

Doctoral Dissertation Abstract

Pragmatics of Gratitude:

Analyses of Gratitude Expressions in Indonesian

(感謝の語用論ーインドネシア語における感謝表現の分析ー)

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1. INTRODUCTION

Thanking is an essential expression that people commonly use in everyday situations. Without realizing it, in a social relationship people often value other's kindness by expressing thanks to that significant person. As human's natural tendency is also to hear other persons say thanks for what they do, the phrase 'thank you' may become an important expression in verbal communication. According to Aijmer (1996), expressing gratitude was considered a stereotypical speech act because the form of 'thank you' or 'thanks' was almost always used by speakers every time they wanted to express gratitude. However, the use of gratitude expressions is tightly dependent on the cultural context because such a kind of expression embraces norms and values belonging to a culture. Although every culture has its expressions of saying thanks, in a real encounter, every 'thank you' does not always contain the same specific nuance when it is practically expressed. Besides, basically, such routines of the expressions can be put to some different uses since the expressions can also be interpreted into various functions.

To date, lack of researches discussing thanking from the perspectives of native speakers of one particular language is quite disadvantageous. Many researchers have been focusing more on the comparison of gratitude expression between native speakers of one language and non-native speakers who learn that one. In fact, research of gratitude expressions in one language is also substantial to be examined because this can be helpful support for conducting a comparative study. Recognizing the attitude of particular native speakers towards their expressions of gratitude will benefit in accommodating the understanding in analyzing the comparison research on this topic. Moreover, by knowing further about the structure of thanking formulae and its related aspects of a particular culture, it is supposed to gain a more detailed description of the condition of the culture when its people use the thanking formulae.

There are differences in how people practically express gratitude and how it is enclosed in the cultures. Thus, it is not surprising that people in different cultures have

emphasized their ways to express thanks appropriately in any interactions. The reason why certain cultures express thanks blatantly while others do not seem to pay much attention to the thanking has triggered the present researcher to explore the use of thanking expressions in particular. The previous studies have shown that expressions of gratitude reveal stimulating cultural differences across languages, though very few have focused on Indonesian. While many studies on gratitude in Japanese have been extensively examined (e.g., Kumatoridani, 1999; Long, 2010; Ohashi, 2008, 2013), comprehensive researches regarding gratitude expressions in Indonesia have hardly been conducted. In addition, the facts that the lack of studies and literature regarding the use of thanking routines in Indonesian cause a lack of sociopragmatic knowledge for the native speakers and learners. Therefore, the present study aims to fill the gap and intend to contribute to the pragmatic view points of the routines of gratitude expressions in Indonesian.

It is of great interest to know about and learn the behavior of the Indonesian people in their culture in expressing gratitude, as Indonesians generally have a distinct habit of gratitude expressions. Hence, the main objective of the present study is to investigate the actual realization structures of thanking formulae produced by Indonesian native speakers in different gratitude situations. In the interaction among interlocutors, how the native speakers convey and choose particular thanking expressions may in accordance to socio-cultural aspects in a given culture. As this routine is known to be performed in various numbers of uses, several social factors may influence the use of the expressions that entail politeness as a part of discourse strategy. Therefore, even though the main focus of this study is defined as the realization of the formulae, socio-pragmatic aspects of its practice should also be investigated by applying politeness framework in the analysis of thanking.

The research questions of the present study are formulated as follows:

1. What kind of the strategies of gratitude expressions are realized by Indonesian native speakers in some certain situations?
2. How do the contextual factors determine Indonesian native speakers to use the strategies of gratitude under the concepts of the politeness theories?

2. LITERATURE REVIEWS

Initially proposed by Austin (1962), the concept of speech acts have become one of the most important concept in pragmatics. Searle (1969) developed his ideas on speech acts in more detail where thanking is categorized as expressive speech act. When expressing thank,

the speaker conveys gratitude to the hearer's involvement in a previous action that was advantageous to the speaker. Expressive illocutionary acts, including thanking, concern with the condition that the speaker must be experiencing some particular psychological state because of a state of affairs (Searle, 1969, p.65). In other words, the acts contain emotion aroused by the state of affairs.

Eisenstein and Bodman (1986) indicated that the social function of gratitude strengthens the bonds between the members of society. They asserted that when this function was acted appropriately, the expression created feelings of warmth and solidarity, maintaining and enhancing social cohesion and social bonding among the people. Since the expression of thanks is socially valuable, Leech (1983) discussed from a social perspective that thanking had a friendly function and that thus the goal was to establish and maintain a polite and friendly social atmosphere.

