IPC-FDG-2018, Salvador, Brazil

THE INTERPERSONAL LEVEL

POST-GRADUATE COURSE ON FUNCTIONAL DISCOURSE GRAMMAR

Contents

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- Hierarchical organization
- Moves
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The Interpersonal Level (1)

- The IL captures all distinctions that concern the interaction between Speaker and Addressee (H&M: 46)
- What is represented is not the contents of the message but the sequence of actions performed by the Speaker in building up a linguistic utterance
- The IL is, in other words, a strategic level, representing the steps taken by the Speaker to realize his/her communicative intention.

Conceptual Component



The Interpersonal Level (2)

The IL and the Conceptual Component:

- The Conceptual Component contains all ideas and intentions triggering a particular linguistic expression
- At IL the available primitives (frames, lexemes, operators) restrict the Speaker's options to express these intentions
- Distinction between Conceptual Component and Interpersonal Level underlies indirect speech acts (see H&M: 39-40; 73)
 - It's hot in here.
 - (Serving food) It may be hot.

The Interpersonal Level (3)

- The IL deals with all the formal aspects of a linguistic unit that reflect its role in the interaction between Speaker and Addressee; e.g.
 - Illocutionary force
 - Relation between Speaker and Hearer
 - Rhetoric and pragmatics
 - Rhetoric: concerned with the ways in which components of a discourse are ordered and formally coded to achieve the speaker's communicative goals
 - Pragmatics: understood here as studying how speakers mould their messages in view of their expectations of the Addressee's current state of mind (e.g. shared knowledge, saliency, identifiability).



Interpersonal Layers

Interpersonal units:

- \square Move (M)
- Discourse Act (A)
- Illocution (F), e.g. Declarative, Interrogative
- \square Speech Participants (P₁, P₂)
- Communicated Content (C):
 - Subact of Ascription (T): Speaker's evocation of a property, e.g. 'tall', 'eat', 'car'
 - Subact of Reference (R): Speaker's evocation of an entity (a concrete or abstract referent)

Hierarchical organization

(П М ₁ : [] $(M_1): \Sigma (M_1))_{\Phi}$	Move
(Π Α _{1-N} : [] $(A_1): \Sigma (A_1))_{\Phi}$	Discourse Act
$(\Pi F_1: ILL (F_1): \Sigma (F_1))_{\Phi}$		Illocution
$(\Pi P_1: [] (P_1) : \Sigma (P_1))_{\Phi}$		Speaker
$(\Pi P_2: [] (P_2): \Sigma (P_2))_{\Phi}$		Addressee
(П С ₁ : [] (C ₁): Σ (C ₁)) _Φ	Comm. Content
$(\Pi T_{1-N} [] (T_1): \Sigma (T_1))_{\Phi}$		Ascriptive Subact
$(\Pi R_{1-N} [] (R_1): \Sigma (T_1))_{\Phi}$		Referential Subact

Example

- A: Did you buy anything?
- B: Yes, a really expensive watch. (-id R_1 : [(T_1) (emph T_2)] (R_1))_{FOC}
- One Referential Subact (R_1), representing the Speaker's attempt to evoke a referent.
- This Referential Subact has a complex head consisting of two Ascriptive Subacts (T₁, T₂), corresponding to the properties 'expensive' and 'watch'.
- The modifier really is analysed at the IL because it expresses emphatic commitment on the part of the Speaker.
- The evoked referent is presented as unidentifiable for the Addressee (-id).
- The Subact provides new information; it is assigned the pragmatic function Focus.



