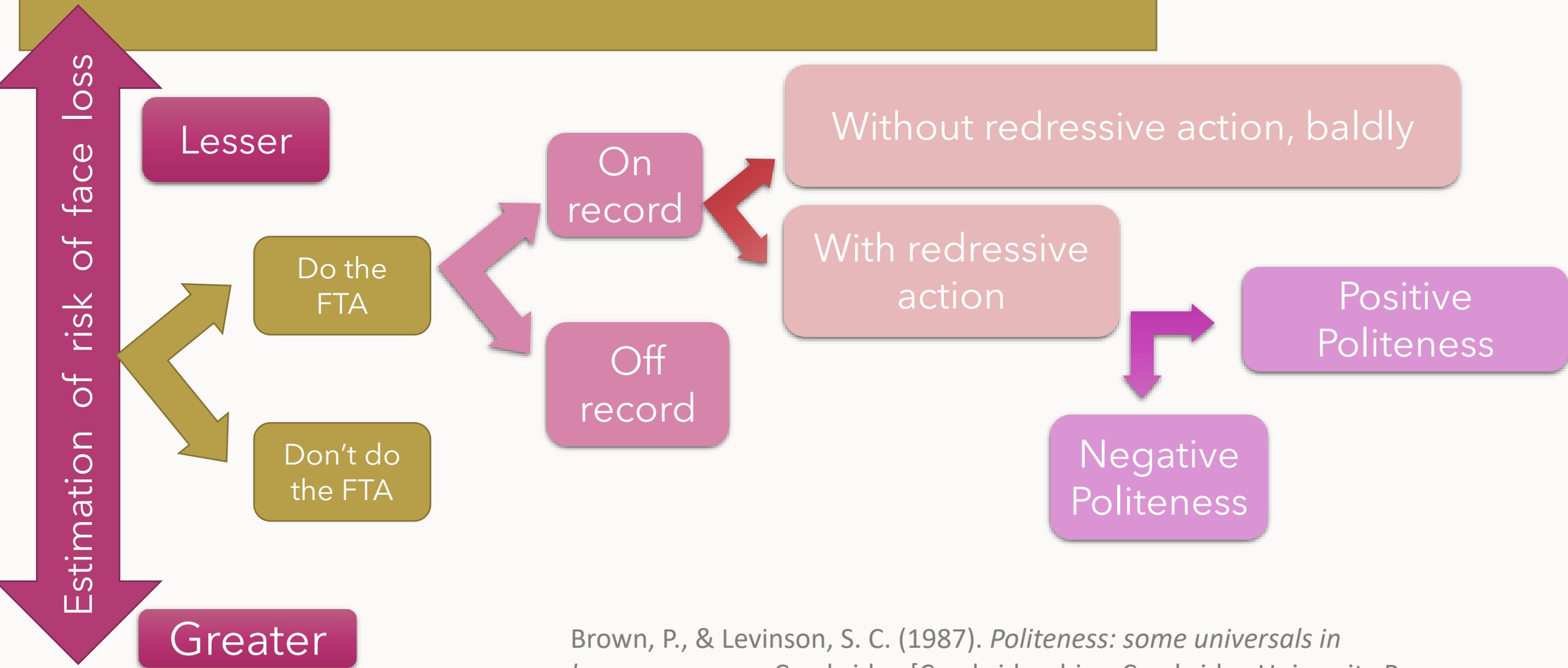
- *Uh, I forgot my pen.*
- *Where is the pen.*
- *Hmm, I wonder where I put my pen*

❑ **on record**: directly address the other person to express your needs

Using imperative forms is known as **bald on record**

- *Give me a pen*
- *Lend me your pen*

We have a choice whether or not to do the FTA,
and if we do, how we will go about it.



Brown, P., & Levinson, S. C. (1987). *Politeness: some universals in language usage*. Cambridge [Cambridgeshire: Cambridge University Press.

Positive politeness

It means showing people that they are liked, admired or included.

Positive politeness

Positive Politeness: It is usually seen in groups of friends, or where people in the given social situation know each other fairly well. It usually tries to minimize the distance between them by expressing friendliness and solid interest in the hearer's need to be respected (minimize the FTA)

Example:

- Attend to the hearer:

"You must be hungry, it's a long time since breakfast. How about some lunch?"

- Avoid disagreement:

A: "What is she, small?"

B: "Yes, yes, she's small, smallish, um, not really small but certainly not very big."

Positive politeness

Paying them compliments eg. "what a lovely dress"

Taking an interest in their wellbeing eg "How are you?"

Making it obvious you enjoy their company eg "this is so nice"

Making gestures of friendship

Paying attention to the other speaker (show interest, sympathy, approval)

Seeking agreement and common ground (often by choosing safe topics)

Avoiding disagreement (pretend to agree, tell white-lies)

Making jokes

using friendly/inclusive language (making assumptions - "alright if I just...")

using colloquial language showing you're on an equal footing.