In the past forty years, studies on thanking speech act have been conducted by examining various pragmatic aspects. Formal aspects, the function served, and the situations of the use of thanking routines are subjects to cross-cultural variation in linguistic research of thanking (Jautz, 2013). However, comparing to the most-studied speech acts of requests and apologies (Ogiermann, 2009), thanking may remain behind.

During childhood, it is common that parents or teachers teach that expressing gratitude is one of the polite manners that should be performed in daily interactions. Politeness is socially and linguistically applied in all cultures with its specific realization. Kasper (1998) indicated that politeness could be defined as appropriate social behavior and the display of consideration for others through language, which may include a strategic use. Concerning to this, Jautz (2013) added that 'consideration for others', in regards of thanking formulae, was appropriate to be linked, as they were used to express appreciation of others or what others have done. Therefore, the aim of the present study to draw a picture of the Indonesians in the use of thanking formulae can be considered as an attempt to broad the scope of the study in this topic. In particular, it is concerned with how natives of Indonesian use such expressions or sentences to perform speech acts and to participate in speech events. Hence, this study will examine politeness of thanking in the forms and strategies described in Indonesian. It will also concentrate on the approach of politeness concepts of face as used by Brown and Levinson (1978, 1987).

3. METHODOLOGY

The present study has chosen the DCTs as the instrument in order to obtain the target data. According to Jautz (2013), typical methods used to study thanking phenomenon were DCTs or role-plays. However, this study has designated a particular type of DCT, namely the oral DCT (O-DCT). According to Ogiermann (2009), the O-DCT was a type of closed role play, one of the two types of the role play instruments that strongly resemble DCTs in that it provided one-turn responses to described situations. The O-DCT is considered to be the practicable method of collecting a representative of natural discourse data because it prompts the participants to produce a spontaneous, yet a more accurate speech feature of the real life conversation. As it is administered orally to the participants, thus, the O-DCT attempts to collect the oral performance of a certain speech act.

The pilot version of the O-DCT consisted of 19 thanking scenarios containing familiar situations that were most likely to occur in the Indonesian cultures tested to 20 Indonesian students studying at Tohoku University in Sendai, Japan. The pilot study resulting that 15 out of 19 situations were identified as the most common situations that students may encounter in a daily life at universities in Indonesia.

In this study, the chosen target participants are students to ensure the homogeneity as much as possible with regard to educational background, social class or age range. The participants in this study were 31 students from two universities in Bandung, Indonesia. Those participants were native speakers of Indonesian coming from different parts of Indonesia to study at Institute Technology of Bandung and Padjadjaran University in Bandung.

The collected data were analyzed in terms of structural forms, type of thanking strategies, and interpersonal relation between interlocutors in order to fulfil the purpose of the present study. Each response was listed and carefully put into seven categories of thanking strategies. The present researcher listed the responses of the participants from the responses which contained the most thanking expressions that were commonly used to convey gratitude (e.g., *makasih* ‘thanks’, *terima kasih* ‘thank you’), to the responses which contained the least gratitude (e.g., *ini pak!* ‘here you go’) or even to the condition where the participants did not give any verbal expression at all. The seven categories developed in the present study were acquired from particular previous studies (Aijmer, 1996; Cheng, 2005; Jautz, 2013), in which some elements that were similar and correlated with the present data were derived to formulate categorization of thanking strategies in Indonesian.

4. RESULTS AND DISCUSSIONS

4.1 Results

Indonesians used various strategies in expressing thanking. Participants produced gratitude expressions containing structure utterances that are not merely focusing on gratitude alone. After examining and classifying the overall frequencies, there are seven thanking strategies categorized on the basis of the data of the present study. Altogether, the data exhibit 465 amounts of responses from the participants. The strategies consist of seven categories: (1) 'thanking', (2) 'gratitude or positive feelings', (3) 'apology', (4) 'joking', (5) 'others', (6) 'combination', and (7) 'no expressions'. Across all expressions, participating native speakers of Indonesian used strategy of 'thanking' significantly as the most frequent expression in all cases (65.38%), while 'apology' (1.08%) and 'gratitude or positive feelings' (0.86%) used as the two least strategies, respectively. Furthermore, Indonesians used strategy of 'combination' as the second most preferred strategy (17.20%), followed by strategies of 'others' (5.81%), 'no expressions' (4.95%), and 'joking' (4.73%).