The Move

- The Move is "the largest unit of interaction relevant to grammatical analysis" (H&M: 50)
- It functions as "an autonomous contribution to an ongoing interaction" (ibid.)
- □ In FDG, defined as
 - provoking a Reaction
 - being a Reaction
- Moves typically impact the Phonological Level
- □ In speech, Move ≈ turn
- □ In writing, Move \approx paragraph
- Domain of grammatically relevant coherence relations

The Head of the Move

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- Each Move is headed by one or more Discourse Acts
 - Discourse Acts: 'the smallest identifiable units of communicative behaviour' (Kroon 1995)
- If the Move consists of more than one Discourse Act (i.e. has a configurational head), the relation between these Discourse Act may be one of:
 - Equipollence (Nucleus and Nucleus)
 - Dependence (Nucleus and Dependent)

Equipollence

- Equipollent Discourse Acts are of equal communicative importance:
 - both have their own intonation contour
 - both could form a complete Move by themselves.
 - A: What happened at Wimbledon yesterday? (M1: (A1) (M1))
 - B: Murray won. And Federer lost.
 - $(M_1: [(A_1) (A_2)] (M_1))$

Dependence

- Dependent Discourse Acts depend on a Nuclear Act
- Dependent Discourse Acts have a rhetorical function:
 - Motivation, Concession, Orientation, Correction, Condition, Confirmation, Reinforcement, Aside

Watch out because there will be trick questions in the exam. $(M_1: [(A_1) (A_2)_{Motiv}] (M_1))$ (see H&M: 54)

My brother, 1 promise not to betray him. $(M_1: [(A_1)_{Orient} (A_2)] (M_1))$ (see H&M: 54)

Modifiers of the Move

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- Lexical indication of Move's role in discourse
 - to cut a long story short; to sum up; to come back to
 - $(M_1: [(A_1) ... (A_n)] (M_1)): \text{ to sum up } (M_1))$
- Modifiers are themselves still modifiable:
 - To sum up briefly, I hope I have shown that Edward Albee tailors his dramatic language to the specific play. (Internet)
- In practice confusion possible with:
 - Modifier of Discourse Act (difference in scope)
 - Modifier of Episode/SoA (different kinds of entity modified)
 - What is criterial is that Move operators reflect the language user's (discourse) strategy

Operators on the Move

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- Grammatical indication of Move's role in discourse
- Grammaticalized discourse organization markers:
 - in_sum ('sum'); however ('contr'); anyway ('pop')
- No longer modifiable (but some can still be focalized)
 - I know this is a true story, because when my Aunt Peg was a little girl she used to live next door to Mrs Sugar, who was a witch. ...
 Everybody in the street knew she was a witch. She used to give you silverweed for freckles and camomile for bellyache. Anyway, Mrs Sugar died, and she was buried in the cemetery, and had an angel on her grave. Soon after ... (BYU-BNC, spoken)
 - (pop M₁: [(A₁) ... (A_n)] (M₁))



The Discourse Act

Discourse Acts are

- "the smallest identifiable units of communicative behaviour. In contrast to the higher order units called Moves, they do not necessarily further the communication in terms of approaching a conversational goal" (Kroon 1995: 65).
- Always part of a Move
- Always contains an Illocution (only one per Act)
- No equivalent to any layer at other levels, though there are default relations:
 - Propositional Content (RL), the Clause (ML), the Intonational Phrase (PL)
 - BUT: Discourse Acts may also consist smaller or larger units

The head of the Discourse Act

- The head of the Discourse Act consists of at most four components:
 - Illocution (F₁)
 - Participant with Speaker function (P₁)_S
 - Participant with Addressee function (P₂)_A
 - Communicated Content (C1)
- Illocutions can be:
 - Expressive
 - Communicative Interactive
 - Communicative Contentive
 - Performative
 - Abstract

Types of Discourse Act

- Expressive Discourse Acts have two components (e.g. Ouch!)
 - Illocution (F₁)
 - Participant with Speaker function $(P_1)_S$
- Communicative-Interactive Discourse Acts have three components (e.g. Congratulations!)
 - Illocution (F₁)
 - Participant with Speaker function $(P_1)_S$
 - Participant with Addressee function $(P_2)_A$
- Communicative-Contentive Discourse Acts have four components (e.g. John bought a book)
 - Illocution, Speaker, Addressee, Communicated Content

Modifiers of the Discourse Act

- Lexical indication of
 - stylistic properties: briefly
 - the role within the Move: in addition, finally.
 - emphasis: really
 - mitigation: sort-of
 - a Speaker's emotional state (e.g. sadness, surprise):
 - Sadly, we have to report the death of Mr. Jim Parker, no. 112 (BYU-BNC, written, miscellaneous)
 - $(A_1: [(F_1) (P_1)_S (P_2)_A (C_1)] (A_1)): sadly (A_1))$
- Modifier at Discourse Act or Illocution (emphasis, mitigation)?:
 - Discourse Act if applicable to different kinds of Illocution.

