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# A Cross-Language Comparative Study of English and German Vowel Space Area in Swiss German L1 Speakers

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**Abstract**—It is conventional to examine vowel systems by their acoustic correlates, specifically formants. In the International Phonetic Alphabet (IPA) vowel chart, vowels are placed according to their relative positions determined by the first two formant values. This two-dimensional plane makes possible the calculation of the articulatory working space of vowels. Variations in the size and shape of the vowel space exist across gender, dialects, and languages. The present study focuses on comparing the vowel space area (VSA) in English and German produced by native Swiss German speakers, attempting to shed light on whether VSAs differ significantly with different calculation methods cross-linguistically. Given the fact that absolute formant values vary tremendously across gender, Hertz values are converted to z-scores, allowing for more direct and meaningful comparisons. While vowel normalization mitigates gender-related differences within specific languages to a large extent, there remains a significant cross-linguistic gender difference. The results reveal that for 3- and 4-vowel space there is no significant effect in language but an effect is observed in gender and vowel combination on VSA, specifically in terms of individual area and overlapping ratio. This suggests that Swiss German speakers tend to utilize the same amount of vowel space in both languages, with the only difference being the expansion of English VSA in higher F2 dimension and lower F1 dimension, as observed across all calculation methods.

**Index Terms**—vowel space area, phonetic variation, vowel normalization, cross-language comparison

## I. INTRODUCTION

The source-filter model (Fant, 1960) states that the speech sounds are produced when the source signal emanating from the vocal folds is modified by the vocal tract as a filter. The resulting resonance peaks favored by the filter configurations are formants, characterizing the vowels together with their duration. In acoustic study focusing on vowel quality, representing vowels by the first (F1) and the second formant frequency (F2) has long been a tradition. F1 and F2 correspond to the resulting resonance peaks in oral and pharyngeal cavities, respectively. “Vowel height is inversely proportional to the value of F1, and vowel advancement is directly proportional to F2 value” (Thomas, 2017, p. 145). The vowels are positioned accordingly in the acoustic dimension. The idealized shape is vowel quadrilateral, formed by connecting the cardinal vowels on the periphery, as specified in the IPA. However, the actual vowel chart for different languages may vary considerably due to the size and constituents of their peculiar vowel inventories. The question arises as to how the vowel space area changes with respect to the different number of cardinal vowels involved. The triangular area defined by three corner vowels /i: a: u:/ has been utilized in a number of research (Fox & Jacewicz, 2017), but it severely underestimates the actual working space due to the limited inclusion of vowels encompassed in computing the area. Therefore, the present study intends to explore different VSA computing methods for two languages with distinct vowel inventories, aiming to provide insights into the variation of VSA within and across languages.

VSA is a widely used metric in diverse research fields, as it is considered a common indicator of speech development. Pettinato et al. (2016) examined the vowel space area in later childhood and found that children's VSA were significantly larger than the adults', which is in accordance with the previous findings of age-related reduction in VSA (Flipsen & Lee, 2012). Moreover, there is evidence that the expansion and compression of VSA are relevant to speech intelligibility, in that people tend to expand their vowel space for the speech to be more acoustically distinct under challenging environments. In pathology, VSA acts as the description and evaluation of vowel articulation in such disorders as Parkinson's disease, Down syndrome and dysphonia (Skodda et al., 2011; Bunton & Leddy, 2011; Roy et al., 2009). More intuitively, VSA is also closely related to speech style, where expanded area is observed in clear speech and reduced area in casual speech. Another pervasive application of VSA can be found in cross-dialectal comparison. Jacewicz et al. (2007) investigated whether the significant variation in vowel systems among three regional varieties of American English also affects the size of their respective dialect-specific vowel spaces.

The various utilities of VSA prove this quantitative index to be applicable in quite a few circumstances. As mentioned, VSA as an acoustic metric is mainly applied to regional dialect variations in previous research to study vowel shift in dialect varieties. Some efforts were made to L2 acquisition, as in the study investigating the impact of L1

interference on the vowel space area in Javanese and Sundanese English language learners (Perwitasari et al., 2016). However, cross-language comparison of VSA hasn't been given as much attention. Jongman et al. (1989) conducted a study on the acoustic vowel space of Modern Greek and German. The effect of the number of vowel inventory of two Arabic dialects, Moroccan and Jordanian Arabic, and French on the size of its vowel space was studied by Al-Tamimi and Ferragne (2005). They found that the larger the vowel inventory, the bigger the acoustic vowel space. However, only the triangular area was calculated in this cross-linguistic comparison. The similar hypothesis was also examined in a comparative study in relation to English and Spanish vowels (Bradlow, 1995), which proposed that the acoustic vowel space of English with higher density of vowel inventory may be expanded with respect to less dense acoustic vowel space of Spanish. On the other hand, extensive research has been conducted on vocalic variation among various Swiss German dialects. However, there is limited knowledge regarding the vocalic variation between German and English articulated by native Swiss German speakers. The present study is an attempt to investigate the variations in the size and dimension of the VSA as a function of computational methods, languages, and speaker gender.

It is hypothesized that the size and shape of vowel space area between German and English in Swiss German L1 speakers differ in the same calculation methods, the variation of vowel space area within German or English differ across different calculation methods, and gender plays a significant role in the space area variability. To examine these hypotheses, statistical testing as ANOVA and interaction analysis will be employed as primary approaches for data analysis.

## II. METHODS

### A. Speakers

The participants of the study were 6 native Swiss German speakers (3 male and 3 female) who came from Winterthur, Switzerland. The speakers were aged between 25 and 35 (mean age: 33 years, SD: 2.1 years), and all of them were born and raised in the canton of Zurich. A proficient understanding of English and German was a prerequisite for participating in this production experiment, thus requiring participants to possess a comparable educational background, preferably at a college-level or higher, in both languages. None of the participants reported any hearing impairment or speech disorder. An informed consent form of the study was signed by each participant.

### B. Materials and Procedure

The survey primarily concentrates on read speech rather than spontaneous speech. While spontaneous speech allows for more natural production, acquiring an adequate number of tokens for less common vowels poses a challenge. The entire vowel inventory is necessary for later vowel normalization and VSA computation. Read speech facilitates the controls on variables, enabling utterances to be directly comparable across different speakers (Thomas, 2017, p. 253). The German sentence list (see Appendix A) containing all the vowels of interest was constructed on the basis of a prior study (Simpson, 1997, pp. 273-276). The English sentence list (see Appendix B) was created through reference to the Oxford dictionary of English (Stevenson, 2010). There are 16 German vowels and 12 English vowels under study. Diphthongs have been excluded from this study due to their complexity. The vowel inventories being examined consist solely of monophthongs. To mitigate the influence of pitch variation, narrative statements are preferred. The length of the sentences, composed of high-frequency words, is limited to a maximum of 15 words, in order to ensure a realistic representation of daily speech patterns. There are no constraints on the occurrence of target vowels within the embedded words, meaning that the study considers all the contexts, including vowels next to an approximant or a nasal. It is recommended that each vowel should have a minimum of 20 tokens when the speakers' entire vowel inventories are mapped (Thomas, 2017, p. 159). The study adequately fulfills this requirement, as there are a large number of tokens for each vowel. Additionally, the vowel space area should encompass a wide range of contexts, in that it represents the potential maximal articulatory space.

All recordings were made in a quiet room in Winterthur. Prior to the recording session, the speakers were provided with the sentence lists to familiarize themselves with the materials. They were instructed to read each set of sentences in both languages with normal speed and natural accent. The speakers were seated in front of the computer screen and speaking into a USB-cabled external recorder (USBPre2 G604). The sampling rate was set to 44.1 kHz in Praat SoundRecorder interface (Boersma, 2011). A headset microphone (VT800H) was connected to the recorder and positioned approximately 5 centimeters at the side of the speakers' lips. A total of 594 sentences were recorded from all speakers, with one speaker unable to complete the remaining 12 German sentences due to personal reasons. For ease of description, male speakers are labeled as M and female speakers as F. The speakers are numbered for subsequent reference. All the recordings were saved in WAV format and named according to the respective speaker's ID code.

The sound files were truncated to facilitate easier processing, and subsequently annotated in SAMPA to ensure compatibility with the Praat script and normalization software, thereby avoiding erroneous outcomes. It is important to note that the equal numbers of recorded sentences do not necessarily indicate the same quantities of selected tokens for each speaker. Certain tokens were disregarded or excluded due to factors such as incorrect pronunciation, weak formant tracking in the spectrogram, and the like. The onset and offset of vowels in various contexts were consistently annotated. The script trimmed 20% of the duration from both the onset and offset, retaining only the central 60% of the interval.

Median values were then measured and extracted for each individual token. The empirical data included 1972 German vowel tokens and 1799 English vowel tokens in total.

### C. Vowel Normalization Methods

Anatomical differences, such as thicker vocal folds and the longer vocal tract in males, contribute to lower fundamental frequency and formant values. It has been proved to be effective to normalize the physiological differences within the same language variety in a meaningful linguistic way. In this study, the primary focus is on the comprehensive examination of the entire vowel inventory in each language. Therefore, vowel-extrinsic methods are preferred as information across multiple vowel realizations are used to normalize one specific vowel. A comparative study by Flynn (2011) demonstrated that vowel-extrinsic, formant-intrinsic, and speaker-intrinsic methods outperform other methods at normalizing speakers' vowel spaces. This study employed Lobanov's method, first introduced by Lobanov (1971) and commonly known as the z-score method. It works optimally when all the vowels of a speaker's vowel system are included in the procedures. The formula of z-score transformation is shown as in Eq. (1).

$$F_i^N = (F_i - M_i) / \sigma_i, \quad (1)$$

where  $F_i^N$  denotes the normalized value for  $F_i$ , the formant  $i$  of the vowel.  $M_i$  is the mean value of formant  $i$  across all the included vowels for the speaker and  $\sigma_i$  refers to the standard deviation for the mean  $M_i$ . The normalizing procedures were completed by the vowel normalization and plotting suite NORM (Thomas & Kendall, 2017).

### D. Vowel Space Area Computations

The vowel space areas for each language and gender were calculated using normalized z-scores in the R software. The calculation of the VSA was primarily based on combination of common vowels and vowel dispersion theory. The dispersion theory (Lindblom, 1986) proposes that vowels tend to be distributed in the acoustic space so as to maximize the perceptual distinctiveness to contrast separate vowel categories. VSA was defined by a set of cardinal vowels in the corner and peripheral positions. The mean values of F1 and F2 of the involved vowels were used as reference points to locate the extent of the area. The primary focus of the current study is on the convex hulls of the vowel space areas in each gender, including triangular, quadrilateral, and multilateral shapes. Concave hulls were not considered due to the adoption of dispersion theory. Both German and English have large vowel inventory according to Maddieson (2013), with overlapping in vowel categories, among which are /i:/, /u:/, /ɔ:/, /a:/, and /ɛ/. The extent, shape and dimension in the VSA were compared. The individual vowel space area, the total area and intersection area were calculated.

## III. RESULTS

### A. Vowel Normalization

Although English vowel inventory consists of two additional vowels compared to German, the vowel distribution of English is more dispersed, while German vowels tend to occupy a more concentrated acoustic space. This suggests that English vowels have distinct individual acoustic characteristics, whereas German vowels share a common acoustic space to a greater extent. The increased variability observed in English vowels may be attributed to the non-nativeness of the speakers. The anatomical differences were minimized with z-scores, for there is more overlapping of the ellipses clouds as depicted in Fig. 1.

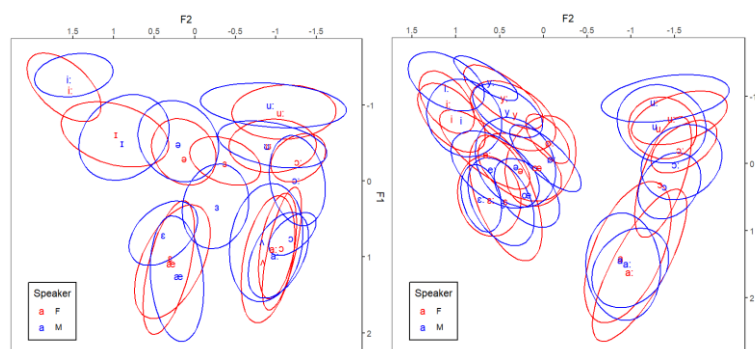


Figure 1. Normalized English (Left) and German (Right) Vowel Ellipses

Nevertheless, as demonstrated in the point plots in Fig. 2, notable differences in specific vowel categories persist, thereby enabling cross-language comparisons with regards to gender-related differences.

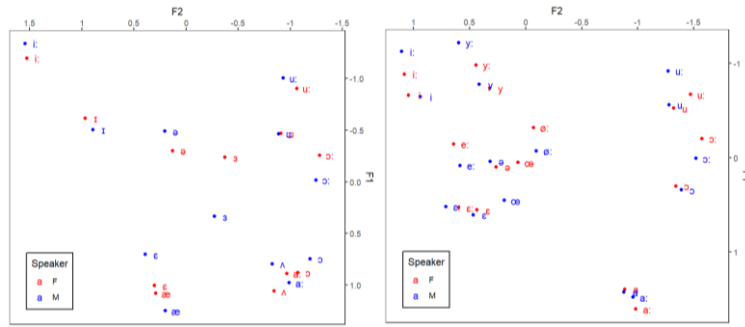


Figure 2. Normalized English (Left) and German (Right) Vowel Points

*B. Triangular Vowel Space*

The 3-vowel space area is characterized by three corner or peripheral vowels, representing the smallest possible vowel space. The traditional 3-vowel space consists of /a:/, /i:/, and /u:/, which are considered the most distinct vowels in terms of both acoustic properties and perceptual characteristics. Fig. 3 depicts the visualization of the triangular area /a: i: u:/.

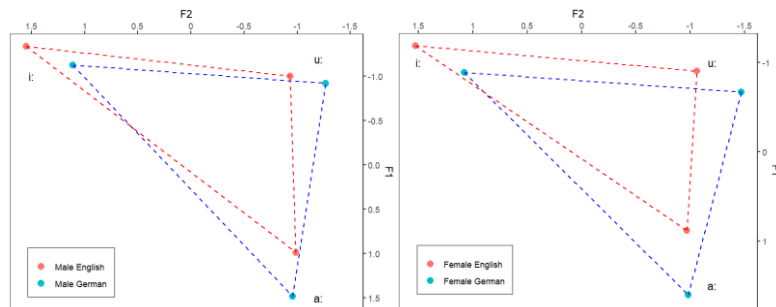


Figure 3. Triangular VSA /a: i: u:/ in Male (Left) and Female (Right)

The VSA sizes for the same language are similar for both genders. One of the reasons may be that similar vowel categories across two languages may differ in a systematic way due to a consistent language-specific adjustment of the articulators (Bradlow, 1995). However, the shapes of genders across language and the overlapping of languages across gender differ. Male speakers exhibit a higher degree of overlapping when producing different languages, suggesting that males may utilize a larger common acoustic space compared to females for these three vowels. Meanwhile, there is a noticeable variation in the trajectory of the vowels /a:/ and /u:/ in English. In this case, male speakers show a negative slope, whereas female speakers show a positive slope. In the English context, the F2 for /u:/ is higher for males than for females. In the German context, all slopes exhibit positive values, but the rate is greater among males. It can be concluded that /u:/ has extended in F2 dimension in both language contexts for male speakers.

This study intends to explore the VSAs for different combinations of five common vowels as a function of gender and language, as well as the relationship between overlapping VSAs and individual VSAs. A total of 10 combinations were analyzed, and the VSA data for each combination are presented in Table 1.

TABLE 1  
VSAs OF 3-VOWEL COMBINATIONS IN EACH GENDER AND LANGUAGE

Combination		/a:i:u:/			/i: u: ə:/		
Gender	Language	Individual	Total	Overlapping	Individual	Total	Overlapping
F	German	2.961	3.521	1.771	0.586	1.053	0.340
	English	2.331			0.806		
M	German	2.890	3.223	2.125	1.079	1.420	0.826
	English	2.459			1.167		
Combination		/i: ə: ε/			/i: ə: a:/		
F	German	1.770	2.872	1.559	2.603	2.819	1.536
	English	2.660			1.752		
M	German	1.999	2.566	1.771	2.257	2.352	1.472
	English	2.339			1.567		
Combination		/i: ə: ε/			/i: a: ε/		
F	German	1.692	2.566	1.630	0.684	1.581	0.566
	English	2.504			1.462		
M	German	1.917	2.266	1.742	0.954	1.480	0.720
	English	2.092			1.246		
Combination		/u: ə: a:/			/u: ə: ε/		
F	German	0.228	0.455	0.000	0.507	0.880	0.278
	English	0.227			0.651		
M	German	0.446	0.686	0.047	0.998	1.232	0.685
	English	0.286			0.920		
Combination		/u: a: ε/			/ə: a: ε/		
F	German	1.875	2.076	0.932	1.596	2.083	0.163
	English	1.133			0.651		
M	German	1.846	2.022	1.178	1.294	2.170	0.044
	English	1.355			0.920		

The VSA sizes between German and English vary to a greater extent for the combinations involving /ε/, largely resulting from the upward shift in F1 dimension for this particular vowel in German. As shown in Fig. 4, the combinations with /u:/ involved have great variabilities across gender, consistent with the observation that male speakers demonstrate an extended F2 dimension for /u:/ in both language contexts. An effect of combinations is observed in one-way ANOVA of combination on individual VSA [ $F(9,36) = 19.64, p < .001$ ] and overlapping ratio [ $F(9,36) = 26.1, p < .001$ ].

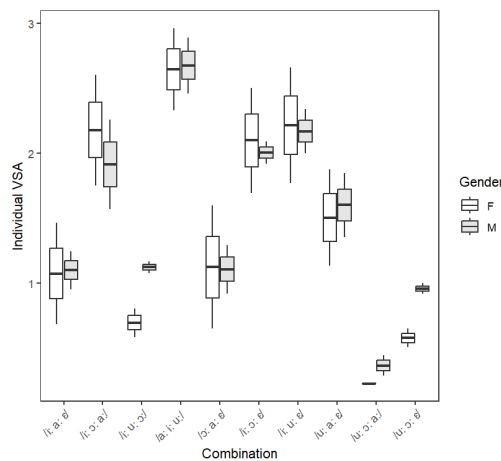


Figure 4. Distribution of Triangular VSA by Gender and Combination

In an ANOVA comparing individual VSA and overlapping ratio in all contexts, the main effect of individual VSA differences ( $F = 33.15, p < .001$ ) reaches significance. As seen from Fig. 5, there is positive correlation between individual VSA and overlapping ratio, implying that the vowel categories with larger space tend to have increased intersection space across languages. There is no effect observed for languages on the variability of VSA, but the interaction analysis reveals that gender significantly influenced the VSA variability ( $F = 6.257, p < .05$ ).

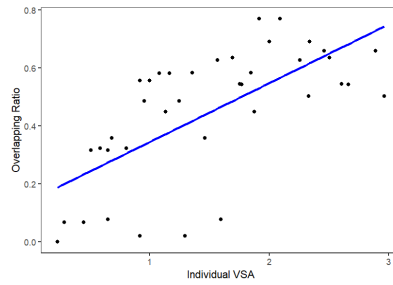


Figure 5. Relationship Between Individual VSA and Overlapping Ratio

C. *Quadrilateral Vowel Space*

Four corner or peripheral vowels establish the extended 4-vowel space area. The traditional cardinal vowels for research on English vowel space are /i:/, /æ/, /a:/, and /u:/. Given the emphasis on comparing vowel spaces formed by the common German and English vowels, the traditional method will not be utilized in the computation of the quadrilateral area. Fig. 6 depicts the VSAs in the five combinations with respect to language and gender. The formant trajectories in lower F1/F2 dimensions show greater consistency across gender and languages. However, in higher F1/F2 dimensions, the language-related differences are more evident, particularly in relation to females who demonstrate more variations.

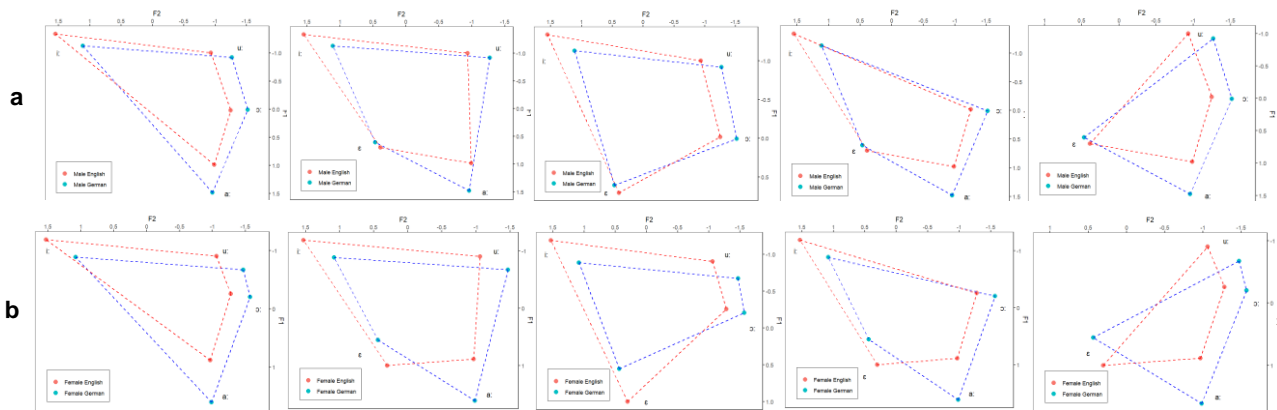


Figure 6. Quadrilateral VSA in All Combinations  
(a) VSA in Male Speakers (b) VSA in Female Speakers

Similarly, the variability in VSAs varies significantly across different combinations, both in terms of individual areas [ $F(4,15) = 15.77, p < .001$ ] and overlapping ratios [ $F(4,15) = 3.786, p = 0.0254$ ]. The effect of gender on the variability of quadrilateral areas is statistically significant. Contrary to the 3-vowel space, Fig. 7 displays that the inclusion of /u:/ in the combinations exhibits less pronounced variation, which may imply that the additional vowel contributes to a compensable space.

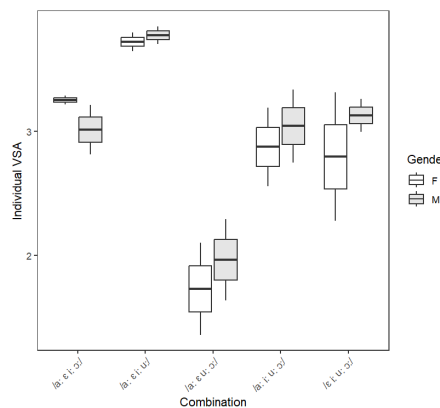


Figure 7. Distribution of Quadrilateral VSA by Gender and Combination

D. *Multilateral Vowel Space*

The study examines two multilateral vowel space areas, namely pentagonal area and hexagonal area. The pentagonal area is defined by five common vowel /a: ε i: u: ɔ:/, whereas the hexagonal area represents the maximum vowel space

possible within a specific language. German hexagonal area is represented by /a: ε i: y: u: ɔ:/, while German hexagonal area is encompassed by /a: æ i: u: ɔ: ɔ/ for males and /Λ æ i: u: ɔ: ɔ/ for females, in accordance with dispersion theory. From Fig. 8, the similar upward and leftward shift in quadrilateral area can also be observed here for English vowel spaces, indicating the expansion of English VSA in higher F2 dimension and lower F1 dimension. The low back vowels and low front vowels contribute to the discrepancy in the overall shape.

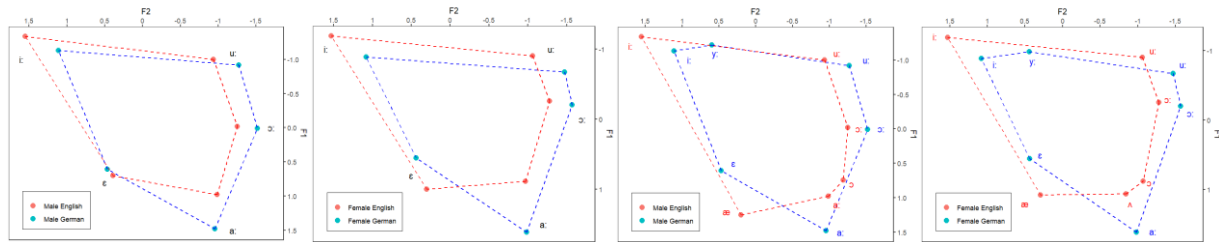


Figure 8. Multilateral VSA: Pentagonal Area (Left) Hexagonal Area (Right)

*E. All Shapes of VSA*

The results for the respective calculation methods illustrate the relationship among the individual VSA, the overlapping ratio and combinations. When all the methods considered together, there is significant effect of the VSA shape (same with the number of vowels involved) on individual VSA ( $F = 40.9, p < .001$ ), as well as overlapping ratio ( $F = 6.958, p < .001$ ).

In Fig. 9, the number of vowels involved in determining the vowel space is positively correlated to both individual area and overlapping ratio. Noticeably, the regression slope on the right is lower than that on the left, indicating that the relationship between shape and overlapping ratio is weaker compared to the relationship between shape and individual area.

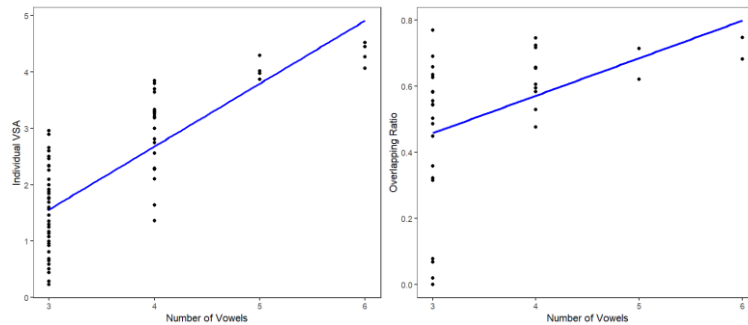


Figure 9. Relationship Between VSA Shape and Individual VSA (Left) and VSA Shape and Overlapping Ratio (Right)

On the other hand, as observed in Fig. 10, the rate and amount of the increase in VSA from triangular areas to quadrilateral areas is more prominent than multilateral ones. This finding suggests that the inclusion of more vowels results in a more complete VSA.

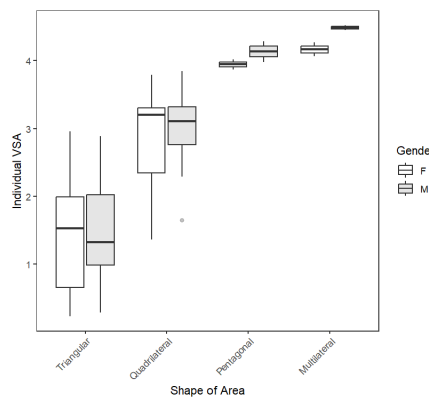


Figure 10. Individual VSA in Different Area Shapes

#### IV. CONCLUSION

The present study examines vowel space area in English and German produced by native Swiss German speakers. It compares the discrepancies in VSA based on factors such as language, gender, and calculation methods. The results show that the effect of language fails to reach significance in triangular and quadrilateral space. However, gender and vowel combination do influence VSA, particularly concerning individual area and overlapping ratio. These findings suggest that Swiss German speakers utilize a similar amount of vowel space in both English and German, but there are disparities in how the vowel space expands and compresses across the languages. Furthermore, there is a positive correlation between individual area and overlapping area. The more involved vowels, the larger the area.

The study contributes to understanding the variations in VSA within and across languages and sheds light on the impact of gender on vowel production. The findings highlight the importance of considering gender-related differences and calculation methods when comparing vowel space areas in various languages. Further research could explore the inclusion of concave hulls and conduct detailed investigations into the shape of VSA as potential topics for studying cross-language vowel space variation.

#### APPENDIX A ENGLISH SENTENCE LIST

1. I love to cook eggs for breakfast.
2. The sun is shining bright today.
3. The cat sat on the table.
4. Turn off the light before you leave.
5. My brother loves to run, even when it's raining.
6. The music at the concert was amazing.
7. I need to water the plants before they die.
8. He always wears a suit and tie to work.
9. She is very excited to see the new movie.
10. The snowstorm lasted for three days.
11. The restaurant has a great selection of seafood.
12. He bought a new car with leather seats and a sunroof.
13. She teaches Spanish at the local high school.
14. My dad likes to watch football on Sundays.
15. She has a beautiful voice and sings with passion.
16. He found the missing book under the sofa.
17. The farmer planted rows of corn in his field.
18. The child was afraid of the loud thunderstorm.
19. She enjoys hiking in the mountains and taking in the view.
20. The tourist took many photos of the famous monument.
21. She jumped up and down in excitement.
22. I took a look at the book and put it back on the shelf.
23. The school rules state that all students must wear uniforms.
24. He sits in the same spot every day and reads his book.
25. We should go to the store before it closes.
26. My father works as a carpenter and builds furniture
27. She heard a bird chirping outside her window.
28. The boy played with his toy car on the floor.
29. I saw a mouse run out of the house.
30. She loves to run on the grass.
31. The dog barked loudly at the postman.
32. The box was full of old photographs.
33. The hotel room had a comfortable sofa for guests to relax on
34. The festival was so much fun.
35. The house down the road is for sale.
36. The earthworms burrow deep in the soil.
37. The boy enjoyed playing with his toy truck and making engine noises.
38. The artist painted a beautiful landscape with shades of purple and blue.
39. My best friend likes to drink peppermint tea for its refreshing taste.
40. The artist drew a beautiful portrait of the little boy.
41. I need to park my car soon so I can move it out of the way.