'Thanking' is the most frequently used by the participants in almost the given situations (65.38%), except for situation 'small money', 'large money', and 'visiting the sick' where combination is the most frequent strategy. Besides, 'joking' is used 3.23% higher than the thanking strategy in the situation 'new bag.' Overall, following 'thanking' strategy, it was found that 17.20% of the Indonesians used 'combination' as the second most preferred strategy, followed by 5.81% of 'others', 4.95% of 'no expressions', and 4.73% of 'joking' where the participants used it less. Unlike those strategies, the strategies of 'apology' and 'gratitude or positive feelings' were employed only a few times, with the total of 1.08% and 0.86%, respectively.

In order to investigate which elements precede or follow the thanking routines as modifiers in speech events, three elements were coded and examined, i.e., alerts, intensifiers and the length of thanking. The data show that Indonesians tend to use a variety of types of alerts and intensifiers in most of the strategies. Furthermore, the data show that the participants tended to employ shorter responses when encountered public services situations, such as in a bus and supermarket. Conversely, longer thanking appeared when participants involved in borrowing large money and when asking a recommendation letter to his or her professor.

4.2 Discussions

Thanking in Indonesian is not only realized by simple forms such as *makasih* and *terima kasih*, but in many cases it is also followed by any other speech acts such as apologizing and promising while sometimes forming lengthier expressions, as can be seen in most of the thanking strategies. Thus, according to the data, Indonesians used compound thanking than the simple expressions. This finding has so far confirmed the claim proposed by Eiseinstein and Bodman (1986) that thanking expressions were usually conveyed in shorter forms and those were also often preceded by or followed by other strategies or speech acts depending on the contexts.

The use of *makasih* ‘thanks’ as the most frequently used expression in the data is considered to be less formal expression of gratitude, while *terima kasih* ‘thank you’, the most secondly used expression, is said to be more formal expressions used in formal contexts. Significantly, Indonesians preferred to use *makasih* rather than *terima kasih*. Along with ‘thanking’ strategy, ‘combination’ is the most secondly used strategy by the participants. Expressions classified into this category are the combination of two or three strategies of thanking. The data show that the two most used substrategies of combination are ‘thanking and apology’ and ‘thanking and others (promise to repay)’. ‘Others’ strategy, as the third most used strategy, contained any expressions that were not expectedly used as gratitude expressions but emerged as responses to the situations of gratitude. In this category, almost all substrategies were equal to be used as preferred expressions, such as ‘small talk’ and ‘confirm help and promise to repay’ as the two most commonly used substrategies.

The findings show that most of the Indonesians tended to put a sense of joke mostly in response to the situation where the speakers were being complimented on having a new bag. Leech (1983) stated that when one said jokingly to another, it was a sign of familiar relationship, so that he or she established and maintained a bond of familiarity as well as solidarity. Furthermore, the findings show that the use of ‘apology’ strategy in this study was one of the least preferred expressions by the participants. Contrastively, Wouk (2006) stated that it was very unusual that Indonesians expressed an apologetic expression toward certain gratitude situation. Therefore, according to the present study, when apology is realized in certain gratitude situations, it is more common for Indonesians to use the expression by combining it with thanking expressions, as mostly occurred in this study. Besides, the data show that the very least used thanking strategy by Indonesians in this study was the ‘gratitude or positive feelings’ strategy. The findings show that instead of expressing positive feelings or gratefulness to the favor giver, one participant only expressed the feeling of gratitude to

God by saying *alhamdulillah* because the main giver of all deeds is only God, according to the Islamic point of view. In fact, even though it appeared one time, this expression is a typical expression to express gratefulness among Indonesians since the majority of Indonesians are muslims.

The Indonesians who opted out their response to some gratitude situations perhaps perceived those situations as those that did not trigger grateful feelings. Eisenstein and Bodman (1986) reported that some of the participants in their study said that they would not express gratitude if the hearer did the beneficial deed in a routine manner as a part of their job (p.171). This may explain why in the present study no expressions strategy happened most in the situation of 'cashier' and 'bus.' It may indicate that they perceived both cashier and driver as simply doing their routine jobs.

The responses show that their gratitude expressions cannot be separated from the influences of various social contextual variables. There are three variables that become one of the crucial points defined by Brown and Levinson (1987) in their theory of politeness, namely power (P), distance (D), and rank of imposition (R). In the data, for instance, even though the interlocutors have the relationship as friends with low power (-P) and low distance (-D), but the ranking of imposition (R) determined how thanking expressions are expressed in a certain manner.