Operators of the Discourse Act

- Grammatical (e.g. prosodic) indication of:
 - Irony
 - Great.
 - Mitigation (just)
 - Emphasis:
 - dammit
 - phonological realization:
 - She has grown!
 - Did you say you were pregnant?!
 - (**emph** A_1 : [(F_1) (P_1)_s (P_2)_A (C_1)] (A_1))



The Illocution

- "The Illocution of a Discourse Act captures the lexical and formal properties of that Discourse Act that can be attributed to its conventionalized interpersonal use in achieving a communicative intention." (H&M: 68)
- Presence of an Illocution is an important diagnostic for recognizing Discourse Acts
- There is no one-to-one relationship between a specific communicative intention and an Illocution:
 - unrestricted range of communicative intentions
 - restricted number of frames per language

The head of the Illocution

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Illocutions may have different types of head:

- abstract predicate (declarative, interrogative)
 - implicit performative
 - corresponds to specific grammatical distinctions:
 - constituent order
 - particles
 - intonation
- lexical predicate (promise, name, declare)
 - explicit performative
- interjections and related expressions

Abstract Illocutions (1)

- Ready-made Illocutions, conventional conversational use.
 - John bought a book: declarative (A₁: [(F₁: **DECL** (F₁)) (P₁)_S (P₂)_A (C₁)]) (A₁))
 - Did John buy a book?: interrogative (A₁: [(F₁: INTER (F₁)) (P₁)_S (P₂)_A (C₁)]) (A₁))
- For each language only as many Illocutions are distinguished as justified by the grammatical distinctions in that language (morphosyntactic or phonological)

Abstract Illocutions (2)

- Illocutionary primitives:
 - DECLarative (informing)
 - INTERrogative (asking)
 - INTERPellative (attracting attention)
 - IMPERative (ordering to do)
 - PROHibitive (ordering not to do)
 - OPTative (wishing well)
 - IMPRECative (wishing ill)
 - HORTative (suggesting/encouraging S + A to do)
 - DISHORTative (suggesting/encouraging S + A not to do)
 - ADMONitive (warning)
 - COMMissive (promising/committing)
 - SUPPLicative (asking permission)
 - EXCLamative (exclaiming)

Application

How many of these abstract illocutions are coded in English / Brazilian Portuguese?

Application

- □ Illocutionary primitives (\checkmark = present in English):
 - DECLarative ✓ (I bought a book)
 - INTERrogative ✓ (Did you by a book?/What did you buy?)
 - INTERPellative ✓ (Hey!)
 - IMPERative ✓ (Go away!)
 - PROHibitive
 - OPTative ✓ (May he rest in peace/rot in hell)
 - IMPRECative
 - HORTative ✓ (Let's go for a drink)
 - DISHORTative
 - ADMONitive
 - COMMissive
 - SUPPLicative
 - EXCLamative ✓ (What a mess!)

Lexical Illocutions (1)

- I promise to do the washing up
- I hereby inform you that I wish to resign
 (A₁: [(F₁: promise (F₁)) (P₁)_s (P₂)_A (C₁: do the washing up) (C₁))] (A₁))

Performatives – function:

- Do not describe, report or state
- Are not true or false; can't be denied
- Can't be checked against the world

Performatives – form

- First person
- Present tense

Lexical Illocutions (2)

- Expressives: Interjections
 - Ouch! Yuck!
 - $(A_1: [(F_1: ouch_{1ntj} (F_1)) (P_1)_S] (A_1))$
- Interactives: (almost) invariable forms
 - Congratulations (on winning the race)!; Thank you (for not smoking); Good morning
 - $(A_1: [(F_1: thanks (F_1)) (P_1)_s (P_2)_A \{(C_1)\}] (A_1))$