## APPENDIX B GERMAN SENTENCE LIST

1. Heute ist schönes Frühlingswetter.
2. Die Sonne lacht.
3. Am blauen Himmel ziehen die Wolken.
4. Über die Felder weht ein Wind.
5. Gestern stürmte es noch.
6. Montag war es uns zu regnerisch.
7. Die Nacht haben Maiers gut geschlafen.
8. Jetzt sitzen sie beim Frühstück.
9. Es ist acht Uhr morgens.
10. Vater hat den Tisch gedeckt.
11. Mutter konnte länger schlafen.
12. Der Kaffee dampft in den Tassen.
13. Messer und Gabel liegen neben dem Teller.
14. In der Mitte steht der Brötchenkorb.
15. Ich möchte keinen Kuchen.
16. Hans ißt so gerne Wurst.
17. Bald ist der Hunger gestillt.
18. Günther muß noch einkaufen gehen.
19. Sonst wirst du leicht überfahren.
20. Radfahrer sausen vorbei.
21. Im Geschäft stehen viele Leute.
22. Gleich hier sind die Nahrungsmittel.
23. Muß der Zucker nicht dort drüben stehen?
24. Jetzt suche ich das Weißbrot.
25. Ob ich Süßigkeiten kaufen darf?
26. Öl fehlte wohl auch.
27. Nun schnell nach Hause.
28. Vater will sich eine Pfeife anzünden.
29. Seine Frau macht ein trauriges Gesicht.
30. Du solltest weniger rauchen.
31. Aber Schönes steht wohl nicht drin.
32. Ich müßte lesen und rechnen.
33. Ich spüre ihn nicht mehr.
34. Wir wollen heute spazieren gehen.
35. Da möchte ich gerne mit.
36. Zuvor müssen wir uns stärken.
37. Die Kartoffeln gehören zum Mittagessen.
38. Können wir nicht Tante Erna besuchen?
39. Zurück geht's mit der Bahn.
40. Wir hören den plätschernden Bach.
41. Voller Glück sind wir am Ziel.
42. Die Tante bewohnt ein nettes Häuschen.
43. Manche Obstbäume blühen prächtig.
44. Der gelbe Küchenofen sorgt für Wärme.
45. Auf dem Brett leuchten bunte Tulpen.
46. Da läuft der Zug ein.
47. Leise rollen wir aus dem Bahnhof.
48. Draußen fliegt die Landschaft vorbei.
49. Hier richten Zimmerleute ein Dach.
50. Es gehört zu einer Feldscheune.
51. Nervöse Menschen brauchen viel Ruhe.
52. Unser Treffpunkt: Zwei Uhr am Neumarkt.
53. Heute jeder Strauß Blumen zwei Mark.
54. Du begrüßt erst Deinen Gast.
55. Schnupfen stört uns natürlich sehr.
56. Unsere Söhne lieben flotte Tänze.
57. Können Sie mir bitte das Buch ausleihen?
58. Ich hätte gerne ein Brötchen mit Schinken und Käse.
59. Das öffentliche Verkehrssystem in Berlin ist sehr gut.

## 60. M öchtest du lieber Tee oder Kaffee trinken?

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# Unraveling the Mistakes: An Analysis of Student Errors in Translating Literary Texts

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**Abstract**—The aim of this paper is to analyse the translation performance of German students at the University of Prishtina when translating literary texts from German into Albanian. The paper focuses on the question of whether errors occur during the translation process in the areas of grammar, orthography, semantics, and sentence structure, including possible interference errors between the two languages. These errors may arise due to uncertainties, carelessness, or the influence of other languages. The interference of German manifests itself primarily in the lexical level and sentence structure. If the languages have differences in sentence structure, this interference leads to grammatically incorrect sentences. An interference of Albanian is also noticeable, primarily on a pragmatic level, which is mainly determined by the cultural context. Errors are a characteristic feature of foreign language learners. They are a phenomenon that affects not only foreign language learners but also native speakers. This paper analyses and classifies the errors that German students at the University of Prishtina make when translating by applying the theoretical, analytical, and contrastive methods in the translation of literary texts.

**Index Terms**—translation of literary texts, error analysis, interference, sentence structure

## I. INTRODUCTION

When learning a foreign language, learners come into contact with basic grammatical features and characteristics of the foreign language that were previously unknown to them. When teaching German as a foreign language, an attempt is often made to establish equivalence between the mother tongue and the foreign language, especially in grammar lectures. In translation, it is also important to identify and convey equivalent words, phrases, and structures between the two languages. This applies in particular to the translation of literary texts. In this context, Liedke (2018) deals with language skills. Her book aims to address the purposes of translation in various interpreting and translation situations as well as possible strategies that can be used.

The empirical part of this paper contains an error analysis based on a literary text translated from German into Albanian. The target group for the analysis were third-year students of German studies. Before starting their German studies at the University of Prishtina, the students learned German either at school, by attending language courses, by watching television, or (a few of them) in German-speaking countries. The Albanian language is their mother tongue and family language, while German is perceived as the written language and dominant language of communication at the university. In the discussion about the dominant language, reference is made to the definition by Steinbach et al. (2007, p. 120), which defines a dominant language as a lexically and grammatically developed language, and the language of preference is the language that is preferably used. It is emphasized that the dominant language can change dynamically.

The focus of this paper is to analyse the orthographic, morphological, and syntactic errors that occur in the translation of literary texts. The translated texts are analysed in detail in order to identify the errors and to ascertain which types of errors are most common among students.

This paper examines whether the students of German studies at the University of Prishtina make interference errors when translating from German into Albanian. The term interference is used when an assumed structural transfer leads to errors because the first and second languages differ in said structure (Rothweiler, 2007, p. 112).

## II. RESEARCH QUESTIONS AND METHODS

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The introductory theoretical part of the paper offers a detailed explanation of the term “error”, focusing on the analysis of errors in the context of translation. The types of errors that occur during the process of the transfer from one language to the other are also discussed. This is followed by a description of error analysis and interference.

The second part of the paper, which consists of the empirical part, contains a detailed error analysis based on translated literary texts that were translated by third-year students. These students of German Language and Literature at the University of Prishtina “Hasan Prishtina” should have reached the B2 level of the German language. The age range of the participants is between 20 and 22 years.

The research questions of this paper are:

- What types of errors occur most frequently in the translation of literary texts from German into Albanian by students of German studies?
- Are these errors due to a lack of linguistic competence, ambiguity, carelessness, or interference?
- Or are they perhaps due to a lack of general knowledge and/or context?

In order to answer these questions, an analysis of the texts translated from German into Albanian is made to identify errors that occur and to classify them according to orthographic, morphological, syntactic, semantic, and pragmatic errors. Since the aim of this paper is to identify the errors that students make when translating literary texts, a text segment from the novel *Siddhartha* by Hermann Hesse was chosen for the translation. *Siddhartha* is part of the required reading list during the studies and third-year students are expected to have read it. The selection of this text therefore takes into account the importance of contextual understanding for literary translation. A short part of the said text, which provided most of the material for the analysis is presented in this paper and consequently the errors made in this part of the text are analysed:

Siddhartha ging zum Kaufmann Kamaswami, in ein reiches Haus ward er gewiesen, Diener führten ihn zwischen kostbaren Teppichen in ein Gemach, wo er den Hausherrn erwartete.

Kamaswami trat ein, ein rascher, geschmeidiger Mann mit stark ergrauendem Haar, mit sehr klugen, vorsichtigen Augen, mit einem begehrliehen Mund. Freundlich begrüßten sich Herr und Gast.

»Man hat mir gesagt«, begann der Kaufmann, »daß du ein Brahmane bist, ein Gelehrter, daß du aber Dienste bei einem Kaufmann suchst. Bist du denn in Not geraten, Brahmane, daß du Dienste suchst?«

»Nein«, sagte Siddhartha, »ich bin nicht in Not geraten und bin nie in Not gewesen. Wisse, daß ich von den Samanas komme, bei welchen ich lange Zeit gelebt habe.«

»Wenn du von den Samanas kommst, wie solltest du da nicht in Not sein? Sind nicht die Samanas völlig besitzlos?«

»Besitzlos bin ich«, sagte Siddhartha, »wenn es das ist, was du meinst. Gewiß bin ich besitzlos. Doch bin ich es freiwillig, bin also nicht in Not.«

»Wovon aber willst du leben, wenn du besitzlos bist?« (Hesse, 1974, p. 68)

The empirical analysis in this paper includes error identification, error classification and error causation. In order to achieve an accurate result, each error in the text is analysed and noted individually. The different types of errors have been found, and the causes are then presented using a qualitative analysis.

### III. LITERATURE REVIEW

Translation studies is a wide-ranging field of study that in itself attracts an enormous influx of researchers from various disciplines, such as literature and literary studies, (example: *The Poet's Other Voice: Conversations on Literary Translation* by Honig, 1985; *Translation Studies at the Interface of Disciplines* by Duarte et al., 2006) history and politics (example: *Translating Political Discourse: A Critical Review of Studies in Western and Chinese Contexts* by Sun & Subramaniam, 2023), cultural studies (example: *Culture-loaded Words and Translation Equivalence* by Zhou & Hua, 2021), translation technology (example: *Handbook of Natural Language Processing and Machine Translation* by Olive et al., 2011; or *Computer-Assisted Interpreting Tools: Status Quo and Future Trends* by Guo et al., 2022), etc. Researchers in translation studies have also pondered the question if one can teach literary translation and proposed various methods aiming to facilitate the process of literary translation in higher education as for example the work of Bush and Malmkjaer (1998). This paper focuses on a more linguistic approach, but ultimately also including the literary perspective (discipline).

As already mentioned, the largest group of students learned German either at school, by attending a language course, or by watching television. Only a few third-year students had a connection to German-speaking countries, either by birth or school attendance. Albanian is the official language of Kosovo and the family language of the students. German on the other hand is not only a language of study, but also a professional language for most of the students, as they work during their studies, either as German teachers in private language schools or in a call centre. The German language therefore functions as the dominant language and as a “commodity on the market”<sup>1</sup>. Most students have learned German as young adults. When acquiring a second language at a later stage, it can be observed that in most cases the language can no longer be learned at a native speaker level (Liedke & Riehl, 2018, p. 12). Especially in the area of

<sup>1</sup> The language industry, which includes interpreting, translation, speech recognition, proofreading and the localisation of global offerings, is concerned with a broader range of languages (Busch, 2013, p. 140).

morphosyntactic structures, it can be noted that those structures that are the least salient (i.e. conspicuous) are learned less as the age increases (in German, this applies in particular to case endings) (Riehl, 2016; in Liedke & Riehl, 2018, p. 12).

The GÜM<sup>2</sup> method is considered outdated for foreign language learning (Liedke, 2018, p. 68) and is not used by our students in the context of language learning or translation. The German department offers a range of translation courses. From the second year onwards, students can attend various introductory courses and, in later semesters, a literary translation course in which German studies students prepare for the job market as literary translators.

Many linguists have discussed and analysed the term error. According to Jung (2007, p. 50), error analysis is a description, explanation, and evaluation of linguistic errors. It makes it easier to prevent errors or to eliminate them through suitable learning and practice material. Spiller (2003, p. 35) argues that error analysis plays an important role in applied linguistics by diagnosing errors through the analysis of the main points of errors statistically and linguistically and determining the causes of errors psycholinguistically. Kleppin (1998, p. 19f) has summarised the most important definitions of linguists and language learning researchers who have dealt with the concept of error:

- A. An error is a deviation from the linguistic system.
- B. An error is a deviation from the applicable linguistic norm.
- C. An error is a violation of how one speaks and acts within a language community.
- D. An error is what a communication partner does not understand.
- E. An error is what a native speaker does not understand.
- F. An error is something that violates the rules in textbooks and grammar books.
- G. An error is what a teacher calls an error.
- H. An error is what a native speaker would not say or do in a particular situation.
- I. An error is what goes against the norm in the teacher's mind.
- J. Errors are relative. What is considered an error for one group of learners in a particular phase of a lesson is tolerated by another group in a different phase.

These definitions overlap to a certain extent. The definitions contain a different view of the phenomenon of error. The question here is: Why does one want to identify something as an error? What is the purpose of it?

Following Huneke and Steinig (2013, p. 238), an error can provide important information about which linguistic elements have already been stored in the learner's linguistic system and which elements have not yet been processed. Errors can also indicate that the acquisition of a linguistic element is in the process of being initiated by the learner making and testing hypotheses about it.

In defining the term error, almost all aspects of language are included. According to Kleppin (1998, p. 42f), errors can be categorised as follows:

- Phonetic/phonological errors (pronunciation or orthographical errors)
- Morphosyntactic errors (morphology and syntax, e.g. verb conjugation errors, sentence structure errors, etc.)
- Lexico-semantic errors (wrong word in a certain context and/or change of meaning).
- Pragmatic errors (a break in style, an utterance that is not appropriate in the situation in question, a culturally inappropriate behaviour).
- Content errors (an incorrectly formulated statement, e.g. *Berlin is in southern Germany*).

In order to better understand this term and to find out the cause of the errors, it is useful to carry out an error analysis. Chlosta et al. (2008, p. 273) divides the error analysis into four important steps, which are also followed in this paper: Error Identification, Error Levels and Error Classification, Error Causation, Error Evaluation. Linguists are fairly unanimous about the structure of error analysis.

Error assessment is very important in foreign language teaching. "Grammatical errors generally have less of an impact on comprehension than lexical errors. As a general rule, even if there is a grammatical error, it is usually possible to understand what the learners intended to say. When there are lexical errors the meaning is often not clear. Pragmatic or content-related errors can lead to misunderstandings to an even greater extent" (Kleppin, 1998, p. 67).

The aforementioned errors may occur because of language interference, which is primarily evident in the morphosyntactic level. Syntactic interference refers to the insertion of sentence patterns from one language into another. In order to begin the error analysis, the errors must first be identified and then classified. "An error is a deviation from the linguistic system [and also], a deviation from the applicable linguistic norm" (Kleppin, 1998, p. 20). An essential aspect of error analysis is identifying the causes. The cause of errors can be the influence of the mother tongue or foreign language, the influence of elements of the foreign language itself - overgeneralization, regularization, simplification, the influence of communication strategies, the influence of learning strategies, the influence of elements of foreign language teaching - transfer of practice and/or the influence of socio-cultural factors. (Kleppin, 1998; Harden, 2006; Rösler, 2012). Rösler (2012) also deals with the causes of errors, which he categorizes as follows: interference, overgeneralization, competence- and performance errors. He classifies the errors according to the subject matter: a distinction is made between pronunciation errors, vocabulary errors, grammatical errors, pragmatic errors, or errors relating to factual inaccuracy.

<sup>2</sup> Grammatik-Übersetzungs-Methode /Grammar translation method

## IV. RESULTS AND DISCUSSION

The aim of this paper is to see how the students perform when faced with a slightly more difficult task, namely the translation of literary texts. The analysis of the students' translations revealed errors in various linguistic fields, such as: morphosyntactic, lexical-semantic and pragmatic. The reasons for the errors seem to be different, namely: interference, linguistic incompetence, lack of general knowledge, etc. Students of the Department of German Language and Literature are fairly good at communicating in German language, but this analysis shows that they do lack linguistic competence.

The analysis of the texts translated by the students revealed that most of the errors were of a grammatical nature and occurred in the morphological-syntactic area, e.g. the verb in the wrong person, e.g.: *shkoj =gehe / 'I go'*, instead of *shkoi = geht / 'he goes'*. Since the difference between the ending of the verb in the first and third person (j/i) is not easily recognizable in speech in the Albanian language, this can lead to a generalization of the use of the verb form in writing as well.

The analysis found that the nouns were also translated incorrectly in many cases, often using the plural instead of the singular: (*kryefamiljar ë* or *t ëzot ë e sht ëpis ë = die Hausherren / 'masters of the house'*, instead of *kryefamiljari* or *t ëzotin e sht ëpis ë = den Hausherrn / 'the master of the house'*). The reason for this could be the confusion of the N-declination with the plural ending. The N-declination is a characteristic of the German language. In this declination-type all the nouns take the ending *-n* or *-en*, in all the cases in singular and plural, except in nominative singular.

The use of the wrong tense is also evident. Instead of the aorist, the continuous present tense is often used, e.g.: *po e p ërcjellin = f ùhren / 'he is being directed'*, instead of *e p ërcollen = f ùhrten / 'he was directed'*.

Even though the Albanian language has two tenses for the German *Präteritum* (aorist and imperfect), the students tend to use the present continuous most probably because the verb *f ùhren* itself describes a continuous action.

In this case, the verb is incorrectly translated with the passive instead of the active: *ësht ë drejtuar = ist gef ùhrt worden / 'has been directed'*, instead of *e çonin, e drejtuan = f ùhrten / 'was directed'*. The students thus emphasise the action and not the subject which does not correspond with the sentence in the original, an error that may have occurred because of carelessness, which also leads to the use of the wrong preposition; the preposition with a local function has been used instead of the preposition with a directive function: *mes = in, in der Mitte / in, in the centre* instead of *p ërgjat ë = entlang / 'along'*. This is an overgeneralization, and the use of the passive voice in this case may have been intended to make the text sound more sophisticated and closer to standard Albanian.

It is noted that the students used incorrect adjective cases, like in: *tek nj ë sht ëpi t ë pasur = [...] in einem reichen Haus/ 'he went to a rich house'*. In Albanian the preposition *te/tek* 'to' requires the nominative case. In this example it was translated in the dative case. The translation should read: *E drejtuan te nj ë sht ëpi e pasur = [...] in ein reiches Haus ward er gewiesen/ 'He was sent into a rich house'*.

In many cases students also confuse the object with a subject: *ku aty e priste zot ëriu i sht ëpis ë / ku e priste i zoti i sht ëpis ë = wo ihn der Hausherr erwartete / 'where the master of the house awaited him'*. The correct translation would be: *ku e priste t ëzotin e sht ëpis ë = wo er den erwartete / 'where he awaited the master of the house'*. The error can be categorized as a pragmatic error, possibly made out of carelessness, as the students assumed that the host is normally the one who receives the guest, and not the other way around, characteristic especially in Albanian culture. Another pragmatic error that possibly occurred because of cultural interference is that most students mistakenly translated an adjective that is not commonly used in the Albanian culture to describe men's features. Therefore, in this case they confuse the subject with the object e.g.: *Gojë për lakmi, gojë tërheqëse = mit einem begehrliehen Mund / 'with a desirable mouth'*, as: *gojë për të lakmuar, gojë lakmuese, me gojë lakmitare = Ein Mund, der (etwas) begehrt / 'a greedy mouth'*. The students understand from the sentence that the man is the one who desires, not the desired one.

Furthermore, there are even cases in which an additional person is inserted as subject, turning the subjects into objects: *I përshendeti për zem ërsisht zot ëriun dhe musafirin = Er begrüßte herzlich den Herrn und den Gast / 'He greeted the host and the guest warmly'*. Instead of: *U përshendet ën për zem ërsisht i zoti i sht ëpis ë dhe musafiri = Freundlich begrüßten sich Herr und Gast. / 'The host and the guest greeted one another friendly'*. Another translation even adds an object that is greeted by the subjects: *Shoq ërsisht e përsh ëndet ën at ë i zoti dhe musafiri = Freundlich begrüßten ihn Herr und Gast / 'The host and the guest greeted him friendly'*. The insertion of another subject and/or object is possibly due to the fact that the students did not understand the German reciprocal pronoun *sich*.

As for the morphosyntactic challenges, there are not only problems between object and subject, but also incorrect use of mode or number, e.g.: *Wisse/ 'know that'* is translated as: *e di, a e dini se = Ich weiss, wissen Sie dass, ... / 'I know, do you know that ...'*. As the example shows the students used the indicative or even the interrogative form instead of the imperative, due to lack of grammatical competence.

There is also another category of error to be detected: students tend to translate some words into the Kosovar variety of Albanian and not in the standard Albanian. For example: *musafir* instead of *mysafir = Gast/ 'guest'*. Not sufficient competence in standard Albanian may be another source for errors.

Many errors also become evident in the translation of nouns from German into Albanian. The reasons for this seem to be manifold, such as interference, a lack of general knowledge and/or context. For example, it is noticeable that, the students who didn't read the novel, don't use the correct terms in Albanian for the concepts *Brahman* and *Samanas*, but try to find Albanizations or adapt the terms into Albanian. We can detect an interference from the German language, as

common nouns are often capitalised, which contradicts the grammar rules in Albanian. The translations come in the following forms, for example: *Samanas, Samanëve, Samana, Braham, Brahame, Brahamas, Brahmas*. Interference is also observed with the known names, as: *Zotëria dhe Musafiri, Kryefamiljarë, Zotriu, Tregtari* etc. = *Herr und Gast, Hausherren, Herr, Kaufmann* / 'Host and Guest', 'Masters of the House', 'Merchant', etc. The linguistic incompetence in the German language is particularly noticeable when even a name such as *Kaufmann – Merchant* is left in the original and not translated at all but is regarded as a proper noun.

In some cases, what Kleppin (1998) characterizes as morphological errors, such as *Brahman* and *Samanas*, where the students use non-existent forms of nouns, cause lexico-semantic problems. The fact that the students did not understand these words is best demonstrated by the way they translated the noun *Samanas*. There are cases where the students used the relative pronoun in the singular: *te i cili = bei welchem* / 'to which' and thus changed the meaning of the sentence by considering *Samanas* as a person or even a place, which is shown by the use of the local preposition *në të cilin kam jetuar shumë gjatë ku kam jetuar = wo ich lange gelebt habe* / 'where I lived for a long time'. The translation should have been: *me të cilët kam jetuar gjatë = bei welchen ich lange Zeit gelebt habe* / 'with whom I have lived for a long time'.

It can be observed that the students had doubts when translating derived words, such as *ein Gelehrter/a scholar* and *freiwillig/voluntarily*, because they focused on the meaning of the basic form of the word. For example, with the word *ein Gelehrter* they focus on *lernen* and the translations then read: *i shkolluar, i mësuar, një nxënës = gebildet, ein Student* / 'educated', 'a student'. On the other hand, with the word *freiwillig* the focus is on *frei* and often is translated as follows: *jam i lirë = Ich bin frei* / 'I am free'. We also find errors of a lexical-semantic nature when students, because they do not understand a group of words, try to fit them into the context of a sentence and thus change the meaning, for example: *ward er gewiesen = 'he was directed'* is translated as *ku ishte rritur = wo er aufgewachsen ist* / 'where he grew up', or *in ein Gemach = in a room* is translated as *në rehatinë e tij = in seiner Bequemlichkeit* / 'in his comfort'.

In addition to the errors mentioned above, we come across many pragmatic errors. For example, the expression *ich bin nicht in Not geraten*, the word *Not* is translated as: *nuk jam në urgjencë = ich bin nicht in Dringlichkeit* / 'I am not in urgency'.

Apart from the examples mentioned above, the interference of German on the Albanian language can be seen in the use of verbs. Interference can be observed in the position of the verb, in the tense and even in the use of the auxiliary verbs. For example, the sentence: *Ich bin nicht in Not geraten* is translated as: *nuk jam rënë në varfëri = Ich bin nicht in Armut geraten* / 'I am not in poverty', which follows the verb *bin*, that is *ich bin* / 'I am' in German. The interference is also observed in the syntactic aspect. The syntactic interference can occur mainly in subordinate clauses in which the finite verb appears at the end of the sentence in German, because in Albanian the finite verb usually occupies the second position. For example, [...] *wo er den Hausherrn erwartete* is translated as: [...] *ku ai tëzotini e shtëpisë e priste = [...] / 'where he the master of the house awaited', with the verb priste = erwartetel 'awaited' in the last position, corresponding to the sentence structure in German. In this example the interference is also noticeable in the use of the verb form, where the student has decided for the imperfect form influenced by the German ending -te, priste instead of priti, which can lead us to morphological interference. This becomes more emphasised because the Albanian language has two forms of past simple tense, namely aorist and imperfect, while German on the other hand only has one, namely Präteritum. In the aforementioned example the interference of the German language is noticeable also in the unnecessary use of the personal pronoun ai e.g. ai e priste = er erwartetel 'he awaited'. "In Albanian, due to their functional and semantic determination in the functions of the subject, the direct and indirect object, the personal pronouns can always be omitted if they do not need to be particularly emphasized due to contextual or constitutive conditions. The omission is also based on the fact that the verb form reflects certain grammatical features of the subject (in the personal ending) and the object (in the object sign)" (Buchholz & Fiedler, 1985).*

As far as the semantic aspect is concerned, the use and translation of the modal particle *denn* plays an important role. The use of *denn* in the original sentence in German emphasises the question and conveys more emotion. The students have not translated this particle but decided to omit it altogether. This shows that they either did not recognize its meaning in German or did not consider the emotional tone of the text important.

As can be seen from the above examples, in most cases students make errors of a morphosyntactic or lexical-semantic nature when translating literary texts. As a result, the sentences take on a different meaning in the translated language, leading to a lack of textual coherence. There are also cases where a sentence becomes completely incomprehensible due to numerous errors, for example:

*Siddhartha shkoj tek tregtari Kamaswami, ai është drejtuar tek një shtëpi të pasur. Shërbi të shpiu atë ndërmjet qilimave të çmuesh në për një dhomë ku ai e priti Zotin e shtëpisë = Siddhartha geht zum Kaufmann Kamaswami, er ist gewiesen zu einem reichen Haus, der Diener führte ihn zwischen kostbaren Teppichen zu einem Zimmer, wo er den Hausherrn erwartete. / 'Siddhartha goes to the merchant Kamaswami, he is been sent to a rich house, the servant led him among precious carpets to a room where he awaited the master of the house'.*

In this sentence the errors in Albanian are: wrong verb form (*shkoj*), unnecessary use of the pronoun (*ai*), wrong number (*Shërbi të shpiu*), wrong case (*qilimave*), wrong capitalisation (*Shërbi të shpiu, Zotin*).

In this paper, the translation of a literary text was used for the analysis, focusing on the identification of linguistic, lexical and pragmatic errors which, as mentioned above, render the text incoherent. However, due to numerous



oversights committed by the students, such as the failure to translate a word, an adjective or a particle, the stylistic nuances of the literary text are lost in the Albanian language, which in the original give emotion to the text. Thus, the finesse that Hesse's text possesses in the original does not achieve the same expressive power or sound in the translated language. When translating literary texts particular importance should be attached to an author's style because literary translation "is a translation which involves style as much as meaning and in which the style cannot realistically be separated from the meaning" (Boase-Bier, 1998, p. 33).

## V. CONCLUSION

In conclusion, it can be said that the translation of literary texts is a challenge for the students of the German department at the University of Prishtina, be it due to a lack of linguistic competence, a lack of general knowledge, but also a noticeable influence of German language, which in most cases lead to faulty and incorrect translations. The analysis shows that morpho-syntactic errors occur most frequently in translation, such as: incorrect use of verbs, wrong tense, wrong plural form, the use of attributive adjectives, pronouns, confusing object with the subject, wrongly inserting subjects, pragmatic errors, etc. The interference of the German language is evident in the translation of nouns, which in most cases are capitalised (as in German), misunderstood, or not translated at all. The same pattern of interference can be observed in the use of personal pronouns. Students use the same ones in Albanian as in German, although in most cases they are unnecessary, as their function in Albanian is derived from the verb endings or from the short form of the personal pronouns. In some cases, interference also led to syntactic errors, for example, the students transferred the structure of the sentence from German into Albanian, thus mostly putting the verbs in the wrong positions. The interference is not only to be observed from German into Albanian, but also vice-versa. As seen from the examples, cultural interference can also be a reason for translating errors. As far as the lexico-semantic aspect is concerned, the students in some cases used the wrong words and thus changed the meaning, or did not translate them at all, as is the case with the modal particle *denn*. Some of the mistakes made by the students can be classified as competence errors, due either to a lack of general or linguistic competence, but some of them can be classified as performance errors. This means that the students made these errors out of carelessness and when given the time and opportunity to check their translations, they noticed and corrected them. For example, the errors in capitalising the nouns or the confusion of the subject with the object because of the reciprocal verb.

In cases where students do not understand some of the words, the translated text loses coherence and meaning. This could be because their vocabulary in German is simple and has not yet reached the academic level and therefore they have difficulty understanding the complexity of literary texts and translating them. However, even if they have sufficient knowledge of the German language and translate most of the words correctly, they do not succeed in transferring the author's style into Albanian.