In sum, contextual variables of power, distance, and imposition have an important influence on the Indonesian native speakers in terms of the use of thanking strategies. Specifically, for Indonesians, the size of imposition is quite a significant factor that determines how one should express certain thanking expressions in the gratitude situations. As far as the size of imposition is concerned, the size of the benefit that the speaker receives from the hearer will be equal. If the favor given by the hearer is considered great, it indicates that the hearer put certain allocated time, a hard work, or even physical or financial burden. On the contrary, if a small favor involved in a given help to the speaker, it is assumed that only brief actions or insignificant risks are done by the hearer. Apparently, the participants reacted more sensitively to the size of imposition compared to other social factors. While they gave their responses according to the size of imposition, a closer examination disclosed that they used more thanking expressions for a great favor compared to situations representing small ones. That is, in order to fulfill speaker's need, the differences in their expressions of gratitude when talking to the other party (hearer) really depend on the impact of the size of imposition whether they know each other well or not. This is in confirmed what Brown and Levinson (1987) who have claimed that the choice of the speaker whether to

perform a FTA (thanking, apology, etc) or not, varies according to the estimated risk of the face loss (p.60).

Overall, the majority of thanking strategies in the present study conforms to the concept of Brown and Levinson (1987) that the routines threaten the speaker's negative face. However, there are some cases of thanking that the speaker's negative face is not the only concern. For examples, in the situations where the speaker reacts to the compliment, two conditions are applied, namely 1) when the speaker accepts the compliment, the speaker's positive face is threaten and 2) when the speaker refuses the compliment, it threatens the hearer's positive face.

5. CONCLUSION

By examining the speech acts of thanking in its routine formulae in variety of contexts, the present study provides findings that shed light on the realization of the pragmatic gratitude forms through the attitude of the Indonesian's native speakers. In addition, this study is expected to broaden understanding of Indonesian pragmatic practice in an area of gratitude among Indonesian students in the university level. The findings of this study indicate that characteristics of linguistic competence possessed by the speakers reflected in the variety of forms of thanking formulae.

Indonesians in the present study used the strategy of 'thanking' more than the other six strategies, specifically used *makasih* as the most common form of the strategy in any situations. 'Combination' as the second most used strategy is the expression where two or three strategies of thanking are combined into one utterance. Another finding shows that apology is more acceptable in its use together with thanking than is used alone as a response of thanking expression. Furthermore, the strategies of thanking in several cases were delivered by the expressions which do not contain the use of thanking words, as in strategies of 'others.' Meanwhile, the 'joking' strategy is dominantly used in the situation where speakers are complimented by hearers. Moreover, the 'no responses' strategy is considered as one of the thanking strategies since it is considered as an option chosen by speakers in response to what hearers have been done. Lastly, regarding the least preferred strategy in all categories, 'gratitude or positive feelings' appeared insignificantly as responses. Instead of expressing gratitude words such as 'I am grateful', specifically in this study, Indonesians apparently preferred to express thanks more with the use of thanking words. One of the

reasons is that this study may not provide situations causing more expressions of grateful or positive feelings.

The participants used complex and longer expressions of thanking in various situations. Realizing the thanking strategies by using the lengthy expression of gratitude is common in Indonesia (Dalilan, 2012). They tended to combine several speech acts and other speech elements into one sequence of response. The expressions do not always consist of two or more speech acts strategies, but also combination between the strategies and elements of modifiers. Additionally, the examination shows that the use of modifiers, viz. alerts (naming the benefactor and attention getter) and intensifiers (intensifying particles and repetition), frequently appeared accompanying the thanking strategies. This study also found that the complex responses were observed in several situations significantly in the situation related to borrowing a large amount of money. In certain cultures, receiving any helps concerning money may be perceived as a sensitive issue. Those simple and complex features of thanking formulae expressed by the Indonesians are the concept of what and how the native speakers actually utter in certain situations.

The result and analysis show that the relationship with the interlocutors (power and social distance), the speaker considered the size of imposition to be the key that triggered one's choice in using certain thanking strategy. Based on Brown and Levinson's (1978) politeness theory, the greater the giver's imposition in benefiting the receiver is, the more polite the receiver's expression will be. According to the data, in most cases, the native speakers of Indonesian in this study tended to use thanking strategies of positive politeness, where the speaker tried to use the strategies applying to the hearer's positive face by damaging his or her own negative face. According to Jautz (2013), thanking formulae were assumed to impose on the freedom of action as the speakers acknowledge a debt of gratitude when expressing thanking to the hearers. The speakers recognize some helps given by the hearers, thus, admitting their gratitude's debt by humbling their own face. In other words, by delivering thanks, the speakers are in attempt to show respect and acknowledgment to the hearers' desire.