Vocatives

- Communicative-Interactive Discourse Acts serve to gain or hold the Addressee's attention
- Involve either abstract predicate of Interpellation (as in James!) or a lexical particle as in (Hey James!)
 - $(A_1: [(F_1: INTER_{1ntj} (F_1)) (P_1)_S (P_2: James (P_2)) (A_1))$
 - $(A_1: [(F_1: hey_{1ntj} (F_1)) (P_1)_s (P_2: James (P_2)) (A_1))$
- There may be expanded with a Communicated Content:
 - Friends, Romans, gentlemen, ...
 - (A₁: [(F₁: INTER_{Intj} (F₁)) (P₁)_S (P₂)_A(C₁: -- Friends, Romans ... -- (C₁))] (A₁))

Modifiers of the Illocution

- Lexical indication of a speaker's strategic refinement of the Illocution
 - I sincerely promise my government will not increase taxes
 - $(A_1: [(F_1: promise (F_1)): sincerely F_1)) (P_1)_S (P_2)_A (C_1)] (A_1))$
 - He is frankly not a very good painter
 - $(A_1: [(F_1: DECL (F_1)): frankly F_1)) (P_1)_S (P_2)_A (C_1)] (A_1))$
- Resemble manner adverbs, but may be formally distinguished in other languages:
 - Dutch:
 - Peter heeft mij alles eerlijk verteld (Manner)
 'Peter honestly told me everything.'
 - Eerlijk gezegd ken ik hem helemaal niet. (Illocution)
 'Frankly, I don't know him at all.'

Operators of the Illocution

- Grammatical indication of a speaker's mitigation or reinforcement of the Illocution:
 - mitigation:
 - Please, leave me alone.
 - reinforcement:
 - Oh, do shut up!
 - (Please,) do sit down.
 - $(A_1: [(reinf F_1: IMP (F_1)) (P_1)_S (P_2)_A (C_1)] (A_1))$


Participants

- The two Speech Participants P₁ and P₂ alternate as Speaker and Addressee; S(peaker) and A(ddressee) are functions
- Participants need to be distinguished from referring expressions, which are part of the Communicated Content.
 - Non-performative (abstract) Illocutions:
 - I'll be home by eight.
 - (A₁: [(F₁: DECL (F₁)) (P₁)_S (P₂)_A (C₁: [... (R₁: [+S, -A] (R₁)) ...] (C₁))]
 (A₁))
 - Performative (lexical) Illocutions:
 - I promise I'll be home by eight.
 - (A₁: [(F₁: promise (F₁)) (P₁: [+S, -A] (P₁))_S (P₂)_A (C₁: [... (R₁: [+S, -A] (R₁)) ...] (C₁))] (A₁))

The head of the Participants

Heads may be:

- Empty (default)
- Abstract
 - I promise you that I'll be home by eight.
 - $(A_1: [(F_1: promise (F_1)) (P_1: [+S, -A] (P_1))_S (P_2: [-S, +A] (P_2))_A (C_1)] (A_1))$
 - Hey you!
 - (A₁: [(F₁: hey (F₁)) (P₁)_S (P₂: [-S, +A] (P₂))] (A₁))
- Lexical
 - the Salvadoran Government hereby states that ...
 - (A₁: [(F₁: state (F₁)) (P₁: the Salvadoran Government (P₁))_S (P₂)_A (C₁)] (A₁))

Modifiers of the Participants

- Since Speech Participants are typically headless, they are rarely modified
- When the head is specified, as in the case of a performative Discourse Act or a vocative, modifiers can be used:
 - You fool!
 - $(A_1: [(F_1: INTERP (F_1)) (P_1)_S (P_2: [-S, +A] (P_2)): fool (P_2))_A] (A_1))$

Operators of the Participants

- Operators at the layer of the Speech Participants are rare, at least in English
- Possible when the Participant has a head:
 - number (I vs. we)
 - I promise you-guys that I'll be home by eight.
 - (A₁: [(F₁: promise (F₁)) (1 P₁: [+S, -A] (P₁))_S (m P₂: [-S, +A] (P₂))_A (C₁)] (A₁))
 - other languages: social status, politeness
 - Spanish:

¿Están despiertas?