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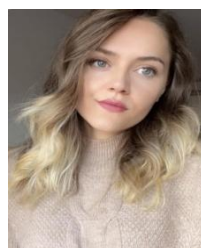
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# The Role of the Proxemic Factor in the Implementation of the Cooperative Strategy of Communication in the English Fairy Tale Discourse

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**Abstract**—The functional and communicative potential of proxemic components is investigated in this article on the basis of the English fairy tale discourse. The interaction of proxemic components and verbal communicative components is taken into consideration. The regularities of the influence of proxemic means on the fairy tale speakers' achievement of communicative goals within the cooperative communicative strategy are established, and the discursive personality's tactical toolkit for its implementation is identified. The modulation of distance between fairy tale speakers and the change of a fairy tale speaker's posture in relation to his/her communicative partner are the most communicatively significant and effective proxemic means used in the process of communication. Insufficient diversity in the repertoire of proxemic components in comparison with other nonverbal components is their characteristic feature. As a result, proxemic components are frequently used in combination with kinesic and prosodic communicative components, accompanying the verbal components in the utterances of fairy tale speakers. In this way the strengthening of the semantic load of a fairy tale speaker's utterance takes place. The proxemic components are also used by a fairy tale discursive personality for more effective implementation of various communicative tactics within the frames of the cooperative communicative strategy in the English fairy tale discourse.

**Index Terms**—cooperative strategy, fairy tale discursive personality, proxemic component, tactics

## I. INTRODUCTION

The current level of linguistics development enables and emphasizes the need to study both linguistic and non-linguistic components of communication. This provides an opportunity to understand and interpret the regularities of the language system at a deeper and more adequate level. Human communicative activity is related to space, the feeling of which is a synthesis of many sensory signals produced by visual, auditory, kinesic, olfactory and thermal perception systems. Therefore, effective command of language, as well as effective usage of nonverbal means, in particular – proxemic nonverbal components, provide the successful communicative interaction. Thus, in the middle of the 20th century, while studying the everyday behavioural patterns of individuals, the famous scientist Edward Hall identified the presence of personal space (Hall et al., 1968), which arises during person-to-person interaction. The beginning of the communicative process involves the creation of a common communicative space by the speakers, which includes the personal space of each speaker (Soloshchuk, 2009). The speaker uses proxemic components, which denote the changes in his/her personal space within the common communicative space in order to implement certain communicative intentions and exert an effective influence on the communicative partner (Virotenko, 2011, 2017).

Achieving communicative influence on the addressee with the help of proxemic components and the regularities of their functioning in various types of the English discourse are actively studied nowadays. In this research, the English fairy tale discourse, the importance of which is highlighted and substantiated in the works of modern linguists (Antonova & Neshko, 2017; Bahatska & Kozlova, 2018; Bottigheimer, 2009; Chaiuk, 2017; Glazer & Williams, 1979; Kishchenko, 2017; Mamonova, 2019; Tsapiv, 2019, 2020; Yefymenko, 2017, 2018) is analyzed. The **relevance** of the research of this type of discourse is supported by significant influence of fairy tales on children's socialization. Fairy tales turn out to be one of the initial sources for learning about real life and mastering the laws of communication. Knowledge and impressions received in childhood are firmly established and fixed in the associative-verbal domain of the discursive personality, subsequently influencing the way an adult speaker perceives reality. They also influence the choice of communicative strategies and tactics implemented by speakers in their activities (Chaiuk, 2017). Nevertheless,

there still exist unresolved issues related to the functioning of the proxemic system in the English fairy tale discourse. This fact explains modern scholars' growing interest in researching the phenomenon of the proxemic code.

The results of the studying of fairy tales permits to accept the fairy tale speaker as a fully-fledged and developed discursive personality: a fairy tale discursive personality (further – FTDP). The analysis of verbal and nonverbal components of communication within the frames of the cooperative strategy in the English fairy tale discourse contributes to the development of the theory of interaction of different code systems, which confirms the significance of this research. The **aim** of this paper is to underpin the foundation for studying the proxemic means of communication, thus establishing their communicative potential and their influence on the tactical variability of implementing the cooperative strategy in terms of lexical, semantic and structural content in various discursive situations. In order to reach the stated objective of this paper, **the methods** of discursive and pragmatic analysis are used.

The **object** of this research is presented by the proxemic communicative components in combination with verbal and other nonverbal components (kinesic and prosodic) in the English fairy tale discourse. The **subject** lies in the establishing the pragmatic characteristics and regularities of functioning of the proxemic components in combination with verbal and nonverbal components of communication. **The material** for the analysis includes 445 discursive fragments containing proxemic components from fairy tales by British and American authors.

## II. THEORETICAL BACKGROUND

The interaction takes place in the space that has a significant impact both on the process of communication itself and its outcome. Space is one of the most significant realities of human existence since it is structured around a person, and the communicative interaction itself takes place directly in it (Virotschenko, 2017).

Discourse presents a multifaceted complex combining human verbal activity and extralinguistic factors (Shevchenko & Morozova, 2005). Extralinguistic factors include the spatial plane in which the communicative interaction takes place, and the nonverbal behaviour of discursive personalities, including their movement in this space (Virotschenko, 2011, p. 7). Therefore, space is one of the high-priority components in any type of discourse, including the English fairy tale discourse.

Based on observations of communicative situations and Hall's axioms, we analysed the interaction of fairy tale discursive personalities in four spatial zones: intimate, personal, social and public (Hall et al., 1968). According to L.V. Soloshchuk, in the process of communication in these spatial zones, the FTDP can interact within the frames of three types of the discursive surrounding: nuclear, marginal and peripheral (Soloshchuk, 2020, p. 56).

The intimate zone of communication, which is one of the most important in the life of a human being, mostly involves the nonverbal components of communication (Hall et al., 1968). The main communicative partners in this spatial zone are permanent communicative partners from the FTDP's nuclear discursive surrounding (Soloshchuk, 2009). This type of discursive surrounding of FTDP includes fairy tale characters performing social roles of husband and wife, lovers, parents, children, close friends, etc.

The interaction in the personal zone of communication depends on the individual traits and the communicative style (Hall et al., 1968) of a fairy tale discursive personality. Keeping a personal distance, fairy tale discursive personalities interact under various communication conditions with representatives from the nuclear and marginal spheres of the discursive surrounding (Soloshchuk, 2009). In comparison with those in the nuclear discursive surrounding, the representatives of the marginal zone do not belong to the permanent communicative partners of FTDP, and usually perform social roles of the FTDP's distant relatives, friends, acquaintances, and colleagues (Soloshchuk, 2009). The fairy tale process of communication in this case takes place, for example, at royal parties, balls and at official meetings in different institutions.

The interaction in the social zone involves communication of a FTDP with fairy tale communicative partners with whom a FTDP only begins to develop the communicative contacts (Hall et al., 1968), and, thus, they constitute the peripheral discursive surrounding of a FTDP (Soloshchuk, 2009).

Functioning in the public zone involves keeping a distance between a fairy tale discursive personality and a large number of people. For example, the FTDP could speak in public before a large crowd of people including different fairy tale characters. The effectiveness of communicative interaction in this zone requires a louder voice, a reduced rate of speech and a formal communication style (Hall et al., 1968).

The factors determining the FTDP's choice of a spatial zone for interaction include the level of the development of mutual relations between fairy tale discursive personalities (the greater is the sympathy between the partners, the smaller is the distance between them); the personal characteristics of a FTDP (possible intolerance to a very close distance, social status, etc.); the fixed national traditions and culture, which the FTDP presents; a FTDP's age and gender (age determines communication between fairy tale discursive personalities and their discursive surrounding in the vertical area, while gender puts communicative relationships in the horizontal area).

Violation of the personal space of FTDPs, such as interference with the intimate zone, can negatively affect both their emotional state and the effectiveness of the communicative process as a whole, which may lead to a conflict. The defined placement of FTDPs during communicative process will set the stage for the cooperative communication in the fairy tale discourse. Otherwise, the FTDP suffers from the resulting physical, psychological, and cognitive barriers

(Dailey, 2017). The proxemic barrier, which turns out to be one of the strongest communicative obstacles, may prevent fairy tale communicators from effective cooperation (Dailey, 2017) and achieving their communicative intentions.

Thus, the proxemic factor, as a regulator of relationships, is an integral part of communication (Hall, 1959, p. 205), in which fairy tale discursive personalities are the main participants; it adjusts the tone of communication and affects its comfort and efficiency (Martynova, 2016, p. 267) while reaching the set communicative goals. During direct communication, fairy tale discursive personalities perceive the characteristics and differences of each other's proxemic behaviour. Proxemic components interact with verbal components in accordance with the coordination principle (Soloshchuk, 2006), which contributes to the expansion of basic communicatively significant information, increases the effectiveness of communication in terms of saving time, and increases the probability of a fairy tale addressee perceiving and interpreting the information adequately (Virotenko, 2011).

### III. RESULTS

The proxemic components, in combination with kinesic and prosodic communicative components, accompany the verbal utterances of the FTDP, strengthening their semantic load (Soloshchuk, 2020). The proxemic components are used by FTDPs to implement a) the tactic of awakening interest and emphasizing the addressee's attention (33% of the entire set of tactic samples implemented by proxemic means), b) the tactic of calming down the addressee (31%), c) the tactic of demonstrating obedience and submission without conflict-oriented threat (22%), and d) the tactic of persuading and convincing the communicative partner (14%).

In situations where a FTDP expresses the interest to the subject of speaking or is stimulated to think or act, the incorporation of proxemic means serves as the auxiliary tool for implementing the tactic of awakening interest and emphasizing the addressee's attention. The proxemic code is usually used in combination with other nonverbal codes. Under such conditions, a fairy tale discursive personality violates the addressee's communicative space by reducing the distance between them and getting closer to the communicative partner. The information transmitted through the verbal channel has a secret, confidential nature, and the proxemic factor contributes to the strengthening of its illocutionary force. A typical toolkit for the implementation of this tactic is the combination of the proxemic component and the prosodic one, presented by the regulation of the volume of speech. In this case, the information is presented by a quiet and calm tone and a slow and intelligible manner of speaking. In example 1 it is demonstrated that, in an effort to stir his grandson's interest, Grandpa Joe interrupts his verbal expression, shortens the distance to Charlie, the addressee, and lowers the volume of his voice tone, thereby creating the conditions for the culmination of their communicative interaction:

(1) *“And I'll tell you something else that's true”, said Grandpa Joe, and now he leaned closer to Charlie, and lowered his voice to a soft, secret whisper. “Nobody... ever... comes... out!” “Out of where?” asked Charlie. “And... nobody... ever... goes... in!” “In where?” cried Charlie. “Wonka's factory, of course!” “Grandpa, what do you mean?” “I mean workers, Charlie.” “Workers?” “All factories”, said Grandpa Joe, “have workers streaming in and out of the gates in the mornings and evenings – except Wonka's!” (Dahl, 2010, p. 28).*

In example (2) it is demonstrated that in order to get Charlie interested in their interaction, Grandpa Joe produces the directive speech act (*'Listen!'*) and subsequent declarative speech acts (*You can hear the machines! They're all whirring again! And you can smell the smell of melting chocolate in the air!*). However, before transmitting the more mysterious information, the grandfather joins the grandson's personal space (*leaned forward*), introducing the proxemic component into the communicative process. The kinesic contact component (*laid a long bony finger*) and prosodic component (*said softly*) contribute significantly to increasing the effectiveness of the old man's influence and reaching the communicative goal:

(2) *“Listen! You can hear the machines! They're all whirring again! And you can smell the smell of melting chocolate in the air!” Grandpa Joe leaned forward and laid a long bony finger on Charlie's knee, and he said softly, “But most mysterious of all, Charlie, were the shadows in the windows of the factory. The people standing on the street outside could see small dark shadows moving about behind the frosted glass windows”. “Shadows of whom?” said Charlie quickly. “That's exactly what everybody else wanted to know” (Dahl, 2010, p. 30).*

The fact that Grandpa Joe's communicative goal has been achieved is signalled by the interrogative constructions produced by the addressee (*Shadows of whom?*); Charlie became interested in the information presented by Grandpa Joe. The fast pace of speech indicates the wish to learn the secret information faster.

When implementing the tactic of awakening interest and emphasizing the addressee's attention, an effective proxemic component is presented not only by reducing the distance between him and addresser, but also by changing the addresser's posture in the communicative space. The communicative goal in this case lies in drawing the addressee's attention to a certain object or process. In example (3) it is demonstrated that Charlie cautiously performs the suggested action reacting to his grandmother Georgina's requests (*Open it, my dear*) and her manipulative pleas (*You're making me jumpy*), which are typical for the representatives of the nuclear zone of the discursive environment as they are closely related to each other and aware of each other's behavioural patterns (Soloshchuk, 2020, p. 56). The grandparents minimize the distance and change the postures of their bodies in the bed, stretching their necks in order to

focus the boy's attention on the process of unwrapping the gift and the gift itself. The modification of the grandparents' postures contributes to the strengthening of the expressiveness of their interest:

(3) "You'd better go ahead and open it up, or you'll be late for school", Grandpa Joe said. "You might as well get it over with", Grandpa George said. "Open it, my dear", Grandma Georgina said. "Please open it. You're making me jumpy." Very slowly, Charlie's fingers began to tear open one small corner of the wrapping paper. The old people in the bed all leaned forward, craning their scraggy necks" (Dahl, 2010, p. 39).

In the course of performing the social roles of spouses, parents, grandparents or children, FTDPs act within the nuclear zone of the discursive environment (Soloshchuk, 2009). The nuclear zone of the discursive environment is characterized by a high degree of awareness of the partners' communicative behaviour, especially those using proxemic means, and a high degree of trust in relationships during the communicative activity (Soloshchuk, 2009, p. 96). Getting closer to a communicative partner, minimizing the distance, and entering each other's personal space in the nuclear zone during the cooperative communication are influential means for implementing the tactic of calming down the FTDP. The characteristic formats for verbal utterances are quesitive and commissive speech acts. When Joe, who was in love with the princess, saw her in tears, he approached her and expressed his desire to help and to solve her problem:

(4) "Here he found nobody at all but a lovely girl in tears. In her white dress, with her lemon-coloured hair, she reminded Joe of his Clumber Pup. He could not bear to see her in trouble, so he approached her and said, "If it's a hurt, show me, and perhaps I can heal it". The girl checked her sobs enough to answer... "I have lost my kitten", said the girl, and began to cry again. "I will give you my kitten in its place", said Joe (Farjeon, 2016, pp. 28-29).

The situations when the FTDP lets his communicative partner get into his personal space and permits him to break it without feeling discomfort indicates trust and close relationships. In example 4, a proxemic component produced by Joe influences the princess positively: Joe's close location frees her from negative emotions for a certain period of time, stopping the body's autonomic reactions (*The girl checked her sobs enough to answer*). His presence in her personal space along with verbally expressed questions to construct a plan to help (*Whereabouts? / How did it happen?*) and promises that he will solve her problem (*show me, and perhaps I can heal it / I will give you my kitten in its place*) allows the FTDP to implement the tactic of calming down the communicative partner.

The relationships between FTDPs performing social roles of parents and children in the English fairy tale discourse usually have a trusting and harmonious character. Parents, when in a communicative interaction with children, usually try to influence them in a positive way. Therefore, in cases of communication under difficult or nervous circumstances, fairy tale parents who have a reliable and strong authority over their children can effectively implement calming down tactics on their children. In example (5), Charlie is very nervous about his present. His subconscious facial expression (*smiled nervously*) and his position in the communicative space (*sat down on the edge of the bed*) demonstrate the boy's excitement. The presence of parents, namely their being very close to the boy (*came in and stood at the foot of the bed*), their verbal instructive appeals to him reinforced by prosodic means (*said gently*), Mrs. Bucket's request not to be disappointed and Mr. Bucket's demonstrative authoritative approval of Mrs. Bucket's statement give the boy the feelings of supportiveness and tranquillity:

(5) "Happy birthday!" cried the four old grandparents, as Charlie came into their room early the next morning. Charlie smiled nervously and sat down on the edge of the bed. He was holding his present, his only present, very carefully in his two hands. WONKA'S WHIPPLE-SCRUMPTIOUS FUDGEMALLOW DELIGHT, it said on the wrapper. The four old people, two at either end of the bed, propped themselves up on their pillows and stared with anxious eyes at the bar of chocolate in Charlie's hands. Mr. and Mrs. Bucket came in and stood at the foot of the bed, watching Charlie. The room became silent... Then Mrs. Bucket said gently, "You mustn't be too disappointed, my darling, if you don't find what you're looking for underneath that wrapper. You really can't expect to be as lucky as all that". "She's quite right", Mr. Bucket said (Dahl, 2010, p. 38).

An indicator of dominance and the desire to take an influential position in relation to another FTDP is also presented by a change of distance – namely its minimization – such as an invasion of the personal space of a FTDP with a less authoritative status, or a change of the posture or the spatial position in relation to another discursive personality (Bull, 1987).

The proxemic code within the framework of the constructive communication conveys a FTDP's positive attitude towards a communicative partner and the desire to impose on him the idea that it will be beneficial to him. For communication in the cooperative plane, in order to implement the tactic of persuading and convincing the communicative partner, the FTDP tries to acquire a higher position than the position of the communicative partner. It makes it possible to feel more confident, and it strengthens the content of the verbal messages. At the lexical level, the addressee appeals to the arguments and facts in the format of affirmative/negative constructions; affectionate vocatives are used as well as positively evaluative semantic units that contribute to the harmonious development of communication. Among the stylistic techniques characteristic in such situations the hyperbolized constructions are to be mentioned. To the inquisitive boy's question (*And is Mr Willy Wonka really the cleverest chocolate maker in the world?*), Grandpa Joe manifests an affectionate vocative with the possessive pronoun *my*, he rises higher on his pillow, thereby changing his position in relation to Charlie, and then produces various arguments of positive semantics:

(6) “One evening, when Charlie went in to see his grandparents, he said to them, “Is it really true that Wonka’s Chocolate Factory is the biggest in the world?” “True?” cried all four of them at once. “Of course, it’s true! Good heavens, didn’t you know that? It’s about fifty times as big as any other!” “And is Mr. Willy Wonka really the cleverest chocolate maker in the world?” “My dear boy”, said Grandpa Joe, raising himself up a little higher on his pillow, “Mr. Willy Wonka is the most amazing, the most fantastic, the most extraordinary chocolate maker the world has ever seen! I thought everybody knew that!” (Dahl, 2010, pp. 23-24).

In the situations of "superior-inferior" communicative contact, the fairy tale addressee uses the proxemic component of communication as a response, thus implementing the tactic of demonstrating obedience and submissiveness without a conflict-oriented threat. The proxemic components are combined with other communicative components, both verbal and non-verbal, at the micro- and macrolevel of their interaction (Soloshchuk, 2006). In example (7), the King establishes his dominant position with the help of negatively coloured prosodic means (*snapped the King*), tense and reproachful intonations of the verbal marker (*Learn to know your place, Selina!*). The directive speech acts addressed to the girl are quite natural for the subordinate relationship between the king and his maid:

(7) “How did you like the Princess of the North?” “Not at all”, said the King. “Wouldn’t have you, wouldn’t she?” “Learn to know your place, Selina!” *snapped the King*. “Oh, all right. Anything more?” “Yes. Unpack my bag, and pack it up again. Tomorrow I’m going to see the Princess of Southlands”. You’ll want your straw hat and your linen pyjamas”, said Selina, and prepared to leave the room. But the King said, “Er—Selina—er—er—” *She paused at the door* (Farjeon, 2016, p. 49).

After completing her duties, when Selina was about to leave the room, the king called out to the girl. The addressee had to stop at the door, showing her submission to the speaker, thus implementing the tactic of demonstrating obedience. The process of communication takes place in the vertical area, so the manner of communication does not turn cooperation into conflict.

#### IV. CONCLUSIONS

The cooperative communication between fairy tale discursive personalities using proxemic means is possible in four spatial zones: intimate, personal, social and public. The intimate and personal zones are intended for communication with permanent communicative partners who are closely related to each other and well-informed about each other’s communicative habits. In social and public zones, communicative partners of a FTDP are usually not permanent and very often new for him. All in all, the choice of the proxemic components and the distance between the communicative partners directly depend on their discursive surrounding. During the process of interaction, proxemic components are functioning effectively in combination with prosodic and kinesic communicative means, accompanying verbal components of the identical content. Fairy tale discursive personalities use these informative combinations as apt toolkits for implementing a variety of cooperative tactics: the tactic of awakening interest and emphasizing the addressee’s attention, the tactic of calming down, the tactic of demonstrating obedience and submission without a conflict-oriented threat and the tactic of persuading and convincing. Summing up the role of proxemic means, it should be noted that though they are frequently used in the process of communication and influence it greatly the repertoire of proxemic communicative components is characterized by a less variability compared to other non-verbal code systems. As a result, combinations of various non-verbal components, such as proxemic and prosodic or proxemic and kinesic, are effective, which increases their influence in achieving communicative intentions by fairy tale discursive personalities in the English fairy tale discourse.

The results achieved in this paper open up the **perspectives** for further research of the variations of verbal and nonverbal parameters of communication in terms of age and gender asymmetry of fairy tale discursive personalities.

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# Ferretting the Efficacy of Action-Oriented Approach in Indian ESL Classroom: Learners' Notion

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**Abstract**—The ‘Action-Oriented Approach’ proposes a new paradigm for teaching and learning languages, a pedagogical framework founded on the idea that language is a social practice and a tool for action. This study examines how Indian ESL students feel about AOA and its advantages in increasing English language competence among tertiary-level pupils in India. To gather data from 156 engineering stream students, including crucial key research objectives, the current study used a quantitative technique with survey instruments. Survey data were collected using a Five-Point Likert scale. The study results show that, in general, ESL students are in favour of assisting language learners to gain competency in various scenarios using an action-oriented approach. The statement "Action-Oriented Approach helps the learners to develop language proficiency in a variety of contexts" received the highest grade ( $x=4.2692$ ) from the majority of ESL learners (94.2%). Overall, this study contributes to a greater understanding of Indian language acquisition strategies. The study's outcomes highlight the benefits of implementing action-oriented approaches in ESL classes and the potential repercussions on pupils' language fluency in English the Action-Oriented Approach was deemed an outstanding technique by a large number of ESL students, particularly for improving their comprehension of English.

**Index Terms**—Action-Oriented Approach, 5-point Likert scale, social agents, survey, language literacy, English as a second language, tertiary level

## I. INTRODUCTION

The communicative approach to language learning integrates real-life exercises with vocabulary and grammatical concepts, encouraging students to actively participate in their learning environment and solve problems in broader social contexts (R & S, 2023). The most recent revision of “The Common European Framework of Reference for Languages” (CEFR) carries great importance for language teaching and acquisition. University language instructors and curriculum authors should adopt AOA to improve teaching methods (Piccardo & North, 2019). The approach to teaching and learning in universities requires a comprehensive understanding of the Architecture of Acceptance (AoA) and its principles, including instructional strategies, resources, and pedagogical interaction styles. Language classes are essential for developing students' potential and preparing them to become future leaders, ensuring a successful educational experience (Kriauciūnienė et al., 2020). In India, English is commonly taught as a second language (ESL) to facilitate social mobility, education, and communication. However, the standard of ESL instruction in India has come under criticism for being antiquated, ineffectual, and unresponsive to the requirements and preferences of the students (Kalia, 2017). The absence of suitable instructional strategies that may develop students' communicative ability and intercultural awareness in real-world and relevant circumstances is one of the primary causes of this predicament. A new paradigm for the instruction and study of languages is proposed by the action-oriented approach (AOA), a pedagogical framework that is founded on the idea that language is a social practice and a tool for action. As per AOA, students are viewed as social agents who utilise language to carry out varied activities and engage with distinct interlocutors in a range of circumstances. AOA engages students in relevant and genuine activities that reflect their passions and requirements in their personal, professional, and civic lives to build their communication ability and intercultural awareness (Council of Europe, 2001; Piccardo & North, 2019). Since AOA aligns with the Common European Framework of Reference for Languages (CEFR) and its Companion Volume (CEFR), it has been extensively embraced and implemented in many European nations. The linguistic and pragmatic abilities that learners must acquire to function correctly and successfully in a variety of contexts and domains are described in detail and cogently in the

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CEFR. Additionally, the CEFR provides a set of scales and descriptors that may be used to evaluate and certify the competency levels and advancement of learners (Council of Europe, 2001).

Large class numbers, a lack of resources, and conventional assessment techniques that fail to account for the complexity and diversity of learners' performances are only a few of the difficulties that face the adoption of AOA in Indian ESL classrooms (Rutherford, 2021). These difficulties are formidable obstacles to the effective implementation and adjustment of AOA in the Indian setting, where learners and society exhibit vast and ever-changing language and cultural variety. Consequently, it is critical to look into how Indian ESL students feel about AOA and its possible advantages for language acquisition. Attitude is a critical factor for learners' motivation, engagement, and success in language acquisition. A learner's attitude may be influenced by several things, including their learning objectives, English proficiency, and previous exposure to alternative methods. Additionally, a student's mindset may have an impact on how they see AOA and how it is used in the classroom. Therefore, ESL instructors and curriculum writers who want to implement AOA in their classrooms might benefit much by investigating students' attitudes toward the programme. The researchers of this study were eager to investigate this practice among ESL learners in India as a result of the abundance of studies on AOA and the growing interest of students in applying their English language proficiency. This study's primary contribution is the examination of ESL learners' viewpoints about language acquisition and coaching through the use of AOA.

## II. LITERATURE REVIEW

### A. Theories That Underlie the Action-Oriented Approach

The AOA emphasises the value of utilising language in real-world contexts and is based on the ideas of task-based language instruction (Council of Europe, 2001). The approach emphasises tasks that students would perform in real-world situations, such as booking a hotel room or placing an order at a restaurant. Because these activities are designed to be relevant and helpful, they provide students the opportunity to improve their language skills with a purpose (Piccardo, 2010). Action-oriented approaches offer a theoretical framework for creating successful teaching techniques in English language teaching (ELT). Action-oriented methods have their theoretical roots in Vygotsky's sociocultural theory (Vygotsky, 1978). This theory highlights the cultural and social facets involved in instruction as well as the necessity of group projects and reciprocal connections for language development (Johnson, 2009). The principles of Communicative Language Teaching (CLT), particularly emphasising the use of language to facilitate relevant discourse, are compatible with an action-oriented approach (Richards & Rodgers, 2001). Through CLT, learners gain communicative competence by using real language in real-world situations. A further theoretical structure that supports an action-oriented method is task-based language teaching (TBLT) (Willis & Willis, 2020). Through solving issues, working together, and focused endeavours, Task-Based Language Teaching (TBLT) facilitates language learning by using meaningful tasks as the main teaching unit. Alternatively, an Action-Oriented method can also be supported by constructivist philosophy. Constructivism holds that via their interactions with their surroundings, children actively develop their knowledge (Piaget, 1973). The theory of learning through experience by Kolb (1984) is also consistent with an Action-Oriented method. The importance of providing students with practical knowledge, introspection, abstract thought, and active research highlights the relevance of experiential learning. These elements are combined with real-world tasks and reflection activities to create an Action-Oriented Approach. The Action-Oriented Approach makes extensive use of metacognitive and reflective methods (Piccardo & North, 2019). Setting goals, thinking back on past experiences, and monitoring their progress are all important for language learners. Organisation, self-examination and self-rectification are examples of metacognitive techniques that assist students in taking charge of their education (Goh & Vandergrift, 2021). Multicultural communication competency (ICC), or the ability of learners to collaborate and interact effectively in intercultural contexts, is emphasised heavily in the Action-Oriented Approach. Engaging in authentic activities that need cross-cultural interactions can help ESL students get a deeper understanding of diverse cultural perspectives and improve their intercultural competency (Byram, 2012).

### B. The Action-Oriented Approach

When creating a curriculum, the AOA may be understood in terms of many Do descriptions. This is a major part of it, as we will see below, however, AOA is founded on a constructivist theoretical framework and takes task-based instructional methods to a new level where real-world and classroom context-based communicative practices are seamlessly integrated. Another name for the strategy is "action-based teaching" (van Lier, 2007). Action is guided by recognized goals, influenced by CEFR descriptors, and describers provide direction. This approach drives course development, plan, and coursework, ensuring alignment with instruction, assessment, and planning. Describers serve as "signposts" for informing users and pupils about tasks and goals (Bandura, 1989). Language instruction, according to the AOA, is structured around practical situations involving several communication modalities, such as reception, production, interaction, and mediation. Illustrative descriptions, which show what users/learners may do at various levels of competency (A1 to C2) in the CEFR, are used to characterise these modes. The scenarios leading up to a final assignment or project where users/learners must utilise their language abilities together and creatively to create an activity or product (Council of Europe, 2001). Creating a variety of instructional resources and methods for teaching

and studying English should be a top priority. To learn the English language in novel ways, educators must employ creative instructional techniques and provide relevant resources (Mouliwaran & S, 2023).