Positive politeness

1. Notice, attend to H (his interest, wants, needs, and goods).
2. Exaggerate (interest, approval, sympathy with H)
3. Intensify interest to H.
4. Use in-group identity markers (address form, use of in group language or dialect, use of jargon or slang, contraction and ellipsis).
5. Seek agreement (safe topics, repetition)
6. Avoid disagreement (token agreement, pseudo-agreement, white lies, hedging opinions)
7. Presuppose/raise/assert common ground.

Positive politeness

8. Joke
9. Assert or presuppose S's knowledge of and concern for H's wants.
10. Offer, promise.
11. Be optimistic.
12. Include both S and H in the activity.
13. Give (or ask for) reasons.
14. Assume or assert reciprocity.
15. Give gifts to H (goods, sympathy, understanding, cooperation).

Negative Politeness

This is when you show that you are avoiding intruding on the other person's life, are not imposing your presence or prying into their personal affairs or to (seem to) offer a choice.

Language of negative politeness that is indirect, apologetic and respectful.

Negative Politeness

Saying "Excuse me" before asking for something

Being pessimistic e.g. "I know this is a stupid idea...."

Giving deference e.g. "Yes Sir"

Being apologetic e.g. "Sorry to bother you, but..."

Being indirect e.g. "I don't seem to have a pen with me"

Offering a choice e.g. "Could you..."

Negative Politeness

The main focus for using this strategy is to assume that you may not be imposing on the hearer, and intruding on their space. Therefore, these automatically assume that there might be some social distance or awkwardness in the situation.

Example:

- Be indirect:

"I'm looking for a comb."

- Forgiveness:

"You must forgive me but....."

- Minimize imposition:

"I just want to ask you if I could use your computer?"

Positive Politeness

Positive politeness used between people in a hierarchy can be used to reduce social distance.

e.g. a manager suggesting to a subordinate that they use their first name:

'Call me Sue'- a gesture of friendship. Makes the employee feel more on an equal footing.

Negative Politeness

Brown and Levinson have found English tend to use negative politeness more than positive, partially because that's their cultural bias in the UK, and partially because negative politeness seems more polite than positive politeness.

NEGATIVE POLITENESS STRATEGIES

1. Apologize to the other person: e.g. by indicating reluctance or begging forgiveness.
2. Impersonalize things: e.g. by the use of the plural 'you' vs 'I'.
3. State the imposition as a general social rule or obligation by using 'request' as a noun rather than 'want' as a verb.
4. Go 'on record' as incurring a debt, or not 'indebting' to the other person.
5. Nominalize

NEGATIVE POLITENESS STRATEGIES

6. Be indirect: e.g. by using indirect speech acts.
7. Question, hedge: e.g. by asking questions such as *'Could you do this for me?'*
8. Be pessimistic about things: e.g. by saying *'This probably won't be necessary but ...'*
9. Minimize imposition on the other person: e.g. by saying *'I just wanted to ask if you could ...'*
10. Give deference: e.g. by the use of certain address forms.

OFF-RECORD POLITENESS STRATEGIES

Off-Record (indirect): You are removing yourself from any imposition whatsoever.

Example:

- Give hints:

"It's cold in here"

- Be vague:

"Perhaps someone should have been more responsible."

- Be sarcastic, or joking:

"Yeah, he's a real rocket scientist!".

OFF-RECORD POLITENESS STRATEGIES

1. Give hints
2. Give association clues.
3. Presuppose.
4. Understate.
5. Overstate
6. Use tautologies
7. Use Contradiction
8. Be ironic
9. Use metaphors
10. Use rhetorical questions

OFF-RECORD POLITENESS STRATEGIES

- 11. Be ambiguous
- 12. Be vague
- 13. Over-generalize
- 14. Displace H
- 15. Be incomplete, use ellipsis.

PRE-SEQUENCES I

avoiding risk for the another person (i.e. face threatening) can be achieved by providing an opportunity for the other person to halt the potentially risky act rather than simply making a request, speakers will produce a pre-request

PRE-SEQUENCES I

A: Are you busy? (= pre-request)

B: Not really (= go ahead)

A: Check over this memo (= request)

B: Okay (= accept)

advantage that hearer can decide to stop the pre-request or go ahead

A: Are you busy? (= pre-request)

B: Oh, sorry. (= stop)

PRE-SEQUENCES I

This response allows the speaker to avoid making a request that cannot be granted

However, it is also possible to treat pre-requests as requests and respond to them.

A: Do you have a spare pen?

B: Here (hands over the pen)

A: Do you mind if I use you phone?