2.PL.FORMALCOP.PROG awake.PL.FEM

'Are you awake?'

 $(A_1: [(F_1: INTER (F_1)) (P_1)_S (h P_2)_A (C_1)] (A_1))$



The Communicated Content

- The totality of what the speaker wishes to evoke
- Evocation is an action consisting of one or more Subacts:
 - Subact of Ascription: evocation of a property
 - Subact of Reference: evocation of a referent
- Pragmatic function assignment:
 - Subacts in the Communicated Content (C) may be:
 - New/Salient: Focus
 - Given/Presupposed: Topic
 - Contrasted: Contrast

The head of the Comm. Cont.

- Communicated Contents have a configurational (complex) head, consisting of one or more Subacts:
 - That big dog chased our cat.
 - $(A_1: [(F_1: DECL (F_1)) (P_1)_S (P_2)_A (C_1: [(T_1) (R_1) (R_2)] (C_1))] (A_1))$
 - where:
 - T_1 = chase R_1 = that big dog R_2 = our cat

Pragmatic Functions: Focus

Focus (vs. Background):

- Focus function is assigned to Subacts presenting new information, filling a gap in the Addressee's knowledge.
 - A: What did you buy?

B: I bought a book.

• $(C_1: [(T_1) (R_1)_{TOP} (R_2)_{FOC}] (C_1))$

Pragmatic Functions: Topic

Topic (vs. Comment):

- Topic function is assigned to Subacts which signal how the Communicated Content relates to the gradually constructed record in the Contextual Component.
- In most cases Topics contain information that is given in (or inferable from) the Contextual Component.
 - I bought a book.
 - It was very expensive.
 - $(C_1: [(T_1)_{FOC} (R_1)_{TOP}] (C_1))$

Pragmatic Functions: Contrast

Contrast (vs. Overlap):

- Contrast function signals the Speaker's desire to bring out certain differences between two or more Communicated Contents or between a Communicated Content and other contextually available information.
 - (I didn't buy a book,) I bought a DVD
 - $(C_1: [(T_1) (R_1)_{TOP} (R_2)_{CONTR}] (C_1))$

Content frames

Typical content frames for English:

Thetic:

- $(C_1: [(SA_1) \dots (SA_N)]_{FOC}] (C_1))$
- all new information: a train arrived
- Categorical:
 - $(C_1: [(SA_1)_{TOP} \dots (SA_N)_{FOC}] (C_1))$
 - comment on a topic: it was very expensive
- Presentative:
 - $(C_1: [(SA_1) \dots (SA_N)_{TOPFOC}] (C_1))$
 - introduce a new topic: there's a man at the door

Modifiers of the Comm. Cont.

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Modifiers of the Communicated Content may:

- indicate speaker attitude (unfortunately, sadly, surprisingly)
- indicate that Communicated Content has been expressed or implied by others (reportedly, supposedly, or so he says, I hear):
 - I hear you are getting married.
 - Allegedly John has committed plagiarism.
- □ serve as a quotative:
 - John would be late, or so he said.

Operators of the Comm. Cont.

- English has no operators at this layer
- Other languages use grammatical means to indicate, for instance, the relayed status of a Communicated Content:

Shipibo:

- Cai-**ronqui** reocoocainyantanque.
- going-REP he.turned.over

'Reportedly, while he was going (in the boat), he turned over.'

Application

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Provide IL representations the two turns in the following dialogue:

- □ A: What has she done?
 - B: Reportedly she stole some documents.

Application

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Provide IL representations the two turn in the following dialogue:

- □ A: What has she done?
 - B: Reportedly she stole some documents.