### *C. Benefits of Action-Oriented Approach*

Learners engage in challenging content, problem-solving, and project creation, enhancing their problem-solving and higher-order thinking skills. Engaging in intellectual activities like manipulating and analyzing data improves comprehension, and knowledge retention, and increases student involvement and academic success (European Commission, 2018; Holm, 2011; Newmann & Wehlage, 1993; Zohar & Dori, 2003). Additionally, an action-oriented pedagogy that is culturally diverse and takes into account the social and cultural norms and perspectives of the learner and their surrounding community may provide higher learning outcomes. It supports the learner's development of a positive sense of self in which their multicultural and multilingual identities are acknowledged and cherished (Cummins, 2011; Cummins & Early, 2011). Among the AOA's advantages is that giving students relevant and practical tasks to do, improves the authenticity, relevance, and motivation of language learning (Council of Europe, 2001). Exposing users and learners to a variety of viewpoints and beliefs promotes the development of multicultural skills, a sense of democracy, and social accountability (Acar, 2019). It fosters students' agency, creativity, and autonomy by empowering them to use their resources, make choices, and work with others to accomplish their objectives (Piccardo & North, 2019). By integrating various modalities, skills, and languages, this communication portrays reality's complexity and diversity (Rutherford, 2021). Utilising the CEFR descriptors as an established reference tool makes it easier to determine and recognise the progress and results of students (Council of Europe, 2001).

### *D. Role of Teachers and the Learners in Action-Oriented Approach*

Since project work is an essential component of real-world, action-oriented activities, it is the responsibility of the teacher to propose, encourage, and accept the complexity that this kind of work requires to generate learning circumstances. If we see learning a language as a type of social activity, we must establish the necessary framework in which the social agent is working on a genuine project in a genuine setting—the lecture room (Piccardo, 2015). Project conception is a process where students, users, or social actors plan activities and revise objects as needed. The teacher's job is to prepare the project, providing support and encouraging introspection. By following this recursive process, the teacher becomes more comfortable and competent in planning and scaffolding, helping the instructor understand the student's learning process and progress. This approach presents a sophisticated picture of the classroom as a CAS, where participants learn to manage chaos to facilitate fresh learning (Puren, 2006). Teachers in India are keen on incorporating the 'Action-Oriented Approach' (AOA) in their curricula to improve tertiary-level students' English-speaking abilities. Many ESL teachers recognize the value of communicative activities and real-world issues in lesson plans, as they promote student participation and authentic language use. This approach enhances students' comfort in social and practical situations (R & S, 2023).

The action-oriented approach views language learners as social agents, completing tasks within a specific context. These tasks, not all language-related, are significant when part of a larger social context, using unique competencies to achieve a specific goal (Council of Europe, 2001). Action is the foundation of learning, requiring language users or learners to strategically activate their competencies to achieve specific goals. This involves understanding objectives, work types, and actions, and requires cooperation with others, reviewing resources, and recognizing their strengths (Piccardo, 2010). The AOA is a student-focused methodology that promotes active participation from students in their education. To do the tasks, they must make use of all of their resources, including their prior knowledge, experiences, and languages. Additionally, they are urged to use the CEFR descriptors to evaluate their development and results. The teacher's job is to offer suggestions, direction, criticism, and assistance when required (Piccardo & North, 2019).

### *E. Activities and Tasks*

The process of creating action-oriented scenarios usually involves a sequence of steps that integrate the interpersonal processes of mediating, creating, interacting, receiving and conceptions and interaction, which are inspired by the CEFR descriptor. The scenario's last step is the group's development of a performance or item. Pupils decide how to finish the project or homework; instructors provide guidance, materials, and language assistance to the class, group, or individual as required. The emphasis is on the materials' independence and authenticity, as well as the themes and activities. Pupils may be pushed to work in many languages and utilise resources in other languages, however, this is not always the case. Results with specific descriptions are often evaluated by oneself or by others (Piccardo, 2010).

There are duties in the public, professional, educational, and personal domains that are part of daily life. A person must deliberately engage specific competencies in carrying out a sequence of purposeful acts in a particular area using a clearly defined aim with a preset outcome to perform a task. Tasks can be very different from one another and entail language use in different ways. Some examples of tasks include: creative (writing stories or painting), skills-based (assembling or repairing things), problem-solving (jigsaw puzzles, crosswords), routine transactions, interpreting roles in plays, participating in discussions, making presentations, formulating plans of action, reading and responding to emails, etc. A task might be as easy as reviewing several related schematics and instructions or as hard as building a new and elaborate device. One job may have more steps or fewer embedded subtasks than another, making it challenging to identify the bounds of any given task (Council of Europe, 2001). Role-playing helps children improve

speech fluency by teaching various linguistic functions and fostering imagination. It helps students communicate meaning in various social situations and fosters creative thinking, which is essential for future careers. Educators can use role-playing to teach students how to communicate effectively in various social situations (Kowalska, 1991).

#### *F. The Challenges Faced by ESL Learners When Communicating Socially in English*

When it comes to social interaction in English, ESL students have several difficulties both within and outside of the classroom. These difficulties may have an impact on their confidence, motivation, and language-learning ability. Among the typical difficulties are:

**Lack of passion and defined objectives:** ESL students may lack a purpose or objective for learning English, which might lower their interest and level of participation in social situations (ESLstarter, 2022). Additionally, they could not have intrinsic motivation, which is the drive to study for one's fulfilment and enjoyment as opposed to demands or incentives from other sources (Dörnyei & Ushioda, 2011). Grammar drills, retention, and interpretation are examples of outdated and uninteresting techniques for instructing English. These approaches do not accurately portray the richness and diversity of real-life communication. There might not be enough possibilities for genuine and meaningful social interactions in English with these strategies (ESLstarter, 2022; Bridge, 2021). **Shame and embarrassment:** Because they are afraid of making errors, getting laughed at, or seeming foolish, ESL students may feel embarrassed or humiliated to speak English in front of people, especially native speakers. Additionally, they could experience anxiety and low self-esteem, which might make them less inclined to engage in social situations and speak (ESLstarter, 2022; ProLiteracy, 2016). **Time constraints:** Learners of English as a second language (ESL) can feel that they do not have enough time to study and practise the language, particularly if they have other obligations or duties like employment, family, or school. Additionally, they could have trouble locating acceptable partners or situations for English-language social interaction (ESLstarter, 2022; Bridge, 2021).

#### *G. Role of AOA in Enhancing Speaking Skills*

Speaking is the most active of the four fundamental talents and requires hard work, will, and religious practice. It involves using tone, intonation, and stress patterns, and acquiring proficiency in these is difficult. Developing a native English speaker takes time and involves a Mother Tongue Influence (MTI), which can be monitored through regular practice (Jena, 2014). Teachers can enhance students' speech abilities by creating an engaging environment through role-playing activities, which energize students and enhance their speaking abilities in the classroom (Elisa, 2019). Effective language usage requires proficiency in sociopragmatics, pragmalinguistics, and language, which are fundamental elements for maintaining positive interpersonal connections. These competencies are essential for communicative skills, allowing participants to engage efficiently and graciously in social environments. While many educators and second language learners believe that basic vocabulary and grammar rules are enough, speakers should consider the social, cultural, and pragmatic components of the language. EFL students often struggle with inadequate communication due to a lack of pragmalinguistic and sociopragmatic language proficiency (Kentmen et al., 2023). The action-focused approach to speaking views students as social agents with specific responsibilities in a specific setting. Activities are significant when viewed in their larger social context, using unique skills and intellectual, emotional, and intentional resources to complete tasks and achieve a predetermined outcome. This approach considers an individual's unique set of skills (Council of Europe, 2001).

Based on the literature review described earlier, the efficiency of using an Action-Oriented Approach for developing spoken English abilities amongst Indian tertiary-level students has not been investigated in any survey based on the opinions of ESL learners.

### III. METHODOLOGY

The study assessed how well the Action-Oriented Approach increased the spoken English ability of Indian tertiary students studying the language as a second language using both quantitative and descriptive approaches.

#### *A. Research Questions*

The following are the research questions that guided this study:

1. How do students perceive AOA to be effective in developing language proficiency in real-life and social contexts?
2. What are the opinions of Indian learners of English about the improvement of their level of English using the Action-Oriented Approach at the tertiary level?

#### *B. An Overview of the Study's Significance*

The literature assessment indicated above suggests that there is a dearth of studies on the effectiveness of the Action-Oriented Approach (AOA) in acquiring the language in India. The impact of using an Action-Oriented Approach to instruct English at the tertiary level in India has not been examined in survey research based on the opinions of ESL students. This study aimed to ascertain the hypotheses of Indian ESL students on the application of the AOA at the tertiary level to improve their command of the English language. To help all those who are ESL instructors, it is the aim of comprehending individual learning variances. Additionally, it could render personalised learning and instruction easier. It aids students in realising their capacity for quick and efficient learning. Additionally, it could help students

discover their strategies and ways to become more self-sufficient learners. By comprehending students' viewpoints and problems, educators and researchers may be able to create activities and resources that leverage AOA to help students become more fluent language learners.

### C. Study Objectives

This study aims to assess the viewpoints of ESL students on the application of the Action-Oriented Approach in college-level English language training. The primary objectives of the study are listed in the list below.

1. This study looks at how ESL pupils from India feel about using the Action-Oriented Approach to improve their English language skills in tertiary education.
2. To examine how AOA is perceived by the learners in social and real-world circumstances to develop language proficiency.

### D. Participants

Convenience sampling is a technique that allows researchers to easily collect data from an investigation group. This method differs from probability and non-probability sampling techniques. In addition to being accessible and convenient, researchers also consider similarities in demographics when using this method (Rahi, 2017). The study involved 156 second-year students from different engineering streams who were enrolled in the Undergraduate course at Vellore Institute of Technology, a deemed-to-be university in southern India. The study population was selected by a convenience sampling approach. Students who were able and eager to participate in the study were made more involved by this tactic. Based on their past ESL learning experience and familiarity with different English learning techniques, the participants were selected. Over a month, the researchers created and carried out several AOA activities, including role-plays, simulations, mini-projects, and problem-solving. Following the intervention, the students were invited to share their thoughts and feelings towards AOA by responding to a survey. To ascertain the learners' degree of motivation, engagement, contentment, and confidence in utilising AOA, the survey data were analysed. The study's purpose was to find out more about participants' opinions of the AOA and how well it works to advance tertiary students' language and communication skills.

### E. Instrument

Surveys are used to gather data about the characteristics and attributes of the respondents, examples include abilities, viewpoints, mannerisms, assumptions, and experiences (Fraenkel et al., 2012). Out of 160 participants in the research, only 156 answered the Google Forms surveys. The questionnaire section examined ESL students' perspectives on how the Action-Oriented Approach has improved English language competency among Indian college students while supporting the English language instruction process. This survey's perception section consists of fifteen items. A Five-point Likert scale with the options Strongly Disagree (1), Disagree (2), Neutral (3), Agree (4), and Strongly Agree (5) was employed to collect quantitative data. The survey data analysis outcomes were categorised using a grading system. For each statement, the respondents are asked to select one choice that best represents how they feel about the action-oriented approach. Pie charts displaying the percentage of respondents who selected each choice for each statement are used to portray the Likert scale data. The distribution of the respondents' preferences and opinions is shown visually in the pie charts. Descriptive statistics that describe the variability and central tendency of the Likert scale data are also included with the pie charts, such as mean and percentage. The mean and percentage were computed using calculations.

### F. Analysis of Data

The majority of the statistical analysis was done using IBM SPSS Statistics. In addition to Microsoft Excel, the researcher utilised SPSS to evaluate the data. To better achieve the goals of the inquiry, a qualitative analysis of the data was conducted. It is also feasible to describe, categorise, and analyse survey results. The computer program utilised the statistical measures of mean and standard deviation to examine the data.

## IV. RESULTS AND DISCUSSION

### A. An Overview of the Population's Statistics

The following table shows participant demographics by gender and age:

TABLE 1  
A DESCRIPTION OF THE PARTICIPANTS' DEMOGRAPHICS

	Number of Respondents	Percentages %
1. Gender		
Female	78	50
Male	78	50
Total	156	100
2. Age		
18-20	154	98.7
21-23	2	1.3
Total	156	100

### B. Validating the Questionnaire Using Cronbach's $\alpha$

The reliability of the data was confirmed using Cronbach's  $\alpha$  assessment of reliability, which is the most often used inner consistency metric among specialists (Franzen, 2013). Consistency is estimated using the degree of agreement amongst the component's responses from one particular evaluation. In statistics, a psychometric test's reliability is gauged by its Cronbach's alpha coefficient (Coolican, 2014). According to Hair et al. (1998), Cronbach's alpha is generally recognised to have a minimum value of 0.70. Based on the replies of the ESL learners, the raw data's Cronbach alpha coefficient was 0.906. This suggests that the ESL students' opinions on how the Action-Oriented Approach enhanced their proficiency in English at the Indian tertiary level were dependable and consistent. According to the ESL learners' perceptions' Cronbach alpha value, the data demonstrated a high degree of internal consistency. The veracity of the comments provided by ESL learners is seen in the table below.

TABLE 2  
ESL STUDENTS' PERCEPTIONS OF CONSISTENCY

	Cronbach's $\alpha$	Total Number of Items
Consistency	0.906	15

Table 2 illustrates how highly trustworthy English the opinions of students are, with a coefficient of = 0.906. The correlations in Table 2 show that there is a positive association between every item's value and the general impression variable. Although a score of 0.7 to 0.8 is considered exceptional and good, the value of 0.9 is displayed in the previous table. Additionally, it demonstrates that = 0.906, indicating a high degree of reliability for the study's items. The data has very good internal consistency as a result.

### C. Results of ESL Learners' Attitude Towards Implementing AOA in Indian ESL Setting

The present study classifies the research results and provides a satisfactory conclusion. The results of a survey asking ESL students about the usefulness of using the A to improve English language competence at the post-secondary level in India are examined.

TABLE 3  
ATTITUDE OF ESL LEARNERS TOWARDS EMPLOYING AOA IN INDIAN ESL SETTING

Item Number	Items	Strongly Agree (SA)	Agree (A)	Neutral (N)	Disagree (D)	Strongly Disagree (SD)	Mean ( $\bar{x}$ )
1	'The Action-Oriented Approach' helps the learners to improve language proficiency in a variety of contexts.	33.3%	60.9%	5.1%	0.6%	0%	4.2692
2	Learning ESL through 'The Action-Oriented Approach' is enjoyable for me.	25.6%	53.2%	20.5%	0.6%	0%	4.0385
3	I am motivated to speak more actively in my ESL classes because of the AOA.	21.8%	45.5%	28.8%	3.8%	0%	3.8526
4	My communication competence in English is improved through the AOA.	18.6%	53.2%	24.4%	3.2%	0.6%	3.8590
5	My understanding of how society and culture impact and are impacted by the English language has increased because of the AOA.	22.4%	57.7%	17.3%	2.6%	0%	4.0000
6	Through the AOA, I can enhance my collaboration and cooperation skills with other learners.	26.3%	60.3%	11.5%	1.3%	0.6%	4.1026
7	AOA prepares me for real-life situations where I have to use English.	21.8%	57.7%	17.3%	2.9%	0%	3.9808
8	The AOA activities and projects help me to enhance my creativity and critical thinking skills while speaking in English.	20.5 %	54.5%	21.2%	3.2%	0.6%	3.9103
9	The AOA is appropriate for students from a range of backgrounds and languages in ESL classes.	21.2%	53.2%	23.1%	2.6%	0%	3.9295
10	Projects and activities in the AOA provide students with the opportunity to apply English wherever and whenever they want.	25%	51.9%	20.5%	1.9%	0.6%	3.9872
11	'The Action-Oriented Approach' promotes English language skills through practical exercises, interactive activities, and goal-oriented tasks.	25%	59.6%	14.1%	1.3%	0%	4.0833
12	Students can apply what they learn to everyday situations as well as converse in the language they are learning with persons outside of the institute by collaborating on projects that follow 'The Action-Oriented Approach.'	25.6%	51.3%	21.2%	1.9%	0%	4.0064
13	'The Action-Oriented Approach' promotes speaking the targeted language with peers.	22.4%	57.7%	16%	3.2%	0.6%	3.9808
14	'The Action-Oriented Approach' helps pupils to make choices, think critically and act strategically when they work on language tasks or projects.	23.7%	57.1%	16%	2.6%	0.6%	4.0064
15	Every time I finish an AOA task, my confidence in my English-speaking abilities grows.	25%	50.6%	21.2%	3.2%	0%	3.9744

A large proportion of Indian ESL students, displayed in Table 3, felt that 'The Action-Oriented Approach' would improve their postsecondary English language proficiency and aid in the development of their language skills. Results indicate that ESL learners in India have a positive attitude toward the implementation of AOA at the tertiary level for improving English language proficiency.

Attitude of ESL Learners Towards Employing AOA in Indian ESL Setting.

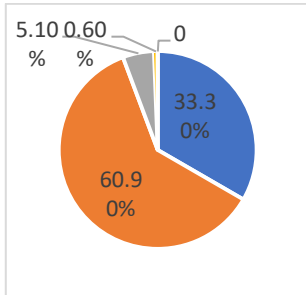


Figure 1. 'The Action-Oriented Approach' Helps the Learners to Improve Language Proficiency In A Variety of Contexts.

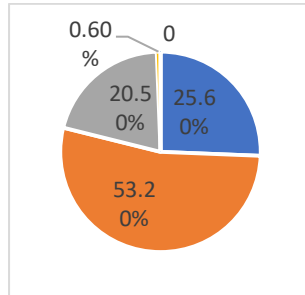


Figure 2. Learning ESL Through 'The Action-Oriented Approach' Is Enjoyable for Me.

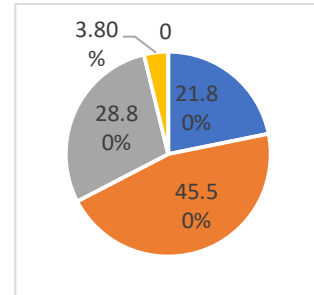


Figure 3. I Am Motivated to Speak More Actively in My ESL Classes Because of the AOA.

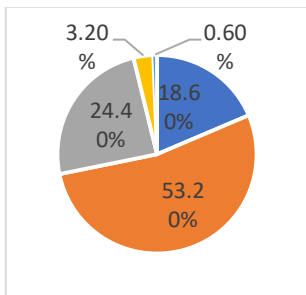


Figure 4. My Communication Competence in English Is Improved Through the AOA.

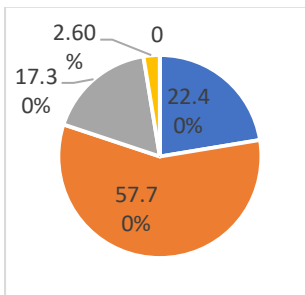


Figure 5. My Understanding of How Society and Culture Impact and Are Impacted by the English Language Has Increased Because of the AOA.

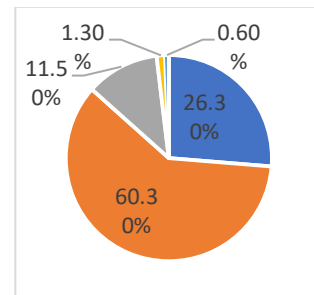


Figure 6. Through the AOA, I Can Enhance My Collaboration and Cooperation Skills With Other Learners.

Strongly Agree (SA)    Agree (A)    Neutral (N)    Disagree (D)    Strongly Disagree (SD)

94.2% of participants "Agree" and "Strongly Agree" with the assertion that the "Action-Oriented Approach" helps the learners to improve language proficiency in a variety of contexts" as presented in Figure 1. It implies that for ESL students to improve their language skills in a variety of situations, they require an action-oriented approach. 5.1% of the participants maintain a neutral perspective, and 0.6% disagree. The statement "I enjoy learning ESL through the Action-Oriented Approach" was agreed upon by the majority of participants, as Figure 2 illustrates. The large proportion of "Agree" and "Strongly Agree" responses (78.8%) indicates that ESL students think the 'Action-Oriented Approach' is a better way to make ESL lessons enjoyable in the classroom setting. 20.5% of the responses were neutral, with just 0.6% disagreeing with this assertion. The assertion "I am motivated to speak more actively in my ESL classes because of the AOA" was endorsed by 67.3% of participants, as shown in Figure 3. Figure 3 shows that 67.3% of the participants think that the Action-Oriented Approach quietly has pushed them to speak more actively in the ESL lessons. The priority that the Action-Oriented Approach places on tasks and activities is reflected in the optimistic outlook. 28.8% of those who voiced a neutral view in total. The proportion of people who disagreed was quite low (3.8%).

The vast majority of those who responded (71.8%) think highly positively of 'The Action-Oriented Approach,' as seen in Figure 4. Their ability to communicate is enhanced by the AOA. "Strongly Agree" and "Agree" responses together imply that the AOA improves students' English communication skills. It is crucial to bear in mind that 24.4% of respondents expressed neither favourable nor negative views and that the participants' combined replies (3.8%) indicated disagreement and strong disagreement. A significant proportion of those who took part in the study (80.1%) believe they have improved their understanding of the societal and cultural facets of using the English language as the foundation for real-world activities as a result of the 'Action-Oriented Approach,' as evidenced by the total number of "Strongly Agree" and "Agree" responses in Figure 5. This shows that ESL students believe they must comprehend and participate in the exercises, assignments, and projects that set the foundation for social and cultural elements. 2.6% of respondents disagreed, with only 17.3% expressing indifference. The sixth figure emphasises that to assist students in becoming outstanding team leaders in both their social and professional lives, they must constantly keep in mind the value of cooperation and teamwork at the individual and societal levels at the same time. The overall number of "Strongly Agree" and "Agree" ratings (86.6%) indicates that the statement "Through the AOA, I can enhance my

collaboration and cooperation skills with other learners" is viewed as having considerable value. 1.9% of respondents strongly disagree with the statement, while a sizable minority of respondents (11.5%) feel apathetic about it.

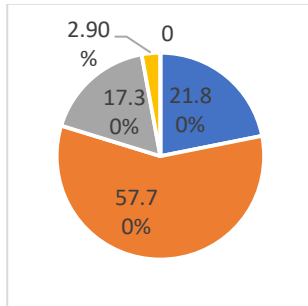


Figure 7. AOA Prepares Me for Real-Life Situations Where I Have to Use English.

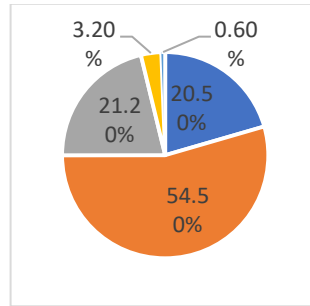


Figure 8. The AOA Activities and Projects Help Me to Enhance My Creativity and Critical Thinking Skills While Speaking in English.

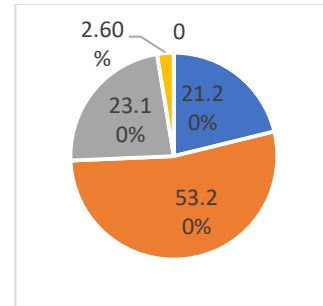


Figure 9. The AOA is Appropriate for Students From a Range of Backgrounds and Languages in ESL Classes.

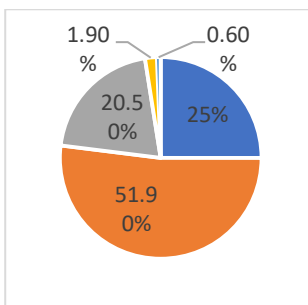


Figure 10. Projects and Activities in the AOA Provide Students With the Opportunity to Apply English Wherever and Whenever They Want.

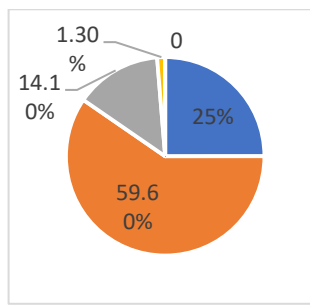


Figure 11. 'The Action-Oriented Approach' Promotes English Language Skills Through Practical Exercises, Interactive Activities, and Goal-Oriented Tasks.

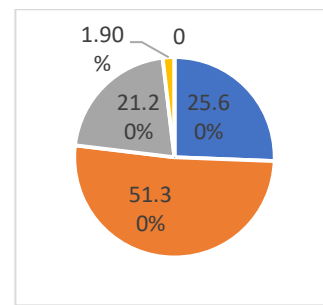


Figure 12. Students Can Apply What They Learn to Everyday Situations as Well as Converse in the Language They Are Learning With Persons Outside of the Institute by Collaborating on Projects That Follow 'The Action-Oriented Approach'.

Strongly Agree (SA) ■ Agree (A) ■ Neutral (N) ■ Disagree (D) ■ Strongly Disagree (SD) ■

A sizable amount of participants (79.5%) think that the Action-Oriented Approach prepares them for real-life circumstances where they have to use English, as seen by the combined proportion of "Strongly Agree" and "Agree" responses in Figure 7. The statement "AOA prepares me for real-life situations where I have to use English" was disagreed with by 2.9% of respondents, while 17.3% of participants expressed indifference. A significant proportion of those who participated (75%) expressed "Agree" as well as "Strongly Agree" with the statement, "The AOA projects and activities help me to enhance my critical thinking and creativity while speaking in English." These results are shown in Figure 8. This demonstrates how ESL students enjoy AOA-based education, which calls for projects and activities to stimulate creativity and critical thinking while speaking English. On the other hand, 21.2% of respondents have a more objective viewpoint, whereas 3.8% of respondents as a whole expressed disagreement. The data in Figure 9 clearly shows that 74.4% of respondents said they "Agree" as well as "Strongly Agree" with the statement, "The AOA is appropriate for students from a range of backgrounds and languages in ESL classes." It illustrates how a range of language and cultural backgrounds may be found among ESL students, and how the Action-Oriented Approach motivates students from multicultural and multilingual backgrounds to enrol in ESL classes. Of the respondents, 23.1% held a neutral attitude, and 2.6% disagreed with the survey.

Most participants agree with the statement that "Projects and activities in the AOA provide students with the opportunity to apply English wherever and whenever they want" as seen in Figure 10. The number of "Strongly Agree" and "Agree" responses (76.9%) indicates that ESL learners think they can use English anytime and anywhere they choose because of the projects and activities in the Action-Oriented Approach. Only 2.5 percent disagreed with this viewpoint, out of the respondents' total of 20.5% who stated a neutral opinion. Regarding "The Action-Oriented Approach promotes English language learning through practical exercises, interactive activities, and goal-oriented tasks". A large number of respondents (84.6%) had extremely positive opinions, as Figure 11 illustrates. The combined "Strongly Agree" and "Agree" responses show that the Action-Oriented Approach's goal-oriented objectives, interactive activities, and practical exercises should be used to encourage learners to practise speaking English. It is crucial to remember that just 1.3% of respondents disagreed with this point of view, while 14.1% of respondents expressed neither positive nor negative opinions. According to the data displayed in the 12<sup>th</sup> Figure, the majority of participants—76.9%—strongly concur with the assertion that /Students can apply what they learn to everyday situations as well as converse in the language they are learning with persons outside of the institute by collaborating on projects that



follow ‘The Action-Oriented Approach.’/ This illustrates how students may work together on collaborative projects to improve their English language proficiency and apply what they have learned to real-world issues in India. Of the participants, 21.2% held a neutral opinion, and just 1.9% disagreed with the statement.

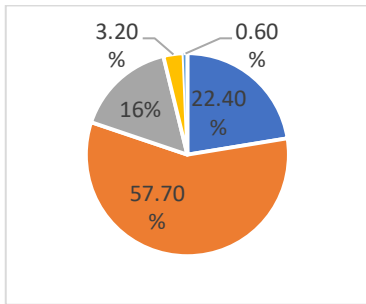


Figure 13. ‘The Action-Oriented Approach’ Promotes Speaking the Targeted Language With Peers.

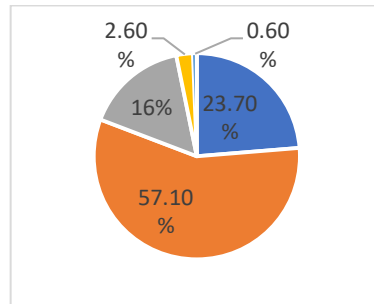


Figure 14. ‘The Action-Oriented Approach’ Helps Pupils to Make Choices, Think Critically and Act Strategically When They Work on Language Tasks or Projects.

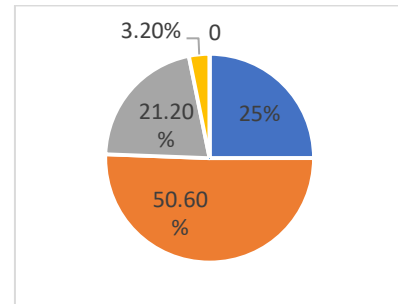


Figure 15. Every Time I Finish an AOA Task, My Confidence in My English-Speaking Abilities Grows.

Strongly Agree (SA) ■ Agree (A) ■ Neutral (N) ■ Disagree (D) ■ Strongly Disagree (SD) ■

The 13<sup>th</sup> Figure's results indicate that a large proportion of participants (80.1%) "Strongly Agree" and "Agree" that ‘The Action-Oriented Approach’ promotes peer communication in the target language. This illustrates how ESL learners value acquiring knowledge based on the AOA, which necessitates that the students complete team-building exercises. However, 3.8% of respondents disagreed with this assertion, while 16% of respondents had a more neutral opinion. The sum of the percentages of "Strongly Agree" and "Agree" responses in Figure 14 shows that the majority of those who participated (80.8%) have a positive perception of the statement "The Action-Oriented Approach helps learners to make choices, think critically, and act strategically when they work on language tasks or projects". Positive impressions imply that learning is action-oriented, or application-based, in the same way as it is when we use strategic behaviour and critical thinking in our daily communication with other fellow citizens of society. Just 16% of responders took a neutral position, while three percentage disagreed. Figure 15's merged proportion of "Strongly Agree" and "Agree" responses shows that a large proportion of the respondents (75.6%) agree with the statement "Every time I finish an AOA task, my confidence in my English-speaking abilities grows." This optimistic statement expresses the attitudes of ESL students towards language exercises and AOA, which ought to reflect the sentiments of social actors. English language learners should prioritise completing the activities in the Action-Oriented Approach (AOA) more highly, according to ESL learners, as these tasks boost learners' confidence while speaking English. Of those questioned, just 21.2% claim to be neutral. Conversely, a very small proportion of respondents (3.2%) do not agree.