However, there are more aspects to be considered in detail in order to have a more comprehensive analysis in a related further study. First, further studies can be more focusing on native speakers of some other languages in order to have independent standpoints of each certain culture in a more unified perspective of thanking speech act. Second, large-scale studies should be conducted involving other kinds of elicited methods of data to provide a multilayered perspective regarding the use of thanking strategies in social interactions. Third,

further inquiries to the 'no expression' strategy is necessary in order to obtain undisclosed information in the oral test as well as to explore other interesting possible reasons. Fourth, future examination should involve other social factors, such as gender and age, which may influence the form of strategies in the practices.

In this study, the Indonesian's native speakers have shown the linguistic structures and elements of thanking routines in certain social contexts in accordance with pragmalinguistic and sociopragmatic knowledge of their mother tongue. Appropriateness in the use of thanking strategies performed by the natives is the key for a successful communication. Hence, the results of this study may also help learners of the Indonesian language (L2), particularly, to understand linguistic and sociocultural rules of thanking forms in Indonesian when they use it in the target language.

論文審査の結果の要旨

学位の種類	博士（国際文化）	氏 名	ユリアナ ハナミ
学位論文の 題 名	Pragmatics of Gratitude: Analyses of Gratitude Expressions in Indonesian （感謝の語用論—インドネシア語における感謝表現の分析—）		
論文審査担当者氏名 （主査）江藤裕之， 小野尚之， 上原聡， 中本武志			
論文審査の結果の要旨（1,000 字内外） 本論文は、インドネシア語の感謝表現を状況別に分析することで、インドネシア人が感謝を言語的に表現する際の方略を特定し、その文化的背景を考察することによって、インドネシア語における「感謝の語用論」の構築を試みたものである。 先行研究の検討の結果、インドネシア語の感謝表現については、他言語との比較について簡単に触れた研究が若干存在するものの、インドネシア語のみを対象とした研究を見つけないことができなかった。そこで、インドネシア語の感謝表現とその文化的背景の語用論的分析を本研究の中心テーマとして、以下の 2 つの研究課題を設定した。 (1) 感謝表現のどのような方略が、ある特定の状況において、インドネシア母語話者により実際に用いられるか。 (2) インドネシア語の母語話者が感謝する際に、どのような文脈的な要素が言語的方略を選択する決定要因となっているか。 データの収集には、社会的・文脈的要因をコントロールするために、口頭による談話完成テスト（O-DCT）を用いることにした。調査はインドネシア・バンドンの 2 大学で行い、31 名のインドネシア人学生を対象に、15 の場面設定を与え、実際の感謝表現を収集した。そこで収集した各表現を 7 つの感謝の方略に分類し、その内の 5 つの方略についてはさらに下位の範疇への分類を行った。そして、課題(1)に対して、各方略について吟味し、それぞれの状況において、いつ、いかなような感謝表現がなされているかを明らかにした。課題(2)に対しては、それぞれの感謝表現の方略の使用についての社会的要因を同定し、その結果を Brown & Levinson のポライトネス理論の概念に関連づけて説明した。その結果、感謝の方略を決定する際に最も重要な役割を果たす要素は、話し手と聞き手の「社会的距離」や、聞き手の話し手に対する「相対的な力」よりも、インドネシア文化で、相手がしてくれたある行為 x の重さである「負荷度」であることが明らかになった。 審査会では、インドネシア語のみを研究対象にするのではなく、他言語（日本語や英語）との比較研究の方がインドネシア語の感謝表現方略の特徴がより明らかになったのではないかという疑問が呈された。また、本研究の語用論、ポライトネス理論に対する理論的貢献についての記述が不足しているという指摘もなされた。しかしながら、全般的には手堅く丁寧な研究であり、議論の質と量は博士論文のレベルに十分に達しているとの評価を得ることができた。また、本研究の結果は、インドネシア語の学習者に適切な感謝表現を教えるための基礎的なデータとなる点において意義あるものだと認められた。 以上により、審査委員会は、本論文が、提出者が自立して研究活動を行うに必要な高度の研究能力と学識を有することを示していると判断するに至った。よって、本論文は、博士（国際文化）の学位論文として合格と認める。			