- $\square (M_1: (A_1: [(F_1: INTER (F_1)) (P_1)_S (P_2)_A (C_1: [(T_1) (-id +sp R_1)_{FOC} (+id +sp R_2: [-S, +A] (R_2)) (C_1)) (A_1)) (M_1))$
- $\begin{array}{ll} & (M_2: (A_2: [(F_2: DECL (F_2)) (P_2)_S (P_1)_A (C_2: [(T_2)_{FOC} (R_3) (-id -sp R_4: (T_2) (R_4))_{FOC}] (C_2): reportedly (C_2)) (A_2)) (M_2)) \end{array}$



Subacts

- Evocation = execution of the set of Subacts that make up the Communicated Content
- Two types of Subacts that are linguistically relevant
 - Subacts of Ascription (T₁)
 - Subacts of Reference (R₁)
 - The lazy dog was sleeping. (C₁: [(T₁) (+id R₁: [(T₂) (T₃)] (R₁)) (C₁)) where: T₁ = 'sleep' R₁ = 'the lazy dog' T₂ = 'dog' T₃ = lazy

Ascription

- Reflects Speaker's attempt to evoke a property (with the intention of ascribing it to an entity)
- Ascription and Reference are mutually supporting
 - Ascription may occur within Reference
- Head of Ascriptive Subact is usually empty (semantic content filled in at RL), but may be a lexical filler (a dummy):
 - English thingummy, thingamajig, whatchamacallit, etc.
 - Brazilian Portuguese: fulanas/fulanos

Ascription

- Modifiers: supposedly, surprisingly, so-called
 - a surprisingly good first novel
 - this so-called leader of the free world
- Operators:
 - emphasis (really tall)
 - approximation (he sort-of laughed, sort-of green)
 - exactness (a true socialist)

Reference

- Reflects Speaker's attempt to evoke an entity
- □ Head:
 - one or more Ascriptive Subacts (lazy dog)
 - proper name
 - dummy lexeme (Peter, Whatsisname)
 - abstract combination of Speaker/Addressee features:
 - deictic pronouns: $(R_1: [+S, -A] (R_1)) = I/we$
- Modifiers:
 - poor, good-old, etc.
 - (R₁: Bill (R₁): poor (R₁))
- Operators:
 - identifiable vs non-identifiable (± id)
 - specific vs non-specific (± sp)

Reference

- Approximation of Referential Subact
- Brazilian Portuguese:

porque todos falam que tenho Estou muito deprimida very depressed that I.have l.am because all say uma coisa ruim aí. (Internet)

a thing bad there

'I am very depressed because everybody says that there is something wrong with me.'

By using ai to the noun phrase uma coisa ruim, the Speaker indicates that he or she cannot or does not want to refer in more specific terms to the entity he is referring to; scope over the whole Referential Subact (Edson Souza, p.c.).



- Reflect on the use of the *if*-clauses in the following examples, in particular on their relation to the main clause. Which of the two would *if*-clauses you say belongs to the Interpersonal Level? Why?
 - 1. If you're hungry, the only diner is a few blocks over (COCA)
 - 2. If I'm really hungry, I'll microwave a bag of popcorn when I get home. (COCA)

- For each of the italicized elements in the following sentences, decide
 - a. which communicative function they perform
 - b. to which interpersonal layer they belong
 - 1. The prosecution has put together a case that suggests to you that O.J. Simpson is an utter fop, a complete fool. (COCA)
 - 2. In the first place the scheme *literally* drowned in its own success. (BYU-BNC)
 - 3. First of all, I'm still married to Tommy. Plus, I am so not interested in men now. (COCA)
 - 4. You might remember I've been pressing for this for about eighteen bloody months. (BYU-BNC)

- Provide an IL analysis of the following sentence:
 - Whatsisname is looking for you.

- Provide an IL analysis of the following sentence:
 - Whatsisname is looking for you.
 - (A₁: [(F₁: DECL) (P₁)_S (P₂)_A (C₁: [(T₁) (R₁: Whatsisname (R₁)) (+id +s R₁: [-S, +A] (R₂))] (C₁)) (A₁))