The findings of the study show that most ESL students believe that improving their English language competence at the tertiary level in India using the Action-Oriented Approach would increase their comfort level in societal and real-life scenarios. This summarises the viewpoints on language learning and acquisition that language learners who employ the ‘Action-Oriented Approach’ have.

## V. CONCLUSION

This research study used a quantitative survey administered via Google Forms to find out what ESL students believed about the efficacy of ‘The Action-Oriented Approach’ in developing their language skills in English at the Indian tertiary level. The study was carried out to look at learners' attitudes and ideas about the ‘Action-Oriented Approach’ and how it affects the acquisition of the language. The findings of this study are noteworthy because of the reasons outlined above. The majority of ESL students in India are familiar with the 'Action-Oriented Approach' and other techniques, which improve their language comprehension. Participating students appreciate the benefits of incorporating everyday issues and collaborative tasks into teaching, encouraging student involvement and authentic language use. The survey findings showed that students believed the Action-Oriented Approach contributed to the development of sociocultural and pragmatic components of language acquisition in addition to linguistic ability. Prioritising 'task-based learning' and 'meaningful interaction' was thought to promote the growth of learners' autonomy and communication skills. The results of the study show that, in general, ESL students are in favour of using ‘The Action-Oriented Approach’ to assist language learners in gaining competency in a range of scenarios.) Take a look at Table 3. The statement "Action-Oriented Approach helps the learners to develop language proficiency in a variety of contexts" received the highest grade ( $\bar{x}=4.2692$ ) from the majority of ESL learners (94.2%). All things considered, this study broadens our comprehension of language-acquiring strategies, especially as they apply to India. The outcomes highlight the benefits of implementing ‘Action-Oriented Approaches’ in ESL classes along with the potential effects on students' language fluency in English. In the era of technology, along with AOA one can incorporate AI tools for language teaching. Language instruction and acquisition now make use of a wide range of AI technology. Language curricula have undergone significant change as a result of AI, especially in the areas of second language training and

acquisition (N & N S, 2023). The outcomes of this research are anticipated to influence curriculum design, training initiatives, and educational policies, raising the standard of instruction in the English language in India.

#### Recommendations

More participation from various Indian universities, institutes and schools would be beneficial to the study. It is suggested that future studies include qualitative data gathering with semi-structured participant interviews to synthesise the findings. Questionnaires were employed in this investigation to gather data. It could demonstrate whether the replies on the questionnaire from the ESL students match their response variable. To this end, high-quality data collection techniques that include audio recording, maintaining a diary, classroom observation, and journaling may be appropriate. It would be beneficial to evaluate the perspectives of learners from all backgrounds, including classmates, college, university and high school, by broadening the survey's questions. An experimental study could be carried out to check the efficacy of employing the AOA in ESL classrooms in India.

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# The Effect of Using the Contemplative Approach to Enhance Speaking and Critical Thinking Skills in the EFL Undergraduate Literature Classroom

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**Abstract**—This research study explored the effect of using the contemplative approach to enhance speaking skills and critical thinking skills in the EFL literature classroom which aimed to 1) investigate English speaking skills and 2) investigate students' critical thinking skills in the EFL literature classroom. This research study applied a mixed-method research design. Data collection was conducted in both qualitative and quantitative formats. Instruments were an English speaking test, a critical thinking test, classroom observations, semi-structured interviews, and a reflective journal. The sample group was eleven second-year students of the English studies major who enrolled in the literary adaptation course in the second semester of the academic year 2022 at Chiang Rai Rajabhat University, Thailand by purposive sampling with the volunteers who were interviewed and joined the activities. The quantitative data was analyzed by descriptive statistics while the qualitative data was classified, analyzed, and reported by the objective items. The findings indicate that contemplative approaches can significantly enhance students' English-speaking skills. Although the results suggest that participating in contemplative activities did not have a statistically significant impact on the participants' critical thinking abilities, a slight improvement was observed in their critical thinking skills.

**Index Terms**—contemplative approach, critical thinking, speaking skills, EFL literature classroom

## I. INTRODUCTION

English has become increasingly important in Thailand over the past decade, especially since joining ASEAN in 2015. With the growth of tourism, foreign investment, and logistics, learning English has become essential in this technologically advanced era. Newly graduated students are expected to use English effectively in domestic and international workplaces, making it the responsibility of higher education institutes to produce high English proficiency graduates. However, educational institutions and stakeholders face pressure to improve pedagogical approaches to accommodate the increasing number of students and improve learning outcomes (Bae, 2018). Thai students encounter various challenges in acquiring a new language, encompassing both linguistic and non-linguistic aspects. Despite the government's support for English development, students' competencies in English are at a moderate level due to a lack of practice in class and the Thai-speaking environment. Grammar, vocabulary, and pronunciation are among the language skills that students struggle with, and shyness about speaking English is a significant obstacle (Doromee, 2018).

Recently, critical thinking skills are emphasized at all levels of education, as they are considered essential for success in both personal and professional life. It involves logical thinking, reasoning, and making informed judgments. Higher-order thinking, which includes skills such as analyzing, synthesizing, and evaluating information, is particularly crucial for students to develop. The concept of cooperative critical thinking has been widely discussed in fields outside of English language teaching, despite its relevance in the EFL context (Marin & la Pava, 2017). When it comes to literature studies, students should be capable of making critical judgments about the texts they read and identifying hidden meanings within them. However, developing critical thinking skills, particularly among university students, can be challenging because students need to develop their academic and social success skills, enhance their English language skills, and engage in reflective and independent thinking to solve problems through critical thinking (Gandimathi & Zarei, 2018). Kaowiwattanakul (2009) found that there are many challenges facing attempts to encourage Thai students to become critical thinkers due to their cultural background, educational system, and religion. However, in response to modern social issues, a trend of self-awareness and mindfulness development emerged in the 1980s, known as "Contemplative Education" in the United States. This approach aims to respond to social crises by using contemplation and have become an international phenomenon that has expanded across higher education,

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including in Thailand where it has been practiced for over 20 years under the name "Alternative Education." or "contemplative education" (Srisuwan, 2018, p. 198). There has been a growing interest in applying contemplative principles to teaching and learning such as Scida and Jone (2017), Burford et al. (2018), Karolyn (2019), and Chareonsukmonkol (2019). While there are some indications that these principles are being used in EFL classrooms, the focus seems to be on improving reading comprehension (Giveh, 2018) and writing skills, which can enhance academic performance and interpersonal communication. However, previous studies have primarily focused on analyzing language proficiency, learning attitudes, and motivation, while EFL instructors appear hesitant to implement these principles in speaking activities. Additionally, contemplative practices have mainly been integrated into educational contexts to support well-being, reduce stress, foster resilience, and enhance learning, rather than into literature EFL courses. This study aims to bridge this gap and provide educators with additional options for developing lesson plans that meet the needs of 21st-century students.

After reviewing related documents, the researcher hypothesized that these contemplative practices may improve both students' English speaking and critical thinking abilities. However, it is crucial to consider the learner's level of self-awareness and English proficiency when designing appropriate activities. Therefore, this study aims to demonstrate how to incorporate literature into EFL courses using contemplative activities to enhance students' critical thinking and English-speaking skills. This study will benefit English lecturers at the tertiary level by providing guidance in revising and developing appropriate English literature courses for English major students or related fields and can assist lecturers in including a proportion of content and skills in each course that helps strengthen students' practical abilities.

## II. LITERATURE REVIEW

### A. *Contemplative Approach*

The contemplative approach refers to a way of engaging with the world that emphasizes introspection, self-awareness, and contemplation. It can take many forms, including meditation, yoga, journaling, and mindfulness exercises. The goal of these practices is to cultivate a state of heightened awareness and inner stillness, which can lead to greater insight, clarity, and peace of mind. Contemplative practices can help foster empathy, compassion, and a sense of interconnectedness with others. In the language learning context, a contemplative approach can potentially improve English speaking in EFL learners by helping them develop greater self-awareness, mindfulness, and a more focused and attentive mindset. It can help EFL learners become more aware of their thoughts, emotions, and bodily sensations. By cultivating this awareness, learners can better manage anxiety, stress, and negative self-talk, which can hinder language learning and speaking ability. In addition, it can also help EFL learners develop more focused and attentive listening skills. By practicing active listening and being fully present in the moment, learners can better understand spoken English and become more confident in their speaking ability. Finally, it can help EFL learners develop a growth mindset and a willingness to learn from mistakes. By approaching language learning with curiosity and a willingness to explore new concepts and ideas, learners can develop a more positive attitude toward learning and speaking English.

### B. *Critical Thinking*

Critical thinking refers to the ability to analyze, evaluate, and synthesize information and draw conclusions logically. Critical thinking skills are important in many aspects of life, including academics, career, and personal relationships. The concept of critical thinking can be traced back to Socrates, an ancient Greek philosopher who emphasized the importance of questioning assumptions and examining evidence. The term "critical thinking" was first used by educational reformer John Dewey in his 1910 book "How We Think". Since then, the concept has been further developed and refined by a variety of scholars and educators and has become widely recognized as a crucial skill for success in many fields. One well-known scholar Benjamin Bloom since 1956 created a framework for categorizing educational objectives and goals called Bloom's Taxonomy of Critical Thinking consisting of six levels of cognitive skills: knowledge, comprehension, application, analysis, synthesis, and evaluation. In 2001, a revised version was introduced, which changed the category names from noun to verb form: remember, understand, apply, analyze, evaluate, and create. The taxonomy provides a useful tool for educators to design learning objectives and assessments that promote higher-order thinking and cognitive development in students and has been widely used recently. In the context of language classrooms, incorporating critical thinking into language learning can be beneficial for students as it can help the student develop not only language proficiency but also their abilities to analyze, evaluate, and apply information logically and systematically. Critical thinking for students also includes underlying mindfulness, personal engagement with each other as well as subject matter, self-confidence, and the transfer of these dispositions to situations beyond classroom exercises.

## III. RESEARCH METHODOLOGY

### A. *Method*

This research study employed a mixed-method design. Data collection was conducted in both qualitative and quantitative formats with a pre-test and post-test, observations, semi-structured interviews, and reflective journals.

### B. Sampling and Participants

The participants of the study consisted of eleven second-year English Studies (International Program) students at Chiang Rai Rajabhat University, Thailand, enrolled in the literature course during the second semester of the academic year 2022. They were purposively selected as one sampling unit for the experimental group. Among the participants, there were 10 Thai students and 1 Chinese student, all with English proficiency ranging between A2-B1 according to the CEFR level for EFL learners.

### C. Data Collection

After studying all the relevant documents, the researcher created instruments which consisted of an English-speaking test, a critical thinking test, a lesson plan implementing the seven contemplative activities (check-in, card reading, deep listening, storytelling, dialogue conversation, reflection, and check-out) and semi-structured interviewing form. For text selection, the researcher chose three well-known and widely recognized literary works that explored universal themes, reflected on societal issues, and encouraged learners to exchange experiences and express opinions freely. The selected literary works were *Alice's Adventures in Wonderland* by Lewis Carroll, *Charlie and the Chocolate Factory* by Roald Dahl, and *Harry Potter and the Philosopher's Stone* by J.K. Rowling. These stories had also been adapted into movies, which aligned with the course content. All instruments were examined by three experts to examine the content validity, clarity, objective accuracy, language appropriateness, and the Index of Item Objectives Congruence (IOC), which was set at 0.50. The data collection and investigation of this research were conducted for 13 weeks. Each lesson takes three periods per week, with each period lasting 50 minutes. The researcher monitors the reflective writing, provides feedback, and collects it all at the end of the time allotment. After that, a semi-structured interview was conducted in a friendly environment during the last week. This was followed by gathering all the data, interpreting, and transcribing the interview into the English version, rearranging, and categorizing all data in terms, and analyzing all data using descriptive data analysis. The final step was interpreting, summarizing data, and reporting conclusions.

#### (a). Quantitative Analysis

##### 1. An Analysis of the English Speaking Test

The English speaking test was adapted from the criteria of Kaowiwattanukul (2019), O'Malley and Pierce (1995, p. 61). Additionally, the designed test was examined by three English lecturers to ensure an Index of item-Objective Congruence (IOC) of  $\leq 0.05$ . These tests were utilized to measure students' speaking skills and assess various language functions, including intelligibility, fluency, coherence, lexical content, and structural content. Each test comprised ten questions and lasted approximately ten minutes. The teacher engaged individual conversations and asked questions of the students. The topic of the speaking tests revolved around childhood experiences, personal preferences, and family dynamics, providing an opportunity for individuals to share their memories, opinions, and cultural insights. Audio recordings were also obtained during the tests. The total score criteria for the test ranged from 0 to 24 points. Scores of 0-5 indicated a very low level of English-speaking skills, 6-10 denoted a low level, 11-15 represented an average level, 16-20 signified a high level, and 21-24 indicated a very high level of English listening-speaking skills. The tests were assessed by three native English speakers to ensure score validity.

##### 2. An Analysis of the Critical Thinking Test

In this research, the critical thinking test is used for measuring students' critical thinking level based on Bloom's critical taxonomy (revised 2001), which consists of remembering, understanding, applying, analyzing, evaluating, and creating. It consists of twelve questions to monitor students' critical thinking levels. The students were asked to read the short story, "A Day's Wait" by American author Ernest Hemingway silently for 20 minutes and write the answers in a complete English sentence or paragraph. The critical thinking writing test and score rubric were examined by three English lecturers at the tertiary level for the Index of Item-Objective Congruence ( $\text{IOC} \leq 0.05$ ). The test aims to assess and measure students' ability to link ideas and use language to express ideas that indicate they are thinking about literature content, as well as to track student critical thinking improvement before and after experimenting with contemplative practices in the lesson. There were two times for the tests (pre-test and post-test) with the same test. The test takes approximately 20 minutes. The total score criteria of the test are 18 points; 0-6 is equivalent to low-critical thinking capability, 7-12 is equivalent to average-critical thinking capability, and 13-18 is equivalent to high-critical thinking capability. The tests are scored by 3 English lecturers for the score validity.

#### (b). Qualitative Analysis

##### 1. An Analysis of Reflective Journals

This activity results in the production of knowledge through experience. Students are asked to write about their learning to address the teacher on topics of their choice on a literary book they like from the lesson, their interests, and their attitude toward their learning with contemplative practices and course content areas. The teacher gives feedback, monitoring the language use in terms of idea expression, not correcting the student's language. Students have to write

three dialogue journals about Alice's Adventures in Wonderland, Charlie and the Chocolate Factory, and Harry Potter and the Philosopher's Stone.

### 2. An Analysis of Semi-Structured Interviews

Semi-structured interviews aim at investigating student attitudes toward the use of the contemplative practice in the EFL literature classroom to improve critical thinking and English-speaking skills. Regarding the interview procedure, the researcher asks participants to do the interview individually after class. At the same time, the researcher investigates the students' speaking skills and critical thinking skills to meet the research objectives.

### 3. An Analysis of Classroom Observations

Classroom observations were conducted for each 2.30-hour lesson per class per week, during which the researcher took notes on the observation form at the end of each session. The purpose of the study was to document student participation and interaction during classroom discussions and to investigate the extent to which contemplative approaches promoted students' speaking and critical thinking skills.

## IV. RESULTS AND DISCUSSIONS

### A. Student English Speaking Skills

TABLE 1  
ENGLISH-SPEAKING ABILITY TEST BEFORE AND AFTER USING THE CONTEMPLATIVE APPROACH

Total Score Students Code	Pre-test Score		Post-Test Score		Result
	24	Interpretation	24	Interpretation	
STD1	10.67	Average	14	Average	Improved
STD2	18.33	High	20.67	Very High	Improved
STD3	14.67	Average	18	High	Improved
STD4	12.67	Average	16.33	High	Improved
STD5	18.33	High	17.33	High	-
STD6	7.67	Low	9.33	Low	Improved
STD7	8.67	Low	11	Average	Improved
STD8	14	Average	n/a	Incomplete	n/a
STD9	n/a	n/a	n/a	n/a	n/a
STD10	11.33	Low	14	Average	Improved
STD11	10	Low	11	Average	Improved
<b>Average Total</b>	<b>13.66</b>	<b>Average</b>	<b>14.63</b>	<b>Average</b>	<b>Improved</b>

\* STD 8 missed the post-test and STD9 withdrew from the activities

Table 1 shows the English-speaking pre-test and post-test scores before and after implementing contemplative activities. Nine students (81.81%) were able to complete both tests. The average pre-test score for the classroom was 13.66 points, indicating an average level of English-speaking ability. The average post-test score was 14.63 points, also at an average level of English-speaking ability. The highest score of the pretests was 18.33 and the lowest score of the posttests was 7.67. The highest score of the posttests was 20.67 and the lowest score of the posttests was 11. Students 1, 2, 3, 4, 6, 7, 10, and 11 showed an increase in their post-test scores, while Student 5's score decreased from 18.33 to 17.33, but remained at a high level of English-speaking ability. Based on the data in Table 1, it can be concluded that implementing contemplative activities has a positive effect on students' English-speaking ability, as the average post-test score increased from the average pre-test score. It is also worth noting that the majority of students (8 out of 9) showed an improvement in their post-test scores, with only one student showing a slight decrease. Overall, the results suggest that incorporating contemplative activities into the EFL literature classroom can be an effective way to enhance students' English-speaking abilities. However, it is also important to note that the sample size in this study is small and further research with a larger sample size is needed to validate these findings.

TABLE 2  
RESULT OF ENGLISH-SPEAKING ABILITY T-TEST SCORE

Test Results	N	Score	X	SD.	t	t-test
Pre-test	9	24	12.48	3.68	1.86	4.43
Post-test	9	24	14.63	3.55		

\*Level of significance is at 0.05

Table 2 presents the descriptive statistics of the English-speaking t-test scores before and after participating in the contemplative activities. Nine students (81.81%) completed both tests. The average score for the pretest was 12.48 (S.D. = 3.68) and for the posttest was 14.63 (S.D. = 3.55). The t-test result was 4.43. As the t-value from the t-distribution table was 1.86 and the statistical decision-making value was 4.43, which is greater than 1.86, the post-test score was found to be significantly higher than 0.05 level. The results in Table 2 indicate that the contemplative activities had a positive effect on the participants' English-speaking ability. The average pretest score of 12.48 suggests an average level of English-speaking proficiency, while the average posttest score of 14.63 indicates an improvement to an average level

of proficiency. The t-test value of 4.43 indicates that the post-test score was significantly higher than the pretest score. Therefore, it can be concluded that the contemplative activities had a statistically significant impact on improving the English-speaking ability of the participants.

The findings presented in Tables 1 and 2 provide strong evidence supporting the effectiveness of implementing contemplative activities in enhancing the English-speaking ability of EFL learners in the context of English literature studies. This finding aligns with previous research conducted by Kim and Han (2016) and Zhang (2020), who reported significant improvements in the English-speaking proficiency through the use of mindfulness meditation. In the present study, the intervention group, which engaged in mindfulness meditation, group discussion, and reflective writing, demonstrated notable enhancements in fluency, pronunciation, and overall speaking proficiency. Furthermore, the positive impact of the contemplative approach on speaking ability has been observed in other studies as well. Zare-ee and Nouri (2019) found that Iranian EFL learners who received contemplative instruction showed significant improvements in fluency, accuracy, and complexity compared to a control group. Similarly, studies conducted by Hussain and Mahmood (2020), Ng and Lee (2018), and Shih and Lin (2017) have provided support for the effectiveness of contemplative approaches in improving English speaking ability, particularly in literature classrooms. Additionally, the findings of Charoensukmongkol (2019) indicated that mindfulness has a significant explanatory power in reducing ESL public speaking anxiety. These collective findings highlight the value of integrating contemplative activities in EFL literature classrooms to enhance English-speaking skills. The implementation of mindfulness meditation, group discussion, and reflective writing has demonstrated promising results in fostering fluency, pronunciation, and overall proficiency. By considering the consistently positive outcomes from various studies, educators can confidently explore the implementation of contemplative approaches to improve students' English-speaking ability, with a specific focus on literature education.

### B. Student Critical Thinking Skills

TABLE 3  
CRITICAL THINKING TEST BEFORE AND AFTER USING THE CONTEMPLATIVE APPROACH

Total Score	Pre-test Score		Post-Test Score		Result
Students Code	18	Interpretation		Interpretation	
STD1	8	Average	12	Average	Improved
STD2	13	High	15	High	Improved
STD3	16	High	14	High	Not improved
STD4	10	Average	15	High	Improved
STD5	15	High	14	High	Not improved
STD6	7	Average	8	Average	Improved
STD7	5	Low	-	Incomplete*	-
STD8	n/a	n/a	n/a	n/a	-
STD9	n/a	n/a	n/a	n/a	-
STD10	10	Average	12	Average	Improved
STD11	11	Average	8	Low	Not improved
<b>Average Total</b>	<b>8.63</b>		<b>8.90</b>		

\*STD 7 missed the post-test, STD8 and STD9 withdrew from the activities

Table 3 presents the critical thinking pre-test and post-test scores before and after implementing contemplative activities. Eight students (72.72%) were able to complete both tests and activities. The average pre-test score for the classroom (excluding STD7, 8, 9) was 8.63 points, indicating an average level of critical thinking ability. The average post-test score was 8.90 points, which is also at an average level of critical thinking ability. The range of pretest scores was from 7 to 16, while the range of posttest scores was from 8 to 15. Students 1, 2, 4, 6, and 10 showed an increase in their post-test scores, while Students 3 and 5 showed a decrease in their scores but remained at a high level of critical thinking ability. On the other hand, Student 11's score decreased and remained at a low level of critical thinking ability.

Based on the results presented in Table 3, it can be observed that there was an improvement in the critical thinking scores of the participants after engaging in contemplative activities. The average post-test score of 8.90 points was slightly higher than the average pre-test score of 8.63 points. The range of post-test scores was also narrower than the range of pre-test scores, indicating that the participants' critical thinking abilities became more consistent after the intervention. Five out of eight students showed an increase in their post-test scores, which suggests that the contemplative activities had a positive impact on their critical thinking abilities. However, it is worth noting that three students (students 3, 5, and 11) showed a decrease in their scores. Although their scores decreased, they remained at a high or low level of critical thinking ability. Therefore, further investigation may be needed to determine why their scores decreased and if any factors could have affected their performance.

TABLE 4  
RESULT OF CRITICAL THINKING T-TEST SCORE

Test Results	N	Score	X	SD.	t-test
Pre-test	8	18	11.25	2.99	1.00
Post-test	8	18	12.25	2.68	

\*Level of significance is at 0.05



Table 4 illustrates the descriptive statistics of the critical thinking t-test scores of the participants before and after participating in the contemplative activities. Eight students (72.72 %) completed both tests. The average pretest score was 11.25 (S.D. = 2.99) and the average posttest score was 12.25 (S.D. = 2.66). The t-test result was 1.00. As the t-value from the t-distribution table was 1.89 and the statistical decision-making value was 1, which is lower than 1.86, the result from the posttest was not different from the pretest. Therefore, the results suggest that participating in the contemplative activities did not have a significant impact on the participants' critical thinking abilities statistically. However, it's important to note that the sample size was small, with only eight participants completing both tests, so further research with a larger sample size could help to confirm these findings.

While previous studies, such as the work of Zhang and Cheng (2018), Lihua Zhang (2021), and Xiangping Li (2022), have suggested that a contemplative approach can improve critical thinking skills, Giveh (2018) also indicated that the contemplative method significantly impacts learners' L2 autonomy, self-directed learning, and L2 reading comprehension skills, which can be related to critical thinking. These studies highlight that contemplative approaches can enhance students' engagement with literature, promote critical thinking, and foster a deeper understanding of literary texts. Furthermore, the results presented in Tables 3 and 4 of this study confirm the positive effect of implementing contemplative activities on students' English-speaking ability. However, it is worth noting that participating in contemplative activities did not statistically impact the participants' critical thinking abilities significantly. Some students' scores decreased, potentially due to factors such as student characteristics, language limitations, class schedule, teacher's skill and experience, student motivation and engagement, and specific teaching strategies. Future research is needed to explore these findings and identify strategies to enhance the impact of contemplative approaches on critical thinking skills. Additionally, consistent with Navaie et al.'s (2016) findings, there was no correlation between critical thinking and reading comprehension, as well as between mindfulness and critical thinking. However, a positive relationship between mindfulness and reading comprehension was observed. On another note, Fisher (2017) raises concerns about the effectiveness and underlying assumptions of contemplative pedagogy, which prioritizes practices like meditation, attentive listening, and reflective reading, favoring direct personal experience as a way of knowing and potentially overshadowing analytical reasoning. Although Fisher does not directly address the impact of contemplative approaches on critical thinking, his analysis emphasizes the need for careful consideration of the assumptions and potential limitations of contemplative pedagogy, highlighting the complexities involved in thinking, knowing, and learning.

### C. Reflective Journal

Based on the student responses on the reflective journals, the levels of Bloom's critical thinking demonstrated by the students vary. There were different levels of critical thinking observed, such as remembering, understanding, analyzing, evaluating, and creating. For example, in the story Alice's Adventures in Wonderland the levels of Bloom's critical thinking demonstrated by the students vary. Some responses show Remembering (STD 1, 6, 7), Analyzing (STD 4, 8), Evaluating (STD 2, 10), and Creating (STD 3, 5 and 11). Students were asked to choose a character they disliked and explain their reasoning. STD1's response shows limited evidence of critical thinking. The reasoning provided is based on superficial characteristics of the Queen of Hearts, such as power and wealth. Her response is at a remembering and understanding level as shown in *"I would like to be the Queen of hearts because she is the queen, she has a lot of spower even though most people hate her or afraid of her but she can do whatever she wants and she also rich."* STD2's response demonstrates higher-level critical thinking at the analyzing and evaluation levels. The student provides a detailed analysis of the White Queen's behavior and compares her to the Red Queen, highlighting different characteristics and their effects as shown in

*"I don't like the White Queen. Because I think she is in the eyes of the world as pure, noble heart ratio who all relish, clean the surface of the white queen is in use at the expense of others, she handed the axe to Alice let her go to slay the dragon, and then their receptivity, maintain your perfect posture, like this person, who would be willing to hand over to her heart, look at the red queen, indeed, her temper is very poor, It is not good for her subordinates, but she will frankly let these little monsters stay around her, lonely people stay together, it will be a lot of warmth, they are not a mutual comfort, the White Queen actually wants to use people around her to keep her virtue noble, so, it is not good for her"*.

Moreover, STD7's response also demonstrates a remembering and understanding level. The choice of the Red Queen is based on superficial observations of appearance and reputation without deeper analysis or reasoning: *"Red queen. Because she has heart-shaped hair and it's so beautiful. She has a ruthless heart and there are people who fear her"*. Moreover, STD8's response

*"I would be the Caterpillar. It is because, at first although he is strict and not very friendly but he likes to help others. Then, he also teaches Alice how to cope with the difficulties that she will encounters in Wonderland. Besides that, he could changes into a butterfly. I love butterfly because it is beautiful and it can also fly freely, I like the feeling of freedom. But, I don't like the Caterpillar smoking the hookah, because that is a bad behavior, smoking is harmful to health"*.

It shows a moderate level of critical thinking. The student provides reasons for choosing the Caterpillar, including its traits, helpfulness, and ability to transform. However, the analysis remains somewhat superficial. STD10's response does not exhibit significant critical thinking. The choice of the Mad Hatter is based on personal dislikes without deeper

analysis or reasoning *"Mad Hatter I don't like because 1). I don't like to who sits always at the time like you have the free time all days. 2). I afraid someone who dressed like Joker. 3). I like the reason, so I don't like the madman"*.

Moving on to the reflective journal about the story Harry Potter with the question "If I have a magic power, what would I do?" one student showed a sense of sympathy and concern for others, with a suggestion that she might want to be an advisor to someone as shown in *"I would like to fly and talk to animal. Because can be friend when I have no friend and anything can talk with me"* (STD6). There is some evidence of critical thinking at the lower levels of Bloom's Taxonomy, such as recalling information from the text, identifying character traits, making predictions, and expressing personal opinions. However, there is limited evidence of higher-level thinking skills such as analysis, evaluation, and synthesis. For example, statements like *"Ron found the one who can be his friend"* and *"He is very kind to Ron even if he just met Ron in the first time"* demonstrate an understanding of character relationships and traits. Additionally, statements like *"If I am Harry Potter, I will escape from that place"* show a level of analysis and evaluation of the situation. However, other statements like *"His sound very cute. All of character"* and *"I feel joke. This is a sitcom so comedy"* are more subjective and do not demonstrate critical thinking skills. Moreover, it seems that some students showed a level of critical thinking in their responses, while others did not. Some examples of critical thinking in the responses include: *"I thought that her thought is very good to solve the problem to develop from mistake."* (evaluating and analyzing), *"I think she is a kind and good person she love the environment and concern about the nature."* (evaluating), *"If I have a magic power. I would like to fly and talk to animal. Because can be friend when I have no friend and anything can talk with me."* (evaluating). However, many of them appear to be more focused on personal opinions and preferences, rather than critical thinking.