*B: Yeah, sure. will produce a **pre-request***

PRE-SEQUENCES II

Other uses of pre-sequences

□ pre-invitations:

A: *What are you doing this Friday?* (= pre-invitation)

B: *Hmm, nothing so far.* (= go ahead)

A: *Come over for dinner.* (= invitation)

B: *Ah I'd like that.* (= accept)

A: *Are you doing anything later?* (= pre-invitation)

B: *Oh yeah. Busy, busy, busy.* (= stop)

A: *Oh, okay* (= stop)

PRE-SEQUENCES II

□ **pre-announcements** (often by children):

A: Mom, guess what happened? (= pre-announcement)

B: (Silence)

A: Mom, you know what? (= pre-announcement)

B: Not right now, sweetie. I'm busy. (= stop)

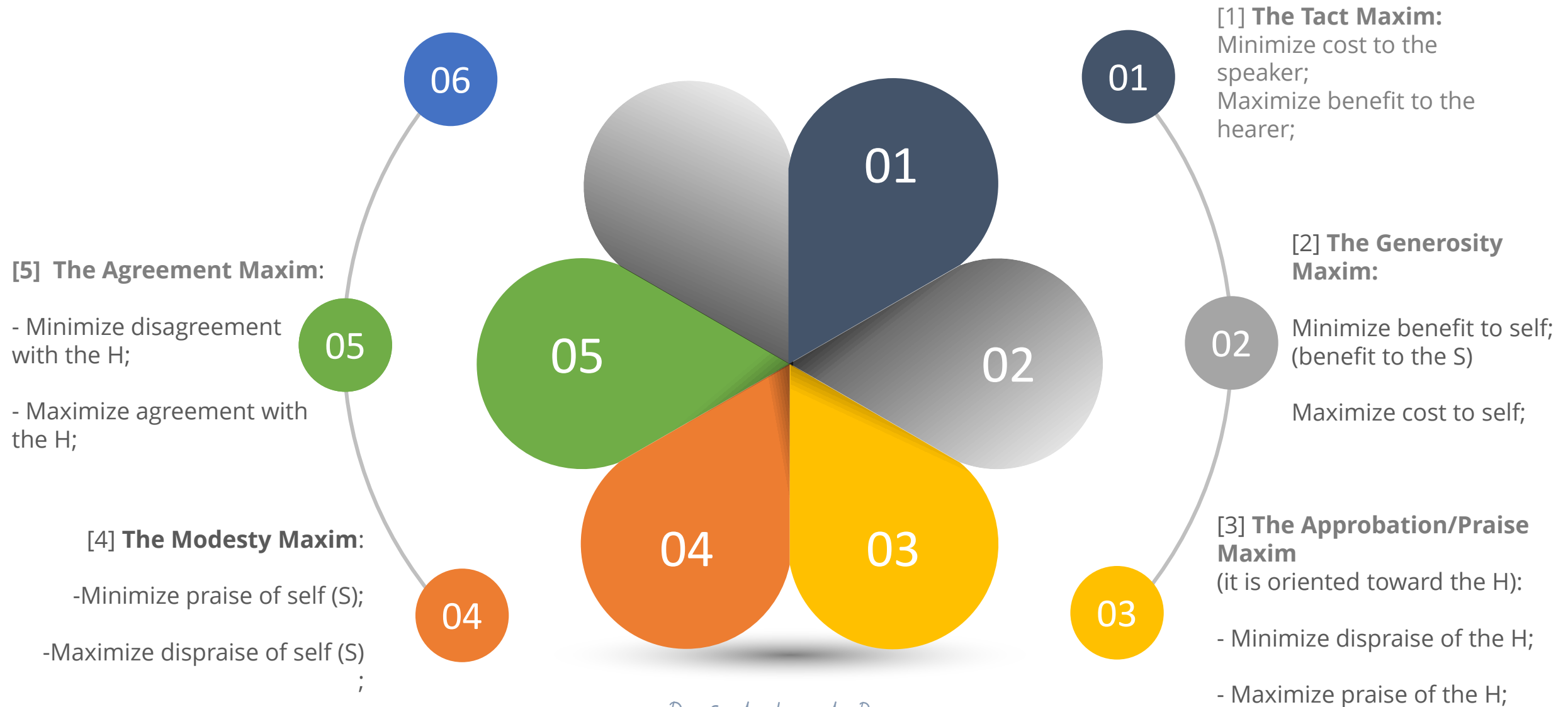
(No 'go ahead', silence should be interpreted as 'stop')

Read more on linguistic politeness theory



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6 Geoffrey N. Leech politeness maxims



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The Tact maxim	Minimize cost to other and maximize benefit to other.
The Modesty Maxim	Minimize praise of self and maximize dispraise of self.
The Generosity Maxim	Minimize benefit to self and maximize cost to self.
The Approbation Maxim	Minimize dispraise of other and maximize praise of other
The Agreement Maxim	Maximize agreement between self and other people and minimize disagreement between self and other.
The Sympathy Maxim	Minimize antipathy between self and other and maximize sympathy between self and other.

Check yourself!

Politeness maxims (RU)



Prof. Andrei A. Bogatyrev

Check yourself!

Politeness maxims (EN) Advanced Level



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Check yourself!

Oh, those maxims ...



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CHECK YOURSELF!

01



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CHECK YOURSELF!

02



Prof. Andrei A. Bogatyrev

THANK YOU

Have your delicious coffee
美味 / 纯正 / 自然 / 爽口