For the story Charlie and the Chocolate Factory, it seems that the students are generally positive and empathetic towards the characters. With regard to critical thinking, based on the student responses in their journal, it seems that the students are not demonstrating a high level of critical thinking based on Bloom's Taxonomy. Most of their responses are at the "remembering" level, where they are simply recalling facts or details from the story. Some responses may be at the "understanding" level, where they are interpreting or explaining the meaning of certain events or characters in the story. There are a few instances where students may be demonstrating a slightly higher level of critical thinking, such as when they are making connections between the story and their own personal experiences or opinions (e.g. *"I think my friend feels for Charlie because he is a good kid," "I think my friend likes to feel rich like Veruca"*). However, overall, the responses provided suggest a need for further development of critical thinking skills.

#### D. Semi-Structured Interviews

The data from semi-structured interviews revealed three aspects of students' attitudes towards the implementation of a contemplative approach: the challenges and effects of speaking English in the English literary classroom, the use of contemplative activities by the teacher to improve English-speaking skills, and the impact of implementing the contemplative approach on critical thinking abilities".

Upon analyzing the responses regarding the main difficulties when speaking English in the English literary classroom, several common themes emerge. STD1 mentioned that the main difficulty lies in understanding the teacher and unfamiliar vocabulary which indicates that comprehension and vocabulary acquisition are areas of challenge for this person. STD2 expressed shyness and uncertainty when speaking English. This suggests that confidence and knowing how to navigate conversations are areas that need improvement. STD3 highlighted the difficulty of speaking in front of a friend who is more proficient in English. This points to the presence of social pressure and a sense of comparison that affects the interviewee's speaking abilities. STD4 identified the fast pace of English in movies shown in class as a challenge, particularly when there are no subtitles available. This suggests that speed of speech and lack of visual support affect comprehension. STD5 mentioned difficulties with unfamiliar words and uncertainty about correct pronunciation. This indicates that vocabulary acquisition and pronunciation accuracy are areas of concern. STD6 expressed challenges with understanding the teacher, particularly when the teacher speaks too fast or not clearly. This indicates difficulties in perceiving and comprehending spoken English due to the pace or clarity of the instructor's speech. STD7 mentioned a lack of confidence and fear of providing incorrect answers, resulting in silence and negative emotions after the class. This indicates a confidence issue that hinders student willingness to speak and participate actively in English-speaking activities. STD10 expressed interest in the class despite not explicitly mentioning specific difficulties. His response suggests a positive attitude towards the English literary classroom and a general enthusiasm for learning in this context. Overall, the students' responses reflect various difficulties they face when speaking English in the English literary classroom, including comprehension challenges, lack of confidence, comparison and performance anxiety, difficulties with rapid speech and unclear pronunciation, vocabulary struggles, and fear of making mistakes. These insights can inform strategies and interventions to address these difficulties and create a supportive and inclusive learning environment that promotes students' English-speaking skills and confidence.

Regarding the impact of contemplative activities on their English-speaking skills, several common themes can be identified. STD1, STD5, and STD7 mentioned that the use of contemplative activities, particularly the ones involving cards, helped them improve themselves and their speaking skills. These activities provided them with an opportunity to speak, express their thoughts, and interact with their friends. They emphasized the importance of speaking out and the positive impact it had on their self-improvement and relationships. STD2 highlighted the significance of these activities for practicing speaking skills, especially for individuals who may be shy or lack confidence. She considered it an

important first step towards improving her ability to speak English. STD3 expressed that the activities showcased her communication skills, imagination, and ability to explain stories. The implementation of contemplative activities helped her develop these aspects of language and communication. STD4 emphasized that the activities not only improved her speaking skills but also enhanced her knowledge, vocabulary, and ability to express her thoughts based on different cards. STD6 shared a comprehensive response, stating that the use of contemplative activities had a significant positive impact on her English-speaking skills. She mentioned that these activities encouraged her to think, imagine, and find answers, which led to speaking out her thoughts with or without confidence. The subject made her feel more comfortable speaking English and eliminated her fear of doing so. STD10 provided a contrasting response, indicating that he does not feel any improvement in his English-speaking skills as a result of contemplative activities. He found the initial part of the class boring due to the level of detail involved but expressed interest in the movie-related aspects. Lastly, STD11 stated that she talks a lot and hears from her friends, indicating active participation in discussions. She mentioned having similar ideas with her friends, which suggests a sense of connection and shared understanding. This student expressed a positive feeling and improvement in speaking, specifically when discussing pictures and personal experiences. She found it beneficial to express her thoughts using pictures and provide explanations based on her own perspectives. Overall, the responses indicate that the implementation of contemplative activities in the classroom had a positive impact on the students' English-speaking skills. The activities provided opportunities for self-expression, interaction with peers, and the development of communication abilities. Many students reported improvements in their speaking skills, increased confidence, and a more comfortable approach to speaking English. However, it's important to note that not all students explicitly mentioned language development, and one student found certain aspects of the activities less engaging. These insights highlight the potential benefits of incorporating contemplative activities in language classrooms, fostering student engagement, self-expression, and growth in English-speaking skills.

Next, the improvement of critical thinking skills, the interviewee responses suggest that the implementation of the contemplative approach through activities such as using cards, imagination, and reflection has positively impacted their critical thinking abilities. The activities prompted them to think creatively, analyze problems, discover themselves, consider different perspectives, and communicate effectively. For example, STD1 mentioned that the contemplative activities, specifically using cards, prompted her to think and create explanations for the depicted person. STD2 expressed that the use of cards helped her imagine pictures that differed from those of her friends. STD3 highlighted the connection between contemplative activities and her ability to think creatively, mentioning the presence of codes and similarities in the cards. STD4 emphasized the realization and self-discovery that occurred through reading the cards, contributing to an understanding of oneself and one's mind. STD5 mentioned the opportunity to write down her imagination and think deeply when observing the cards. STD6 specifically stated that the contemplative activities helped her improve her critical thinking skills by encouraging her to think, compare, find reasons, and analyze problems, underscoring the significance of critical thinking in her life. Then, STD7 mentioned the impact of favorite lines or sentences from stories on his thinking, suggesting that engaging with meaningful content. Followed by STD10, she expressed that her drawings were a product of imagination and highlighted the differences in interpretations between herself and her classmates. Lastly, STD11 emphasized the ability of pictures to facilitate communication, decision-making, and the exploration of different points of view.

In addition, when asked whether the teacher should implement the contemplative approach to teach the EFL literature class in the future. STD1 expressed a positive opinion, stating that she really enjoyed the speaking test and found the activities related to movies interesting, indicating a favorable view toward implementing the contemplative approach. STD2 also expressed a positive inclination but raised concerns about the time required for these activities, suggesting that while she liked the approach, she felt it might be time-consuming. STD3 liked the idea of the contemplative approach, mentioning that it helped her understand pictures better and made her feel relaxed and less afraid. Her response suggests a preference for implementing the approach in the future. Then, STD6 strongly supported the implementation of the contemplative approach, particularly for EFL literature classes. She emphasized its potential to improve students' English-speaking skills, especially for those who are afraid of speaking. She also highlighted the engaging nature of thinking and imagining in the class, as well as the positive impact on communication and behavior. Overall, the interviewee responses indicate a generally positive attitude towards implementing the contemplative approach in teaching EFL literature. Students appreciated the engaging and relaxing nature of the activities, their positive impact on language skills, and the potential to boost confidence in speaking English. However, one student expressed concerns about time management.

#### *E. Classroom Observations*

From classroom observations, the students fully participated in the activities and willingly shared their personal opinions on the subjects and implemented activities. They listened attentively while their classmates were speaking, thinking, and comparing their internal voices with their peers' opinions. The classroom environment was relaxed and enjoyable, allowing every student to have the opportunity to speak, and most students attempted to speak in English. Students expressed their ideas using phrases such as "I think", "In my opinion", "I feel that...", "I agree with .....", etc., while a few students preferred to remain quiet and listen to their classmates, only speaking up when prompted by the teacher. Most of the class arrived early to participate in the check-in activities actively. This small class size was beneficial for the students in this group, as everyone had the opportunity to speak when it was their turn. The students

seemed to express their opinions on the stories because they could link their direct experiences from their childhood. It was found that the activities reduced students' anxiety about speaking and had a positive effect on their motivation to speak English, which in turn helped them share experiences, express opinions, and improve their potential. The finding indicated that the students enjoyed participating in various activities, such as the card reading activity, deep listening activity, and dialogue conversations from watching movie clips. The students appeared to be engaged and enjoyed expressing their ideas and opinions, often using phrases such as "If I were... I would..." during these activities. Laughter was a common occurrence during the class, suggesting that the students found the activities enjoyable. The students also appeared to benefit from the contemplative approach, which helped reduce their anxiety about speaking and increased their motivation to speak English. It can be recommended that incorporating contemplative approaches in classroom activities can have a positive effect on EFL undergraduate students' English-speaking skills development. Therefore, it is suggested that EFL instructors use contemplative approaches in their classroom activities to create a relaxed and enjoyable environment, which encourages students to participate and engage in activities.

## V. CONCLUSIONS AND RECOMMENDATIONS

In conclusion, this research has reviewed some perspectives for the implication of the contemplative approach in the EFL literature classroom context with the aim of enhancing students' English speaking skills and critical thinking skills. It's very challenging as the use of contemplative approaches in the EFL classroom is grounded in the belief that language learning is not only a cognitive process but also an affective and social process, leading to a more holistic and meaningful learning experience for students in the language classroom. From the finding of the research, contemplative approaches can strengthen students' English-speaking skills significantly. Although the results suggest that participating in the contemplative activities did not have a significant impact on the participants' critical thinking abilities statistically, there was a slight improvement in critical thinking. Therefore, further investigation may be needed to determine why their scores decreased and if any factors could have affected their performance. There are recommendations for further study as follows:

1. This study is a short-term implementation that only examines one classroom, with a small class size of eleven students, and only examines the immediate effects of the program. The researcher would recommend considering a long-term study with a bigger classroom size. Further research is needed to examine the long-term effects of a contemplative approach on English speaking ability and critical thinking skills, including whether the skills acquired through contemplative practices can be sustained over time.
2. The study focused solely on the contemplative approach, but many other approaches to language learning could be compared to it. Future research could compare the effectiveness of the contemplative approach with other methods, such as task-based language learning, project-based learning, or communicative language teaching.

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# How Does the Use of Cohesive Devices in L2 Individual Writing Change After Writing Collaboratively or Independently?

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**Abstract**—This study looked at how completing collaborative or independent writing can affect the individual writing that students subsequently produce; specifically at how the use of cohesive devices in individual L2 student writing changes as a result of completing these two writing procedures under the same conditions. To do so, this large-scale study (n=128) looked at the use of cohesive devices in individual writing completed before (pre-test) and after (post-test) either collaborative or independent writing had been carried out. It also assessed examples of collaborative writing dialogue (n=94) to identify student deliberation about cohesion and the organization of the coauthored text; comparing the frequency of these to discussions about language use and mechanics of writing. Results revealed that there were very similar significant changes in the use of cohesive devices in the individual post-test writing of students from both writing groups and minimal student discussion about the use of cohesive devices in collaborative writing dialogue. Therefore, it is possible that the changes noted in the collaborative writing group (and the independent writing group) were possibly due to instruction and not due to the type of writing completed. On the other hand, students frequently engaged in discussions about language use and thus collaborative writing may be more conducive to learning about this aspect of writing.

**Index Terms**—collaborative writing, cohesive devices, second language writing

## I. INTRODUCTION

Collaborative writing in second language learning (L2) has primarily been seen as an activity that can allow students to work together to resolve language issues in writing that normally could not be resolved by each individual learner. For example, by pooling linguistic resources, students may jointly be able to come up with the correct way to express their ideas in text (Swain, 2000). This view of collaborative writing in L2 is grounded in the socio-cultural approach to learning (Elola & Oskoz, 2023). However, there is another alternative view of collaborative writing in L2, that has not been fully explored, which is driven by a socio-cognitive/ interactionist perspective. From a socio-cognitive perspective, learning is seen as an individual, cognitive process that is facilitated by interaction with others (Philp et al., 2014). If learning is facilitated by interaction with others, then the process of writing collaboratively may also provide students with opportunities to learn. Viewed through a socio-cognitive/ interactionist lens, we can consider what L2 students learn from working with their peers while writing collaboratively by identifying student discussions about language use and other aspects of writing that could potentially facilitate learning, and by assessing how individual student writing changes after completing this interactive writing procedure. Viewed from a socio-cultural perspective, previous research conducted by Storch and Wigglesworth (2007), Wigglesworth and Storch (2009) and Dobao (2012) has looked at how writing produced collaboratively differs to writing produced independently and primarily focused on language use and on the mechanics of writing. Thus, these studies did not examine what individual students could learn from the process of writing collaboratively or examine how each student's own individual writing may develop as a result, nor did they examine the effects that collaboration can have on rhetorical aspects of text such as on cohesion and on the use of cohesive devices in writing.

To address these gaps in research, this study, which considers collaborative writing from a socio-cognitive/ interactionist perspective, looked at how individual student writing changed as a result of completing collaborative writing; comparing this to how individual writing changed after students completed independent writing under the same conditions; specifically looking at how the use of cohesive devices in individual writing changed after writing collaboratively or independently. It also examined examples of collaborative writing dialogue (n=96) to identify student discussions about cohesion and the use of cohesive devices that may provide evidence of students learning about how these devices are used. The frequency of these discussions was then compared to the number of discussions about language use and the mechanics of writing.

## II. LITERATURE REVIEW

### A. *The Characteristics of Collaborative Writing in L2*

Collaborative writing is defined as an interactive process in which participants work together while writing, contributing to the planning, generation of ideas, deliberations about the text structure, and editing and revision (Storch, 2013). This type of writing may be completed face-to-face in a physical learning environment or online. This study focuses on face-to-face collaborative writing. While writing collaboratively, learners suggest and counter-suggest ideas to be included in the writing that they will produce; reviewing these until agreeing upon how each idea should be expressed in their text (Storch, 2013). Deliberation about writing is external and explicit as each learner's thoughts and understanding about how language should be used in the coauthored text are brought out into the open to be reviewed, explained, or discussed (Storch, 2019). This externalized deliberation opens up opportunities to learn that are not provided by independent writing. For example, students may be able to notice how language is used by their peers as they make proposals for the coauthored text and have the opportunity to ask questions about its use. They may also be able to notice how a new word or grammatical structure is used by peers and can add this to their own language repertoire (Storch, 2005). In addition to this, peer interaction may potentially increase the feedback that learners receive as writing is being completed. For example, when making a proposal for the coauthored text, students can receive corrective feedback from peers on incorrect language use that may prompt learners to reconsider and possibly modify language use (Davison, 2021). Another characteristic of collaborative writing in L2 is that learners engage in discussions about language use and about other aspects of writing. These discussions, referred to as language related episodes, or LREs (Swain & Lapkin, 1998), may allow students to share knowledge with their peers. To date studies into the use of collaborative writing in L2 have identified LREs relating to language use or the mechanics of writing (see Dobao, 2012; Storch & Wigglesworth, 2007; Wigglesworth & Storch, 2009). To add to this, the present study will also assess discourse-related LREs associated with cohesion and the organization of text.

### B. *The Learning Potential of Collaborative Writing*

The majority of studies that have assessed the potential of collaborative writing for L2 learning have looked at how writing that is produced collaboratively (in pairs or groups) compares to writing that individuals produce. Several studies have compared writing produced collaboratively and writing produced independently and have noted differences between them. Storch (2005) found that writing produced collaboratively was more accurate and linguistically complex, but more succinct than writing produced independently. In the studies carried out by Storch and Wigglesworth (2007), Wigglesworth and Storch (2009) and Villarreal and Gil-Sarratea (2019) there were higher levels of accuracy in the writing produced collaboratively, but no significant differences in terms of complexity and fluency. When comparing writing produced collaboratively by pairs or groups of students and writing produced independently, Dobao (2012) noted that writing completed by groups of students was more accurate than writing produced by pairs, and that paired writing was more accurate than individual writing. With a slightly different focus, McDonough, De Vleeschauwer and Crawford (2018) examined the writing of three groups of students who had either completed collaborative writing, independent writing, or students who had worked collaboratively during the pre-writing stage (relating to idea generation and planning), but who had completed writing individually. They also found that texts that were produced collaboratively were more accurate than those produced independently or by collaborative prewriting students. The common pattern highlighted by the previously outlined studies, that compared writing produced collaboratively to writing produced by individuals, is that writing that is completed collaboratively tends to be more accurate than writing produced by individual learners. While these studies seem to indicate that collaboration may have an effect on the accuracy of writing that is produced, they did not focus on the impact of collaboration on the rhetorical aspects of text, such as its effects on cohesion. It is important to examine this because student focus on correct language use while writing collaboratively may potentially distract their attention from other aspects of writing, such as cohesion. Weigle (2002) stresses that the necessity of devoting cognitive re-sources to basic language issues may mean that not as much attention can be given to higher-order issues such as content and organization; a point seconded by Van Gelderen, Oostdam and van Schooten (2011). It is also important to verify whether learners engage in discussions about the organization and cohesion of the coauthored text while writing collaboratively, or whether their discussions only focus on language use or on the mechanics of writing.

To date, only a very limited number of studies have investigated how individual writing changed as a result of completing either collaborative or independent writing. Some of these have looked at collaborative writing produced in a physical learning environment (as the present study does) and others at collaborative writing completed on-line. All of these studies employed a pre and post-test design to assess how the individual writing of students changed after completing collaborative or independent writing. Shehadeh (2011) compared the pre and post-test performance of two groups of students who had completed the same series of writing tasks either independently or collaboratively. Using a writing scale that assessed the content, organization, grammar, vocabulary and mechanics of the writing produced, this scholar found that the rating for content, organization and vocabulary increased by a significantly greater degree in the post-test writing of the collaborative writing group, but there were no significant differences in terms of grammar and mechanics of writing. In a similar study, Khatib and Meihami (2015) assessed the pre and post-test individual writing of

two groups of low-intermediate EFL students completed before and after collaborative or independent writing had been carried out. Employing the same rating scale used in the study carried out by Shehadeh (2011), they found that the rating of the content, organization, grammar, vocabulary, and mechanics of writing increased by a statistically significant greater degree in the post-test writing of students who had completed writing collaboratively than in the writing of their peers who completed independent writing.

A limited number of other studies have looked at the effect of completing collaborative writing on-line; comparing this to writing that is completed independently. A study conducted by Bikowski and Vithanage (2016) examined how individual writing changed as a result of completing four web-based collaborative or independent writing tasks. Using an analytic rubric, which assessed the content, organization, academic style and grammar of the writing produced, these researchers found that there was a significantly greater increase between the pre and post-test writing scores of students from the computer-mediated collaborative writing group than in the same writing of students from the independent writing group. The second study conducted by Hsu and Lo (2018) assessed changes in individual writing after pairs of students had completed collaborative writing online or independently over a period of 9 weeks. The researchers assessed the content and organization of writing produced, and complexity and accuracy. They found that there were significantly greater increases in accuracy in the individual post-test writing of students from the online collaborative writing group, but no significant differences between both writing groups in measures of complexity. They also found the ratings associated with the content of writing produced increased by a significantly greater degree between the pre and post-test writing of students from the computer-mediated collaborative writing group than in the writing of students from the independent writing group, but there was not a significant difference between ratings associated with organization.

The limited number of studies that assessed how individual writing changed as a result of completing either collaborative or independent writing all revealed more pronounced improvement in the writing of students who had carried out collaborative writing. While most of these studies noted significant improvement in the organization of individual writing after collaborative writing had been completed, none of these examined cohesion, nor did they identify possible discussions in collaborative dialogue that could have led to this change. To address this gap, the present study assessed how the use of cohesive devices in individual writing changed as a result of completing collaborative writing in an EAP program over a period of 8-weeks, comparing this to how the use of these changed in individual writing after completing independent writing. It also reviewed examples of recorded collaborative writing dialogue (n=94) to identify language related episodes associated with cohesion and the organization of text, referred to as discourse-related LREs (Fortune & Thorp, 2001). The frequency of these discourse-related LREs was then compared to the frequency of other LREs associated with language use and the mechanics of writing which have been identified in previous research carried out by Storch and Wigglesworth (2007), Dobao (2012), and Wigglesworth and Storch (2009).

In this study, the following research questions will be addressed:

1. Does carrying out collaborative writing affect the use of cohesive devices in the individual writing that students subsequently produce?
  - 1.1 If so, how does this differ to differences noted in individual writing after independent writing is completed?
2. Do students engage in LREs associated with the cohesion of written discourse?
  - 2.1 If so, do learners engage in these LREs to a greater or lesser extent than in LREs associated with language use or the mechanics of writing?

### III. METHOD

#### A. Research Design

This quasi-experimental classroom-based study (n=128) employed a quantitative approach and followed a non-equivalent (pre-test and post-test) control-group design. It involved two groups of students; referred to as the collaborative and independent writing groups. Students from both groups completed an individual pre-test writing activity to establish the baseline linguistic competence of each writer (stage 1). Afterwards, students assigned to the collaborative writing groups completed a series of writing tasks collaboratively while students assigned to the independent writing groups completed the same series of writing tasks independently. During this period the dialogue of students who completed collaborative writing was recorded (stage 2). At the end of an eight-week period, students from both groups completed an individual post-test writing activity (stage 3). Because this research looked at changes in individual writing that may result from completing these two writing processes, and not at writing completed collaboratively, the writing produced by pairs of students was not assessed.

#### B. Setting and Participants

This study took place in an EAP program in a university in the United Arab Emirates. Other than varying the type of writing that was completed, no changes were made to any part of the EAP program to accommodate this study. Thus all students received the same instruction. All classes were taught by the same instructor and were composed of a 20-minute instruction phase that focused on composing and not on language use. This was followed by a 50-minute writing



phase in which students were instructed to complete each writing task, but not on how they should complete it. The final 10-minute review phase of each class was spent answering questions about the writing activity. Students attended two classes per week. The participants in the study also completed the same series of writing activities as other students who had completed the EAP program previously (i.e. descriptive, cause and effect and compare and contrast writing). Each writing activity was completed in one class. At the end of each class, completed writing would be submitted to the instructor who would return the writing samples to students with written feedback on each in the following lesson.

Students from 8 class groups were asked to take part. These were Arabic first language speakers, of similar age (19-21) and as a prerequisite for the EAP course, were required to have an IELTS 6.0-6.5 band score. Thus, all students taking part had an intermediate level of English. In one semester, four intact class groups took part; in the following semester four additional groups were included. Of the four class groups chosen in each semester, two were randomly chosen to be groups that completed collaborative writing and the others completed writing independently. The data of 128 students (n=128) was used with an equal number of students from the collaborative group (n=64) and the independent group (n=64). Participation was voluntary and student permission was requested for their data to be used. A similar number of students from both writing groups gave permission.

### C. Collaborative Writing Procedure

Learners who completed collaborative writing worked in pairs. They were allowed to choose their own partner as previous research has noted that pairing students may have an impact on their interaction (see Mozafarri, 2017; Basterrechea & Gallardo-del-Puerto, 2023). A brief explanation was given to students on how collaborative writing would be completed, but learners did not receive training on how to complete this. Generally, students had a collaborative pattern of interaction (re Storch, 2002) with both learners contributing and engaging equally with the task. As an English medium university, peers primarily deliberated about writing in English although they would occasionally slip into the use of their own language. Arabic use was mainly associated with the use of discourse markers, such as well, or you know while conversing.

### D. Collection of Data and Instruments

In this quantitative study, pre and post-test writing data was collected. This was analyzed to assess changes in the use of cohesive devices in individual writing completed before (pre-test) or after (post-test) either collaborative or independent writing had been carried out. Data relating to collaborative writing dialogue was also collected; specifically about the different types of language related episodes that students engaged in, and the ratio of those associated with language use, the mechanics of writing, or about cohesion and the organization of written discourse.

To ensure that the pre and post-test writing tasks were similar and that differences between them did not significantly affect the results, two writing tasks were selected that had previously been used as writing diagnostics (writing task A and writing task B, see Appendix A). These writing activities had the same level of difficulty and were selected because they were related to the same type of expository writing. To further minimize the difference between these, the use of both writing tasks was inverted during the two rounds of data collection. Thus, writing task A was used for the pre-writing task and then task B for the post-test in the first round of data collection (semester 1) and task B was used for pre-task writing and task A for post-test writing in the second (semester 2). For assessment, all writing scripts (n=256) were jumbled up by randomly assigning each a number from 1 to 256 (after the number that corresponded to each particular script had been recorded) and then reordering the scripts by number (1 to 256). By doing this, the assessors were not able to know whether the script had been completed by a student from the collaborative or independent writing group, nor whether this had been completed as a pre or post-test writing activity.

Student dialogue was recorded for each pair of learners who completed collaborative writing. Due to the time involved, one quarter of all collaborative dialogue was transcribed and subsequently analyzed (n=94) to identify discourse-related LREs associated with the organization of text and cohesion (re Fortune & Thorp, 2001) along with language-related and mechanics-related LREs that had been identified in previous research (see Dobao, 2012; Storch, 2007; Storch & Wigglesworth, 2007; Wigglesworth & Storch, 2009).

### E. Measures of Cohesion and Assessment Procedure

Cohesion refers to the grammatical and lexical elements of a text which can form connections between different parts of the writing (Tanskanen, 2006). Halliday and Hasan (1976) have outlined five different cohesive devices that can be used to create cohesion in discourse. These are conjunction, reference, lexical cohesion, substitution, and ellipsis. As the last two of these are more characteristically found in dialogues and seldom used in formal written discourse (Yang & Sun, 2012), these are not examined in this study and not detailed in the table below.

TABLE 1  
EXAMPLES OF COHESIVE DEVICES ASSESSED

Cohesive device	Example of use
Conjunction	<b>First</b> , students make an outline. <b>Afterwards</b> , they write the essay.
Reference	<b>Essays</b> sometimes have errors. <b>They</b> need to be checked thoroughly.
Lexical cohesion	<b>Checking</b> essays is tedious but <b>reviewing</b> them is important.

The initial assumption is that the use of cohesive devices will increase as writing develops, but changes in the use of the three different devices identified in this study may potentially occur at a different pace. Also Crossley, Kyle and McNamara (2016) found that while the use of cohesive devices in writing mostly increased over time as writing developed, measures of syntactic cohesion actually decreased. However, Yang and Sun (2012) stress that the more frequent and skillful use of cohesive devices, the more coherent and understandable the text is supposed to be. In this study, the measures shown in Table 2 below were used to assess how carrying out either collaborative or independent writing affected the use of cohesive devices in the individual writing that students subsequently produced. This was done by comparing the number of different cohesive devices in individual writing that students completed before (pre-test) and after (post-test) either collaborative or independent writing had been carried out and the degree of change between these two measures.

TABLE 2  
MEASURES OF COHESION USED

Measure of cohesion
The number of cohesive conjunctions used per text (per 100 words)
Number of noun-reference pairs used per text (per 100 words)
The number of noun / synonym pairs per text (per 100 words)

The manual identification of cohesive devices was completed by two different assessors. Training was completed by both examiners to ensure that both were identifying the different types of cohesive devices in the same way. Each type of cohesive device was identified separately using three identical sets of scripts (one for each type of cohesive device). To avoid confusion, each examiner identified cohesive conjunctions on one set of scripts, noun/reference pairs on another set and noun/synonym pairs on another. There were high rates of inter-rater reliability between both assessors relating to the identification of the different cohesive devices in the writing samples (i.e. 81.3% to 87.5% simple percentage agreement) which indicated that the different types of cohesive devices were being identified consistently. To further ensure the reliability of this assessment, both assessors reviewed the examples of scripts where their rating differed and discussed these until coming to an agreement on the final rating of each (see Johnson et al., 2005) thus there was 100% agreement between both assessors.

#### F. Identification of Language-Related Episodes and Assessment Procedure

In this study language-related episodes that focused on the cohesion and organization of text (referred to as discourse-related LREs) were identified alongside language-related LREs and mechanics-related LREs that had been identified in previous research. Polio (2011) points out that by observing students interacting about writing, we can gain insight into what they are focusing on. Thus, by comparing the frequency of LREs relating to cohesion and the use of cohesive devices to those associated with language use or the mechanics of writing, we can gauge how much students are focusing on this aspect of writing and at the same time identify opportunities to learn about cohesion that may be provided by student interaction. The measures used in this study are shown in Table 3.

TABLE 3  
LANGUAGE-RELATED EPISODE MEASURES USED

The number and ratio of LREs by type (per dialogue)
Number and ratio of language related LREs ( relating to grammar and lexis)
Number and ratio of mechanics related LREs ( relating to spelling and punctuation)
Number and ratio of discourse related LREs ( relating to cohesion/organization of text)

The manual identification of the different types of LREs was completed by two different assessors and training was conducted prior to identification. After training, each assessor was given an identical set of the 96 samples of collaborative dialogue and identified the different LREs on each. These were highlighted according to a color code established on the assessment guide (see Appendix B). When this was completed, each assessor noted down the number of language-related, mechanics-related and discourse-related LREs for each sample in a table at the end of each. Assessors also noted down the number of discourse-related LREs that involved discussions specifically about cohesion and the use of cohesive devices and the number of those that dealt with the organization of text. The rate of inter-rater reliability for this assessment was acceptable; both assessors rated 79/94 examples in the same way and as a result there was 84% simple percentage agreement. As with the previous measure, both assessors then reviewed the samples where their rating differed and reviewed these until coming to an agreement on the final assessment of each (see Johnson et al., 2005).

#### G. The Reporting of Results

Firstly, descriptive statistics are presented followed by the associated tests of statistical significance. For measures of cohesion, a mixed model 2x2 multivariate analysis of variance (MANOVA) was employed to avoid using multiple t-tests which increases the risk of Type 1 error (Pallant, 2003). With this analysis, the interaction effect time \* treatment on dependent variables is reported along with the main effects of time and treatment and the effect size of each of these. The Pillai's Trace multivariate test of significance is used. If a significant difference is found for the combined dependent variables, the individual univariate measures will be reported as well. Before carrying out MANOVA

analysis, the researchers verified that the assumptions of the test had been met (re Pallant, 2003). To assess whether differences in the frequency of the various types of LREs that students engaged in was significant, a paired t-test was used. Data relating to mechanical LREs did not meet the requirements of this test and thus the paired t-test only assessed the significance of the difference between the mean number of language-related and discourse-related LREs.

#### IV. RESULTS

In Table 4 we can see that there was an increase in the mean number of cohesive conjunctions and noun synonym pairs in the post-test writing of both groups. Surprisingly, there was also a decrease in the mean number of noun reference pairs in the post-test writing of both.

TABLE 4  
THE USE OF COHESIVE DEVICES IN PRE AND POST-TEST WRITING

Measure	Writing group	Pre-test writing		Post-test writing	
		Mean	SD	Mean	SD
Number of cohesive conjunctions (per text per 100 words)	Collaborative	9.71	2.21	10.26	1.93
	Independent	8.89	2.16	9.51	2.23
Number of noun reference pairs (per text per 100 words)	Collaborative	6.98	2.51	6.27	2.34
	Independent	6.23	1.96	5.93	2.26
Number of noun synonym pairs (per text per 100 words)	Collaborative	1.58	1.00	1.80	1.18
	Independent	1.68	1.10	1.85	1.06

Using Pillai's trace, results revealed that the number of cohesive devices changed significantly over time in the individual writing of students from both groups. Associated univariate measures revealed a significant increase in the mean number of cohesive conjunctions over time and an unexpected significant decrease in the number of noun reference pairs. However, the effects size for both of these changes was small (see Cohen, 1988). The interaction effect between time \* treatment on the number of cohesive devices in writing was not significant and thus there were no significant differences between the changes of either group. Therefore, the number of cohesive devices did not increase or decrease by a significantly greater degree in the post-test writing of either. There was also a significant main effect of treatment on the combined measures of cohesion in the writing of both groups. However, univariate measures revealed that there was only a significant difference between the mean number of cohesive conjunctions. The mean number of cohesive conjunctions in the pre-test writing samples of both groups differed. As there were parallel increases in these devices in the post-test writing of both, the mean number of these conjunctions in post-test writing also differed.

TABLE 5  
MULTIVARIATE (MANOVA) ANALYSIS OF THE USE OF COHESIVE DEVICES IN WRITING

Use of cohesive devices	V	F (3, 124)	P	$\eta_p^2$
Time	.075	3.34	.021*	.075
Treatment	.075	3.24	.021*	.075
Time*treatment	.006	.270	.847	.006
<b>Univariate use of cohesive devices</b>		<b>F (1,126)</b>	<b>P</b>	<b><math>\eta_p^2</math></b>
<u>Mean # of cohesive conjunctions</u>				
Time		5.88	.017*	.045
Treatment		7.23	.008*	.054
<u>Noun reference pairs</u>				
Time		4.72	.032*	.036
Treatment		2.77	.098	.022
<u>Noun synonym pairs</u>				
Time		3.37	.069	.026
Treatment		.224	.637	.002

\* Indicates  $p < .05$

In Table 6 we can clearly see that students engaged in more LREs about language use than in LREs about discourse or the mechanics of writing. Of the 187 discourse-related LREs, 145 of these were associated with discussions about the organization of ideas within the text, and only 42 of these LREs were directly concerned with cohesion and the use of cohesive devices. We can also see that students engaged in a similar mean number of LREs relating to discourse and the mechanics of writing.

TABLE 6  
NUMBER OF LREs IN COLLABORATIVE WRITING DIALOGUE (N=94)

Type of LRE	# of LREs (in all samples)	Mean	SD
Language related LREs	597	6.35	3.51
Mechanics related LRES	158	1.68	1.92
Discourse related LRES	187	1.99	1.95
D-LREs - organization of text	145	1.54	1.82
D-LREs - cohesion / cohesive devices	42	0.45	0.68
All LREs identified	942	10.02	5.81

A paired-samples t-test was conducted to compare the mean number of discourse-related and language-related LREs. There was a significant difference between the mean number of discourse-related LREs ( $M=1.99$ ,  $SD=1.95$ ) and language-related LREs ( $M=6.35$ ,  $SD=3.51$ ),  $t(92) = 10.64$ ,  $p = .001$ . These results revealed that learners engaged in more LREs relating to the use of language than in discourse-related LREs associated with cohesion and the organization of text.

## V. DISCUSSION

The results of this study revealed similar significant changes in measures of cohesion in individual writing produced after both collaborative and independent writing had been carried out over a period of 8-weeks. The changes in the use of cohesive devices were similar in the individual writing of students from both groups and thus there were no significant differences between these. From the results of this study, we can only conclude that the use of cohesive devices in individual writing did not differ after completing collaborative or independent writing and that neither had a greater impact on how cohesive devices were subsequently used. There are also indications that the significant changes noted in the post-test writing of both groups were most likely due to a factor common to both, such as instruction, and not due to the type of writing that was carried out. The reasons for this interpretation are explained below.

Analysis of collaborative writing dialogue revealed that there were very few student discussions about the use of cohesive devices that could have allowed them to learn about how these devices are used, and that could potentially have led to the significant changes in cohesion noted in the individual writing of students from this group. From a socio-cognitive perspective, students could have potentially learned about the use of cohesive devices from working with their peers and this potentially could have led to the changes noted. However, the limited number of student discussions about cohesive devices in this study suggests that this possibly is not the case. This does not mean that students cannot learn about the use of cohesive devices from their peers. In fact, a review of collaborative writing dialogue illustrated examples of students providing corrective feedback to their peers about the use of cohesive devices in their coauthored text and of them sharing knowledge about this facet of writing (as can be seen in the examples below). However, the limited number of these discussions in collaborative writing dialogue does not account for the significant change in the use of cohesive devices in the writing of this group.

### One student providing corrective feedback to a peer on the use of cohesive devices

- S1 On the other hand  
 S2 No, **not on the other hand...**  
 S1 Okay  
 S2 **Another** food...  
 S1 **Another** kind of food

[From dialogue sample 51]

### Students sharing knowledge about the use of cohesive devices

- S2 Moreover... write **moreover** or **secondly**...?  
 S1 **Moreover is for adding information**  
 S2 **Secondly**, types of meats with fresh...

[From dialogue sample 86]

To illustrate this point, out of the 942 LREs identified in all samples of collaborative writing dialogue in this study ( $n=94$ ), only 42 of these were concerned with the use of cohesive devices. This means that out of the mean number of 10.02 LREs per collaborative writing dialogue, only 0.45 of these involved discussions about cohesion. From a socio-cognitive/ interactionist perspective, the individual, cognitive process of learning may be facilitated by interaction with others (Philp et al., 2014) however the limited number of student discussions about cohesion in collaborative writing dialogue suggest that another factor, such as instruction, was responsible for the significant change in the use of cohesive devices in the post-test writing of the collaborative writing group. Further support for this interpretation is provided by the similar changes in cohesive devices in the post-test writing of both groups. For example, in the writing of both, the use of cohesive conjunctions increased significantly while there was an unexpected decrease in the use of noun reference pairs in the two. The similar pattern of changes in the use of cohesive devices in the writing of both groups seems to suggest that these were due to a factor common to both (e.g. instruction) and not due to the type of writing completed. This unusual pattern of changes in post-test writing also suggests that the use of cohesive devices may not increase uniformly as writing develops as noted by Crossley et al. (2016).

The results of this study revealed that students deliberated about language use far more frequently than about discourse and rhetorical aspects of text, and that there was relatively little deliberation about the use of cohesive devices in writing. Polio (2011) points out that by observing students interacting about writing, we can gain insight into what they are focusing on. In this study, students clearly seemed to focus on language use. There was a statistically significant difference between the mean number of language-related LREs ( $M=6.35$ ) and discourse-related LREs ( $M=1.99$ ). More importantly, most of the discourse-related LREs involved discussions about the organization of text ( $M=1.54$ ) rather than about cohesion and the use of cohesive devices ( $M=0.45$ ). Student interaction in this study suggests that learners primarily focus on language use rather than on cohesion and the use of cohesive devices in writing. Even though previous studies completed by Storch and Wigglesworth (2007), Wigglesworth and Storch (2009) and Dobao (2012) did not identify discourse-related LREs, these studies also revealed that students primarily engaged

in lexical L-LREs and grammar-related F-LREs associated with language use rather than engage in LREs about the mechanics of writing. This may explain why there were significant differences in the accuracy of writing produced by pairs or groups of students than in writing produced individually in these studies, and in others carried out by McDonough et al. (2018) and Villarreal and Gil-Sarratea (2019). The frequency of discussions about language use in this study also suggests that completing collaborative writing could potentially allow students to learn about correct language use and perhaps have an impact on the accuracy of subsequent individual writing that students produce. However, this possibility needs to be verified through further investigation. Further investigation is also needed to clarify why students seem to focus on language use and less on rhetorical aspects of text.

## VI. CONCLUSION

The results of this study revealed that there were significant changes in the use of cohesive devices in individual writing completed before and after both collaborative and independent writing had been carried out. These changes were similar and thus there were no significant differences between these. The similar pattern of changes in the use of cohesive devices and limited student discussions about the use of these during collaborative writing suggest that these changes were due to a factor common to both groups, such as instruction, and not due to the type of writing produced. However, analysis of collaborative writing dialogue revealed that students engaged extensively in discussions about language use and thus it is possible that collaborative writing may be conducive to learning about this facet of writing.

### APPENDIX A. WRITING TASKS COMPLETED

#### Writing task A

Some people say that childhood obesity is increasing in many countries around the world. What are the possible causes of this increase and what can be done to deal with this problem?

#### Writing task B

Some people say that young people do not do as much exercise as they did in the past. What are the possible causes of this problem and what can be done to deal with this issue?

### APPENDIX B. IDENTIFICATION OF LRES

An LRE is counted as an exchange between to students about the topics below. A comment <b>without response is not counted/ highlighted</b> as an LRE. Off topic discussions also not counted as an LRE. Use the color below to highlight each type of LRE on the sample of CW	
Highlighting	Description of LRE
Lexis related LRE	An exchange in which students discuss the use of lexis.
Grammar related LRE	An exchange in which students discuss the use of grammar.
Mechanics related LRE	An exchange in which students discuss the use of spelling or punctuation
Discourse related LRE	An exchange in which students discuss the use of cohesion or deliberate about the organization of their ideas in writing

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# An Evaluation of ChatGPT's Translation Accuracy Using BLEU Score

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**Abstract**—Traditional views have long held that machine translation cannot achieve the quality and accuracy of human translators, especially in complex language pairs like Persian and English. This study challenges this perspective by demonstrating that ChatGPT-4, with access to vast amounts of multilingual data and leveraging advanced large language model algorithms, significantly outperforms widely utilized open-source machine translation tools and approaches the realm of human translation quality. This research aims to critically assess the translation accuracy of ChatGPT-4 against a traditional open-source machine translation tool from Persian to English, highlighting the advancements in artificial intelligence-driven translation technologies. Using Bilingual Evaluation Understudy scores for a comprehensive evaluation, this study compares the translation outputs from ChatGPT-4 with MateCat, providing a quantitative basis for comparing their accuracy and quality. ChatGPT-4 achieves a BLEU score of 0.88 and an accuracy of 0.68, demonstrating superior performance compared to MateCat, with a 0.82 BLEU score and 0.49 accuracy. The results indicate that the translations generated by ChatGPT-4 surpass those produced by MateCat and nearly mirror the quality of human translations. The evaluation demonstrates the effectiveness of OpenAI's large language model algorithms in improving translation accuracy.

**Index Terms**—BLEU score evaluation, ChatGPT-4 translation, large language models, machine translation accuracy, translation quality assessment

## I. INTRODUCTION

Global communication and understanding are crucial in this information era because of linguistic barriers. An automated translation technology named Machine Translation (MT) paved the way for bridging the gap between different languages worldwide. Rawling and Wilson (2021) stated that MT facilitates information exchange by translating text from one language to another. With the need for effective cross-cultural communication, developing MT systems that can translate accurately has become a key focus of research, especially in language and translation (Wu et al., 2016). One of the most significant developments widely utilized today is ChatGPT, an advanced Large Language Model (LLM) series developed by OpenAI. This technology demonstrated an excellent performance in comprehending human context and generating text mimicking human language (Liu et al., 2023). This Artificial Intelligence (AI) model leverages a large amount of training data and advanced algorithms to capture underlying patterns, semantics, and languages. The ability of ChatGPT models, specifically ChatGPT-4, to understand and generate human-like responses in any language has transformed the domain of Natural Language Processing (NLP), which provides an avenue for developing MT systems that will outperform the MT traditional methods (Adedokun et al., 2023). The transition from Rule-Based Machine Translation (RBMT) methods to data-driven MT marked remarkable progress in language and translation (Stahlberg, 2020). Although the advancement in MT is promising because of the accessibility of different translation automation, it is essential to evaluate its performance to ensure quality standards for the translation it generates. Han (2022) emphasized that MT evaluation of statistical and neural machine translation is vital to assess the credibility and constraints of different available MT systems.

This study aims to evaluate the translation quality of ChatGPT translation from Persian to English by utilizing automated metrics such as Bilingual Evaluation Understudy (BLEU) and accuracy. BLEU is a preeminent statistical metric that quantifies the similarity between machine translations and their human-generated counterparts (Reiter, 2018). A web-based translation tool, MateCat, will be used as the comparative baseline to give insight into which MT tool performs better in translating complex language pairs like Persian and English. The study hypothesizes that the translation quality of ChatGPT-4 outperforms MateCat and is close to the reference translation because ChatGPT-4 utilizes advanced large language modeling. This study will utilize a Persian history book as the source text and its human-generated translation as the reference text. The translations from ChatGPT and MateCat will be evaluated to measure the BLEU score and accuracy of the translations from Persian to English. All the text undergoes data preprocessing to ensure uniformity and consistency among the corpus and will generate a reliable MT evaluation result. This study contributes to the advancements of MT by providing comprehensive insights about the results, supporting automatic metrics with human evaluation, and delivering knowledge of the strengths and weaknesses of ChatGPT-4, the Persian-to-English translation setting.



## II. LITERATURE REVIEW

The advent of computers and AI heralded an advancement in translation with the development of MT systems (Poibeau, 2017). MT has the most significant potential to overcome language barriers and facilitate cross-lingual communication (Rivera-Trigueros, 2022) despite generating more nuanced findings on variations (Sakamoto, 2020). With this, research and advances in MTs have been expanding rapidly for several decades (Wang et al., 2022).

### Evolution of Machine Translation

The first concept of MT appears in Warren Weaver's (1955) Memorandum on Translation, and from then on, the development of MT technologies arose, which resulted in the initial non-numerical usage of computers (Kenny, 2022). Wang (2024) remarked that the early approaches of MT were rule-based systems that relied on dictionaries, grammar, and transfer rules to generate translations. The study of Bhadwal et al. (2020) utilized Rule-Based Machine Translation (RBMT) to translate prominent language features of Hindi and Sanskrit, effectively addressing the challenge of polysemy in verb translation. While RBMT could produce high-quality translation, these systems needed improvement in handling ambiguity and idiosyncrasies of new language pairs or domains (Harsha et al., 2022; De Martino et al., 2023). The advent of statistical methods, notably with IBM's Candide system and Google Translate, marked a significant advancement of MT from RBMT (Jumanto et al., 2022). Statistical Machine Translation (SMT) models utilized large corpora of bilingual texts to infer translation probabilities, improving the quality of translations (Kahlon & Singh, 2023). Abidin and Ahmad (2021) built an SMT of Indonesian to the Lampung Nyo dialect, achieving 45.26% accuracy for 3,000 sentences, which states that SMT will improve the results over time when trained with large datasets. However, Mishra (2024) states that SMT has constraints on long-range dependencies and complex linguistics due to the scarcity of large parallel corpora. With this, Neural Machine Translation (NMT) marked a groundbreaking paradigm shift in MT as it leverages a large amount of data trained in deep learning (DL) to generate translation in different languages (Amin & Mandapuram, 2021). Zaghlool and Khasawneh (2023) emphasized the significance of MT as an accessible and efficient tool in translation. Moreover, the emergence of AI, like ChatGPT, paved the way for proficient MT tools enabling translations between various languages (Sanz-Valdivieso & López-Arroyo, 2023).

### Neural Machine Translation

NMT leverages neural networks of a DL algorithm to model text sequences and address low-resource language pair issues in MT (Ranathunga et al., 2023). The process consists of two subnetworks, an encoder, and a decoder, communicating together, which is the foundation of the NMT models (Mohamed et al., 2021). Forcada and Ñeco (1997) developed a simple translation task that uses two feed-forward neural networks where the machine acquires an internal representation of the input, and the machine will decode it to generate a translated text.

For instance, Cho et al. (2014) employed two recurrent neural networks (RNNs) to encode a source sentence of varying length into a fixed-length vector and then decode the vector back into a target sentence of varying length. Bahdanau et al. (2016) proposed a stacked RNN with an attention model to convert the source sentence into a continuous vector representation to address the fixed vector problem. However, Sutskever et al. (2014) asserted that NMT that utilizes RNN with Long Short-Term Memory (LSTM) units delivers a performance almost as good as the conventional phrase-based MT system when translating from English to French. LSTM-based neural network architecture was improved significantly for NMT over traditional RNN-based architecture (Olah, 2015). The Transformer architecture, as proposed by Vaswani et al. (2017), revolutionized NMT by replacing RNNs with self-attention mechanisms, facilitating parallelization during training, enabling faster convergence, and improved performance. Recent developments in NMT architectures have proved superior performances in different languages, with immense potential for further advancements.

### Machine Translation Evaluation

Evaluating MT presents significant challenges due to the large and unknown corpus, which hampers the precision of automated metrics. Consequently, extensive human evaluation is required to provide a dependable benchmark for assessing the quality and advancement of MT (Freitag et al., 2021). Even human translations are possibly biased and subjective, considering the possibility of several translations for an original text that could be deemed accurate (Rivera-Trigueros, 2022). Significant grey areas still require attention, particularly ambiguity and the semantic complexities inherent in poetic expressions crucial for cross-cultural and multilingual literary translation (Ghassemiazghandi, 2023; Fakhri et al., 2024). Automated metrics evaluate the results of an MT system in reference to one or more human-generated translations (Han, 2016). Initially, Levenshtein (1966) developed a Word Error Rate (WER) where the translation quality is based on edit distance, counting equal weight for substitutions, deletions, and insertions without considering word reordering. This method reflects the inaccuracy of translations where word order differs significantly between the output and reference translations. Position-Independent Word Error Rate (PER) and Translation Error Rate (TER) address this issue, focusing on word comparisons without considering order and penalizing word reordering, respectively (Tillmann et al., 1997; Snover et al., 2006). With further advancements in MT evaluation, Papineni et al. (2002) developed Bilingual Evaluation Understudy (BLEU) metrics to quantify the translation quality of MT by aggregating the total number of words and phrases (n-grams) that are shared across machine and reference translations. The metric imposes a penalty for excessively brief translations. Although BLEU correlates with human translations (Kocmi et al., 2021), the ratio of matched n-grams to the total number of n-grams in the reference translation is not taken into account (Maruf et al., 2021). However, BLEU does not capture fluency, semantic similarity, or word order



variations and can penalize correct translations with different phrasing (Segonne & Mickus, 2023; Haque et al., 2022). Despite its limitation, Rivera-Trigueros's (2022) systematic review reveals that BLEU is the most used automatic metric, which is also evident in Marie et al. (2021) meta-evaluation of 769 papers. While BLEU serves as a benchmark, researchers actively explore alternative metrics and integrate human evaluation for a more comprehensive assessment (Evtikhiev et al., 2023; Freitag et al., 2022). Even if several studies (Chatzikoumi, 2019; Way, 2018) claimed that integrating human evaluation and automated MT metrics will obtain the most dependable outcome, only 22% of works analyzed in the study of Marie et al. (2021) employed this combined method, which indicates a lack of study and development in the domain of MT that focuses on translation and language. By addressing these areas, researchers can better understand MT quality, paving the way for advanced and human-like MT systems.

### ChatGPT Machine Translation

Recent advancements in AI, particularly the advanced LLM techniques, have brought remarkable improvements in building more effective translation systems (Chowdhery et al., 2022). Generative Pre-trained Transformer (GPT), a renowned advanced language model created by OpenAI, has acquired considerable scrutiny for its capacity to comprehend and produce coherent and logical text (Hendy et al., 2023; Sahari et al., 2024). However, the translation generated needs thorough assessment because of the need for more understanding of domain terminologies and the cultural context of the model (Khoshafah, 2023). Jiao et al. (2023) revealed that GPT-3 outperforms Google Translate, an MT tool, in multilingual translation prompts and robustness for European languages. Another study by Banat and Abu Adla (2023) demonstrates that, although GPT-3 translates Arabic text to English with high accuracy, it requires post-editing to adequately capture cultural context. The findings of each study support Hendy et al. (2023) findings that GPT models have constraints when the language has scarce resources. With this, Chowdhery et al. (2022) emphasize the importance of thoroughly evaluating the translation produced by MT rather than solely relying on automated metrics.

## III. METHODOLOGY

This section will discuss the methods for evaluating the translation quality of two MT systems in Persian-to-English with reference to human-generated English translation. Figure 1 illustrates the process of this study, which is divided into several key sections: 'Data Source,' discussing the data used; 'Data Preparation,' explaining the two MT systems employed; 'Data Preprocessing,' describing how the data was cleaned; and 'Evaluation Metrics,' specifying the methods used to evaluate the MT translations, along with 'Experimental Setup'.

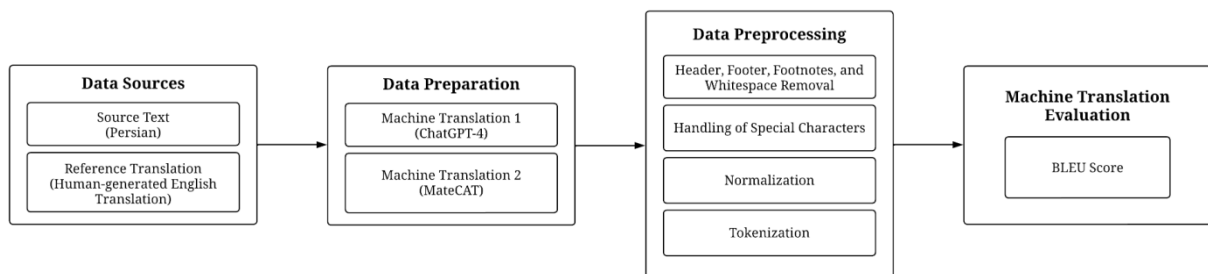


Figure 1. Design of the Study

### A. Data Source

The book *Amiran e Darbar*, authored by Akbar Tehrani Shafagh in 2006, is selected as the dataset for the source text of this study. "Princes of the Court: Memoirs of the Seil Sepor Family," translated into English in 2023 by the same author, is used as a translation reference or human transcription. "Amiran e Darbar" is a memoir that chronicles the history of the Seil Sepor family in a narrative form that intersects with the pivotal and historical events of Iran while the events of this family are going on. What makes this book particularly intriguing is the author's background as a legal expert, which infuses the narrative and descriptions of social and cultural events with a complex blend of literary and legal vocabulary. These attributes enhance the book's appeal and add a layer of complexity to its text, making the translation process both challenging and rewarding. The choice of this book was further motivated by its rich cultural narratives and historical terms, demanding linguistic proficiency and verbal finesse for an appropriate translation. Even for seasoned translators, navigating the novel vocabulary, specific terminologies, and the need to preserve the cultural and social nuances of the text presents a considerable challenge. Thus, despite advancements in AI and MT algorithms, translating such a text remains daunting, laden with difficulties in capturing its intricate and rich cultural essence.

### B. Data Preparation

The English translation of the Persian history book has been executed by utilizing two MT systems: ChatGPT-4 and MateCat. ChatGPT-4 is a promising translation tool that leverages advanced large language model algorithms to translate text between multiple languages (Castillo-González et al., 2022). MateCat is also a commonly used MT tool

that utilizes Google Translate as its MT engine. Its popularity stems from its availability and the comprehensive reports it provides (Quintana & Castilho, 2022).

### C. Data Preprocessing

Kang et al. (2021) asserted that normalizing text inputs is crucial in MT as it eliminates nuances and ensures consistent structure among data. With this, data cleaning is applied to the data sources to ensure uniformity and is ready for evaluation. The process involves removing page numbers, headers, footers, and endnotes in the reference English translation. Removing whitespaces and handling special characters and line endings in each data is applied to ensure compatibility among each translation. Lastly, the data will undergo tokenization to identify the sentence and word count essential for data exploration and translation quality assessment.

### D. Evaluation Metric

The Bilingual Evaluation Understudy (BLEU) metric is utilized to evaluate the similarity between the English human-generated text, also known as reference text, and MT based on matching words and phrases, known as n-grams (Papineni et al., 2002). Equation 1 shows how the BLEU functions work behind the system where  $r$  is the output length divided by  $c$ , the reference length, which implements the brevity penalty for short translations. The result will be multiplied by the geometric average precision where n-grams are size 4.

$$\log BLEU = \min\left(1 - \frac{r}{c}, 0\right) \left(\prod_{i=1}^4 precision_i\right)^{\frac{1}{4}} \quad (1)$$

The *corpus\_bleu* function in the Natural Language Toolkit (NLTK) library allows automation in quantifying translation quality. The BLEU score represents a value between 0 and 1, where 1 highlights the exact correspondence between the reference text and MT. To further extend the translation quality evaluation, the *accuracy* (eq 2) of the proportion of tokens between reference translation and MT is measured to identify lexical overlap.

$$Accuracy = \frac{\text{Total no. of overlapping words in the reference and MT}}{\text{Total unique words in the reference}} \times 100 \quad (2)$$

Figure 2 shows the entire process of how the data sources are utilized to perform automatic metric MT evaluation in this study.

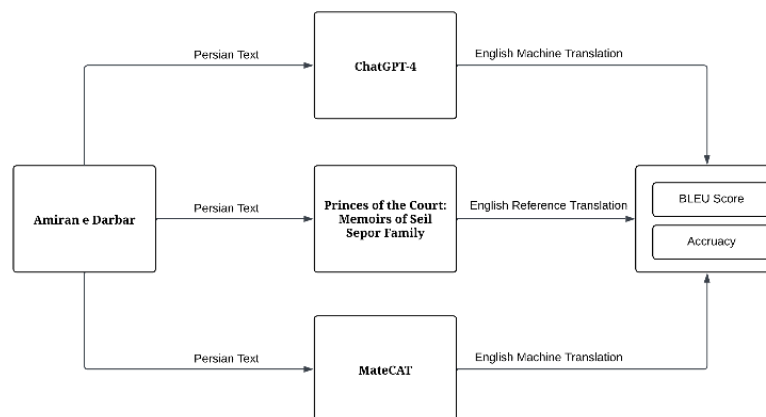


Figure 2. BLEU Evaluation Process

### E. Experimental Setup

This study utilizes Pycharm to perform automatic metrics used to quantify translation quality. The program provides a flexible environment for implementing processes like calling data, data preprocessing, and necessary functions to calculate BLEU scores and accuracy.

## IV. RESULTS

The results section of this study presents a detailed analysis of the performance of ChatGPT-4 from Persian-to-English translation. The findings are organized into three main sections to provide a comprehensive analysis of our findings.

### A. Data Exploration

After tokenizing the data sources and translations produced by the MT systems, Table 1 shows that the word and sentence counts are close in number and do not differ by over 1k words and over 200 sentences, suggesting comparable lengths over corpora.

TABLE 1  
DATA SUMMARY

Corpus	Total No. of Words	Total No. of Sentences
Source Text	9230	181
Reference Translation	9909	370
ChatGPT-4	9280	262

The source text, which contains the Persian language, is the basis of the machine translations of ChatGPT-4 and MateCat. The results show that ChatGPT-4 has a closer word count than the source text compared to MateCat, indicating preserving the original content. However, it has a higher sentence count than MateCat, which is still higher than the source text, indicating more fragmented sentences than the source text.

### B. BLEU Scores

ChatGPT-4 achieved a noteworthy result, demonstrating its effectiveness in translating Persian text to English in reference to human-generated English translation. Table 2 illustrates that the ChatGPT-4 English translation outperforms the open-source MT tool MateCat. Notably, the BLEU score, a measure of translation quality, is significantly higher for ChatGPT-4(0.88) compared to MateCat (0.82).

TABLE 2  
BLUE SCORE

Machine Translation Tool	BLEU Score
ChatGPT-4	0.88
MateCat	0.82

The BLEU score of ChatGPT-4 is remarkably high, suggesting that the translations produced by this MT closely align with the human-generated English translation.

### C. Accuracy

In addition to BLEU evaluation, the focus extends to identifying accuracy to highlight the proper alignment between machine-translated text and reference translations over the corpus. Table 3 shows that ChatGPT-4 has higher accuracy (0.68) than MateCat (0.49).

TABLE 3  
ACCURACY

Machine Translation Tool	Accuracy
ChatGPT-4	0.68
MateCat	0.49

Although ChatGPT-4 achieved a higher BLEU score and accuracy score than MateCat, our study also highlights the impact of specific challenges, such as dates, names, idioms, cultural items, and numerical expressions.

## V. DISCUSSION

This research demonstrates significant advancements in MT, especially from Persian to English. ChatGPT-4 has a higher BLEU score and accuracy score than MateCat, indicating that ChatGPT-4 produces translation closer to the reference text than MateCat. Jiao et al. (2023) asserted that ChatGPT-4 is versatile for various text translation tasks. It addresses the weakness of Google Translate, the MT engine used by MateCat (Quintana & Castilho, 2022), in translating low-frequency words. Their study also supports that ChatGPT-4 is better as it predicts abbreviations better. These findings align with our objective of demonstrating the effectiveness of ChatGPT-4 over MateCat in terms of translation quality. The result shows the relevance of utilizing MT as a practical tool for translation tasks. However, ChatGPT-4 indicates potential for more diverse translations with different lexical choices due to its varied corpora.

The section below explores common issues encountered in Persian-English translations. The tables utilize abbreviations to distinguish between the types of translations: "ST" for Source Text, representing the original material; "HT" for Human Translation, denoting the reference corpus; and "MT" for Machine Translation, encompassing translations by ChatGPT-4 and MateCat.

TABLE 4  
SEMANTIC ACCURACY

ST	HT	MT
	A teacher who knew no rest from dawn 'til dusk, tirelessly teaching from 'Wash-Shams wal Duhā' to the time of 'Wal-Lail idhā Sajā'	ChatGPT-4
	Footnote 1: it refers to ayat or verse of Ash-Shams surah which is the 91st surah of the Qur'an, "By the Glorious Morning Light". [Translator's Note]	
	Footnote 2: it refers to ayat or verse of Ash-Shams surah which is the 91st surah of the Qur'an, "And by the Night when it is still". [Translator's Note]	MateCat
	A teacher who, from the time of sunrise and the bright morning until the moment of night when it settles, had no peace or rest.	
	A teacher who was not calm and quiet from the time of sunrise, sunset, and sunset until the night of Aza Saji	

ChatGPT-4 captures the essence of the ST by conveying the idea of a teacher's restlessness from sunrise to nightfall. It does not, however, explicitly mention the Quranic references, similar to the human translation, but the context is respected. MateCat introduces inaccuracies, such as mentioning "sunset" twice and misinterpreting "والضحى" (Wal Duhā). The phrase "night of Aza Saji" is a misinterpretation, showing confusion in translating "والليل اذا سجي" (Wal-Lail idhā Sajā). Moreover, it completely misses the Quranic reference, leading to a loss of cultural and contextual depth. After comparing the output of ChatGPT-4 and MateCat, it was observed that ChatGPT-4 provides a better translation in terms of accurately capturing the essence and tone of the original Persian text, as well as maintaining coherence and fluency without introducing inaccuracies or redundant phrases. However, both ChatGPT-4 and MateCat failed to understand the cultural and Quranic references that the human translator thoughtfully translated in the book and added footnotes for further explaining these Quranic terms to the readers and helping them to fully understand the ST while enjoying the Arabic rhythm of the 'Wash-Shams wal Duhā' and 'Wal-Lail idhā Sajā' in the ST. Comparing the output of these two MT systems, it is observed that ChatGPT-4 provides a better translation compared to MateCat in terms of accurately capturing the essence and tone of the ST and maintaining coherence and fluency without introducing inaccuracies or redundant phrases. However, ChatGPT4 and MateCat could not transfer the cultural and Quranic references that the HT thoughtfully rendered, which is essential for a thoroughly informed and culturally sensitive understanding of the ST.

TABLE 5  
CULTURAL SENSITIVITY

ST	ایرانیان با مراسم شب چهارشنبه سوری به ، پیشواز نوروز می روند	
HT	Iranians welcome Nowruz with the Chaharshanbe Suri ceremony	
MT	ChatGPT-4	Iranians welcome Nowruz with the Chaharshanbe Suri ceremony.
	MateCat	Iranians celebrate Nowruz with a ceremony on Wednesday evening.

ChatGPT-4 accurately translated چهارشنبه سوری to "Chaharshanbe Suri," shows cultural sensitivity, recognizing that AI could understand this Iranian tradition and its distinct identity. However, MateCat failed to mention "Chaharshanbe Suri," suggesting a lack of cultural sensitivity to this MT. ChatGPT -4's success in identifying this Iranian tradition and culture is due to its cultural contextualization and deep contextual knowledge provided by training data of this AI through literature, history, and cultural studies. Therefore, unlike MateCat, ChatGPT-4 could still identify certain traditions and practices in Iranian culture. This approach weakens the unique cultural significance of the event. Between ChatGPT-4 and MateCat, ChatGPT-4 provides a better MT output for this text. It matches the human translation precisely, accurately reflecting the cultural event's name and significance about Nowruz. These findings not only ensure clarity but also preserve the cultural integrity of the original Persian text. MateCat, while offering a technically correct translation, falls short in conveying the specific cultural context and significance of "Chaharshanbe Suri," thus reducing the translation's overall effectiveness and richness.

TABLE 6  
TRANSLATING DATE AND LOCATION

ST	تهران- امیریه 84/8/1 هجری خورشیدی	
HT	Tehran - Amirieh, 84/8/1 Solar Hijri Calendar Corresponding to September 23, 2005 - Gregorian	
MT	ChatGPT-4	Prompt 1: Tehran - Amirieh, 1/8/84 Hijri Prompt 2: November 2005 in the Gregorian calendar
	MateCat	Tehran-Amiriya 1/8/84 Hijri

ChatGPT-4's first answer captures the location accurately but provides the date in a simplified format without specifying the calendar system clearly as "Solar Hijri." The second prompt, as displayed in Table 6, attempts to provide a Gregorian calendar equivalent, specifying "November 2005," which shows an effort to translate the date into the Gregorian system but lacks the exact day and misinterprets the month compared to the human translation. MateCat provides a translation that mentions the location and the date in a format similar to the ST but, like ChatGPT's first prompt, does not specify the calendar system as "Solar Hijri." It does not attempt to convert the date into the Gregorian calendar, leaving the contextual information translation incomplete. The HT not only specifies the date and location but also indicates the calendar system ("Solar Hijri Calendar") and provides the exact Gregorian calendar equivalent ("September 23, 2005"). This level of detail is crucial for understanding the exact timing of the event or record, considering the audience might not be familiar with the Solar Hijri Calendar. ChatGPT-4 and MateCat both fall short of this standard. ChatGPT-4 attempts to provide a Gregorian equivalent but inaccurately, and neither MT output specifies the calendar system as "Solar Hijri," which is crucial for clarity and understanding. In this comparison, although neither ChatGPT-4 nor MateCat fully matches the human translation's accuracy and completeness, ChatGPT-4 shows an effort to bridge the cultural and calendrical gap by attempting to provide a Gregorian calendar equivalent. However, its accuracy regarding the exact Gregorian date is off. Overall, ChatGPT-4 is slightly better in providing more context by including a Gregorian date, albeit inaccurately. However, both MTs do not fully meet the standard set by human translation in terms of accuracy, specificity, and providing a complete contextual understanding of the date across different calendar systems.

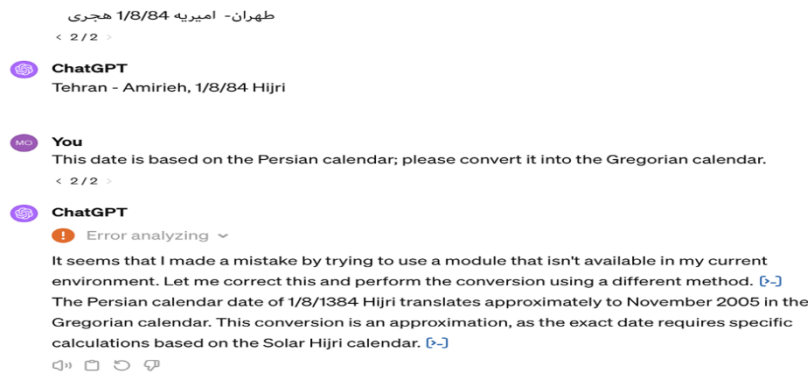


Figure 3. ChatGPT Translations With Varied Prompts

TABLE 7  
CONVEYANCE OF METAPHORICAL MEANING

ST		همیشه آن عالیجاه چه در حضر و چه در سفر و حتی در انات جنگ و غیر جنگ خود را کلب آستان علی علیه السلام می خواند.
HT		He always, whether in presence or travel, in war or peace, referred to himself as 'Kalb-e Astan Ali', peace be upon him.  Footnote: The dog at the threshold of Ali: In the word "Kalb" in Arabic, it means 'dog', and here it refers to the dog of the threshold of Hazrat Ali, signifying a disciple and, metaphorically, a defender and guardian. [Translator's Note]
MT	ChatGPT-4	He always, whether in presence or on a journey, and even in times of war and peace, referred to himself as the dog of the threshold of Ali, peace be upon him.
	MateCat	Always, whether in presence or on a journey, and even during war and non-war, he calls himself the club of Astan Ali, peace be upon him.

ChatGPT-4's Translation accurately catches the essence and metaphorical meaning of the original Persian text. The translation correctly interprets "کلب آستان علی" as "the dog of the threshold of Ali," which aligns well with the reference translation. The context of being a disciple, defender, and guardian, as explained in the HT footnote, is effectively conveyed. MateCat's translation fails to interpret the metaphorical significance of "کلب آستان علی" accurately. The translation as "the club of Astan Ali" is incorrect and suggests a misunderstanding of the term "کلب" (Kalb), which means "dog" in Arabic, not "club." MT has struggled to convey the metaphorical significance and the portrayal of the protector and supporter of the Prophet as effectively as the human translator in the book's text and its footnotes (Translator's note). However, when comparing ChatGPT-4 and MateCat, the researcher was astonished that ChatGPT-4 excelled in delivering a relatively accurate translation. A Persian translator might not be aware that the word کلب is an Arabic word meaning "dog," yet ChatGPT-4's translation has been notably precise. This accuracy could be attributed to ChatGPT-4's access to a corpus of various languages within its algorithm, demonstrating its sophisticated linguistic capabilities.

TABLE 8  
POETIC ESSENCE

ST		هر که چون خاک نیست بر در او گرفرشته است خاک بر سر او
HT		Those who rest not as dust at his revered gate, Even if angels, must accept dust upon their crown as fate.
MT	ChatGPT-4	Whoever is not like dust at his door, Even if an angel, dust be upon his head.
	MateCat	He who is not like dust on his door, dust is on his head

Translating poetry is a challenging task, as it requires an accurate and meaningful translation while maintaining the beauty and charm of the poem. Poetic translation also needs to preserve the rhythm and rhyme, uncover hidden meanings, and convey the excitement and passion inherent in the poem. ChatGPT-4's translation successfully preserves the conditional structure of the text "Even if Angels" as well as the format of the poem, accurately reflecting the poetic nature of the poem, which has both rhythms and rhymes. While the MateCat provides an accurate direct translation, it captures only a portion of the poem's meaning, focusing on humility. However, MateCat fails to accurately transfer the message of the poem's second part, the aspect of being "the dust of the door". Comparing these MT systems, the output of ChatGPT-4 more precisely captures the conditional structure of "Even if angels" in this verse, and it preserves artistic essence and conveys an accurate translation of metaphors and poetic devices while preserving the poem's rich emotional content and beauty. ChatGPT-4's translation effort strives to maintain harmony between literary devices, especially the rhythm and rhyme, ensuring the fluency and eloquence of the poem. It is worth mentioning that even a Persian translator might struggle to effectively replicate the poem's rhythms and rhymes, highlighting that a translator and poets need different skills. The skills that ChatGPT-4 has here could help the translator to demonstrate such skills adeptly.

Overall, although the MateCat has made a significant effort to preserve the essence and beauty of the poetic devices, the ChatGPT-4 has shown a commendable ability to present a natural translation that maintains the poem's meaning while capturing its emotional depth and artistic essence of a poem.

The implication of the findings emphasizes the significant advancement of MT technology from statistical rule-based methods to data-driven methods where ChatGPT-4 outperforms MateCat in translating Persian-to-English texts. The result implies that advanced large language models leveraging DL technology better capture linguistic nuances, cultural context, and semantic meaning (Stahlberg, 2020) compared to the limited language resources used in SMT. As a result, these models produce more accurate translations in terms of context, making it ideal for translation workflows. Utilizing MT tools combined with human evaluation increases efficiency and credibility and reduces costs to generate culturally significant context. The constraints of MT tools open up future research directions in improving methodologies, architectures, and domain adaptability for language with limited resources (Farooq et al., 2021).

## VI. CONCLUSION

The study's results enhance the understanding of MT, especially regarding the complex Persian-English language pair. By comparing the BLEU scores and accuracy of ChatGPT-4 with those of MateCat—a widely used open-source MT tool—the study demonstrates ChatGPT-4's superior translation quality. Specifically, ChatGPT-4 achieved a BLEU score of 0.88 and an accuracy rate of 0.68, surpassing MateCat's BLEU score of 0.82 and accuracy rate of 0.49. The study findings challenge the prevailing skepticism surrounding MT's ability to achieve human-like precision and underscore the transformative potential of AI-driven technologies in redefining translation practices. However, it is worth noting that semantic accuracy, cultural sensitivity, translating dates and locations, metaphorical meaning, and poetic essence are some of the factors that impact the translation quality, which poses challenges significant challenges for MT systems, as they require a deep understanding of language nuances, cultural context, and context-specific meanings. By closely mirroring the quality of human translations, ChatGPT-4 represents a pivotal advancement in the field, offering promising prospects for enhancing cross-cultural communication and understanding.

## VII. LIMITATIONS AND SUGGESTIONS FOR FUTURE STUDIES

While the findings of this study offer significant insight into the performance of ChatGPT-4 in terms of MT output quality and human evaluation, it is crucial to acknowledge the limitations. The reliance on BLEU scores as the sole metric for evaluation, supported by accuracy metrics, might not capture the nuances of linguistic quality and semantic accuracy in translations. While the BLEU score can provide quantitative quality translation analysis, supporting the result with other evaluation metrics is recommended to deliver a comprehensive translation assessment, including the semantic similarity, fluency, and nuances of machine translations. It follows that the dataset used for comparison only focused on unidirectional translation from Persian to English. This limitation could impact the generalizability of the study's conclusions across all languages.

As for suggestions for further studies, the promising results of this study pave the way for a deeper investigation into how AI-assisted translation can redefine the accessibility and standards of translation practices globally. Future studies should explore the broader implications of these technologies on the translation industry, focusing on their potential to complement human skills and improve global communication. Training translators to effectively use AI tools could also leverage human and MT strengths, enhancing the quality and efficiency of translation processes. The study indicates that ChatGPT-4 performs exceptionally well; therefore, the researcher suggests that future research should explore integrating AI tools into translator training programs. This approach will facilitate accessibility and global access to information worldwide, which is a pressing need. The researcher passionately asserts, "While the world is divided by physical borders, let us ensure that language does not become another border".

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# “Multimodal” Fits All: Revisiting the Relevance of Perceptual Learning Styles in Higher Education Today

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**Abstract**—Teaching has been continuously evaluated in light of learning styles research. This highlights the significance of investigating learning styles that may be evolving in tandem with changes in the contemporary era. This study assumes that twenty-first-century students share characteristics not based on unimodal models of learning styles, particularly in higher education. It supports multimodality at both the learning and teaching levels since learners typically prefer and share various learning styles. It employs the field's most influential learning styles framework, Reid's (1987) perceptual learning styles instrument, to investigate the validity of that assumption. To add to and question the corpus of literature that exists in the field, we looked at Saudi university-level learning styles in relation to gender and academic major as independent variables. Participants were identified as English as a foreign language (EFL) student from various academic majors. The quantitative research design of this study revealed that neither academic major nor gender significantly affected the learners' preferences. Participants demonstrated a diversity of preferences for perceptual learning styles, with minimal overall differences. Nonetheless, they favored auditory learning over group and kinaesthetic styles. It was observed that students with an English major preferred individual learning styles. Research in the field, including the current study, found some discrepancies in PLS tendencies across different contexts and factors. With such inconsistent patterns, multimodal education is a good opportunity for teachers and educationists.

**Index Terms**—multimodal education, perceptual learning styles, multimodal learning style preferences, English-major students, EFL classrooms

## I. INTRODUCTION

Drawing on recent research conducted in English as a Foreign Language (EFL) contexts, we argue in this paper that the learning preferences of today's learners, at least in the study context, may not differ significantly, regardless of presumed distinguishing factors. The variety of style preferences may bring together the ostensibly dissimilar learners because they mirror similar and shared lifestyles in contemporary society. To put this presumption into practice, we look at how, or more specifically, in what Perceptual Learning Styles (PLS), undergraduate students of different genders and academic majors, including English majors, learn English.

Despite the considerable amount of research on PLS in EFL contexts, including Saudi Arabia, its applicability to the current dynamic modern era remains uncertain and unreliable for drawing generalizations. Despite this, research (e.g., Annury et al., 2018) on PLS in those contexts shows "slight" differences among EFL learners.

PLS have become well-established as important components of education, particularly with the increasing adoption of learner-centered methodologies worldwide. Since the beginning of Kolb's (1984) and Reid's (1987) work, as well as the work of their contemporary scholars, this area of education research has been recognized and explored more. A key element of developing and designing instructional approaches is having a thorough understanding of how learners perceive, treat, and process knowledge. Classroom, therefore, houses groups of learners, so teachers should anticipate various learning styles in a single environment. Moreover, an individual may have multiple learning styles with equal preferences, allowing for adapting or learning through a variety of styles. Such analyses of learners should be taken into account in education, and responses should be made through ongoing changes to teaching strategies since matching the two has yielded positive outcomes. Therefore, PLS has become a crucial step in developing learner-centered classrooms, curriculum, and syllabus planning (Nunan, 2013). Multimodal approaches are the best choice once it is grasped that, even when the learners' goals are identical, they still have different learning preferences and levels of language proficiency and that this should "form the point of departure for all aspects of curriculum planning, implementation, and evaluation" (Nunan, 2013, p. 8). In other words, multimodal learning in terms of PLS may be the most practical instructional model because it can ensure coverage of and approach to the numerous different learning styles.

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It becomes obvious that the current paper, driven by the implied potential of multimodality, is dual-purpose. By thoroughly describing the PLS in the context of the study and determining whether certain specific factors are still associated with particular PLS, it aims to assess the PLS continued relevance to EFL learners today. The study addresses the question of PLS orientations, unimodal or multimodal, among higher education students as being relevant nowadays regarding learning English.

## II. LITERATURE REVIEW

### A. *Learning Styles*

Different perspectives seem to have accordingly created various models and classifications. For example, Griggs and Dunn's (1998) definition incorporates learners' attitudes and the methods they utilize in their learning. Similarly, Brown (2000) elaborates that LS represents the "consistent and rather enduring tendencies or preferences within an individual" (p. 113). According to Reid (1998), LSs are "internally-based characteristics, often not perceived or consciously used by learners, for the intake and comprehension of new information" (p. ix). Therefore, I have various models with different underpinnings and components. To mention a few, Keefe's (1979) model comprises cognitive, affective, and psychological behaviors as indicators of learners' perceptions, interactions, and responses to their learning environment. Another example is Dunn and Dunn's model (Dunn et al., 1995), which is built on environmental, emotional, sociological, physiological, and physiological learning domains. For the macro-level purpose of the current study, i.e., investigating the validity of its assumption, Reid's (1998, 1995) PLS model, with its definitions and identifications of PLS, is adopted.

### B. *Perceptual Learning Styles*

PLS has been acknowledged to be very relevant in foreign language learning, particularly when it is associated with identifying learners' preferences. According to Bailey et al. (2000), research in this area improves the performance of learners who seek to learn a foreign language, as it lends them the flexibility that helps them with their studying routines and behaviors. This flexibility is mainly endowed by the emphasis on sensory preferences, which contain physical and perceptual learning channels, which leads to a comfortable learning experience and atmosphere (Oxford, 2003). Such reasons have motivated several interested researchers in the field; hence approaching learning languages from the perspective of PLS has long been valid.

Definitions may focus on learners' primary senses by emphasizing their response to stimuli as a way of experiencing and processing knowledge. Most comprehensive models incorporate philosophical and theoretical aspects due to the complexity and dynamic nature of learning. Thus, Reid (1987, 1995) divided LSs into cognitive, sensory, and personality. Her sensory LS has Perceptual, Environmental, and Personality subcategories. PLS has garnered attention, including these learning styles: auditory, visual, tactile, kinaesthetic, group, and individual. Reid (1987, 1995) calls the latter two PLS categories social aspects. Reid's approach is extensive and clear, which may explain why it is widely used in language learning research.

That said, the sensory styles in Reid's PLS model have indeed been identified by other researchers, all agreeing that these are the primary sensory learning channels (e.g., Garger & Guild, 1984; Dunn, 1984; Reid, 1987; Reid, 1995; Oxford, 2003, Pritchard, 2009). Therefore, defining learners according to their sensory styles is generally as follows: Visually-oriented learners, who prefer to see things, to look at written texts or visual materials, as they depend primarily on their optics. Auditory learners depend upon oral-aural listening as the primary means of receiving information; thus, they prefer listening to lectures or audio. Tactile learners, who learn by putting their hands on the learning objects, prefer touching materials. Finally, Kinaesthetic learners move actively while learning and enjoy exercising, walking, or standing. Besides these sensory styles, Reid (1987, 1995) included two more social learning styles; Group and Individual. Group LS describes learners who prefer collaborative learning and working in groups with others, while the Individual LS represents learners who prefer working individually.

However, identifying learners' dominant or preferred styles does not necessarily mean that a certain type of learner has a single preference exclusively. In other words, receiving and processing information is a complex process that may require more than a single style. Reid (1995) explains that, in EFL settings, learning styles, although usually presented as independent from each other, can be seen as in a broad continuum. Moreover, besides one's preferred learning style, there are always learning strengths and weaknesses. Reid also indicates that no style is better than the others; i.e., they are 'value-neutral'. This discussion also contributes to the underpinning of the study's overall assumption. Learning English may not be exclusively associated with one's preferred learning style, as he or she may also show preferences for other learning styles. There may be overlap among learners of different academic specialties, including English Department students since learning the language is no longer identified by specific PLS.

The flexibility of sensory styles, in addition to the complexity and dynamic nature of learning and human nature in general, may highlight the value of multimodality in education. Aslaksen et al.'s (2020) reference to the literature on PLS as demonstrating significant heterogeneity in theoretical constructs and approaches seems to support this. In contrast to the unimodal preferences suggested by the theory of learning styles specific to particular modalities, they highlight factors in their study that point to multimodal learning preferences across learning contexts. Villanueva and

Navarro (1997) assert that students should not be assigned specific learning styles in light of this. In addition, Pashler et al. (2008) indicate that individuals may be aware of other learning styles, although they may have their own preferred PLS. Thus, having more than one or two strongly preferred PLS makes students more likely to be considered to have multiple PLS (Girón-García & Gargallo-Camarillas, 2021). In today's multimodal learning environments, Girón-García and Gargallo-Camarillas (2021) reaffirm that learners have a variety of modes of perception. According to Gargallo-Camarillas (2018), PLS for EFL are no longer constrained to just one or a few identified styles because of the multimodal contexts created by new modern technological contexts.

As such, several factors can play a significant role in variances among EFL learners in terms of their sensory preferences of PLS (Reid, 1987); for example, cultural background, generic make-up, learning experiences, or mode of instruction. Thus, PLS may differ across generations, and change as people do over time. This argument can also demonstrate how it is implausible to restrict learning English to a particularly preferred learning method.

The literature on PLS has presented a long list of factors that may influence differences and preferences, such as age, gender, academic major, proficiency, and socioeconomic status, which interested researchers have constantly examined. We only considered gender and academic major factors because we wanted to find similarities or differences in light of PLS based on whether we were approving or disputing the study's larger premise. In the following sections, we try to present some of the studies related to these two factors to highlight how they might or might not be relevant to specific PLS.

### C. *Perceptual Learning Styles and Gender*

Linguistic differences between the two genders may not be limited to the area of spoken styles as indicated by Nunan (2013), but it may rather include an endless list of constructs and aspects that have been recurrently researched education and applied linguistics. That said, research also asserted that the two genders reveal identical performances in various aspects, including PLS, as revealed through the reviewed studies below.

In LS preferences, several former researchers have highlighted the relevance of gender as an influencing and determining factor (e.g., Dorsey & Pierson, 1984; Slater et al., 2007). Studies of this kind across various EFL contexts have not agreed on the learning styles preferred by males and females. To put it differently, the influence of gender as an indicator of learning styles has not been static across all the studies. Thus, there is not yet a determined assumption that gender is a very significant and correlational factor in identifying PLS preferences.

In her most influential study, Reid (1987) considered gender as a determining factor of PLS. She found that males were more visual and tactile learners than females. In some EFL context studies, gender was strongly associated with PLS preferences. Following the most prominent studies in the field, such as Dorsey and Pierson (1984), Yong and McIntyre (1992), Vaseghi et al. (2012), Jayanama's (2017) study, for example, on university-level students in the Thai context, found a significant relationship between tactile and kinaesthetic LSs and gender, especially among low proficiency learners. Likewise, in the context of Pakistan, Siddique et al. (2014) found differences between male and female university-level students' preferences, namely in the visual, group, and kinaesthetic learning styles. Another study by Jhaish (2010), including Palestinian undergraduate English-major students, found that females preferred visual, auditory, and individual learning more than males. It also found that males varied significantly towards group learning style than females. At the same time, both groups in this study did not show significant differences in tactile and kinaesthetic learning styles. Also, Sarabi-Asiabar et al. (2014) found a significant relationship between the gender factor and LS preference among university-level Iranian learners. Males in this latter study showed a stronger preference for the kinaesthetic learning style than females, whereas females displayed a stronger preference for the auditory learning style than males. Another study by Naserieh (2009) showed that Iranian male students preferred the individual LS, while females' LS came in contrast, as they preferred the group LS. However, males and females showed relatively equal preference levels for other styles.

Some PLS research did not reveal significant differences between the two genders, such as Tuan (2011) in the Vietnamese context, Khmakhien (2012) in the Thai context, Riazi and Mansorian (2008), and Bidabadi and Yamat (2010) in the Iranian context. Thus, research remains inconclusive in terms of gender and PLS.

Studies in the Saudi context also reported varied findings, yet, generally, they reported the influence of gender on PLS. In Yassin (2012), the PLS of 130 Saudi students, constituting 81.8% of the sample, were investigated alongside other students from the Gulf countries (five Omani, one Emirati, and 23 Kuwaiti). Gender was found to influence students' LS. The study indicated significant differences between the two genders (115 males and 44 females), with males mainly preferring the aural or auditory styles and females preferring kinaesthetic the most.

Alsafi's (2010) study that targeted sophomore medical students revealed that males preferred mainly the kinaesthetic and auditory LSs, whereas females preferred all the styles except the individual. Females in Alsafi's study seem to contradict those in Saadi's (2012) study, in which they displayed a stronger inclination for a single mode of learning, compared to males, who presented a preference for multiple learning styles.

Furthermore, other studies in the Saudi contexts included medical and dental students, by El-Aziz El Naggar (2016) and Al-Qahtani et al. (2018), respectively, asserted the significant differences in PLS based on the gender factor. In El-Aziz El Naggar (2016), males and females showed great differences in the kinaesthetic LS, followed by visual and auditory styles, towards the male participants. However, overall, both male and female students revealed various multimodal preferences. This somehow differs from the findings of Al-Qahtani et al.'s (2018) study, which revealed

that males preferred the unimodal style, unlike their female counterparts, who showed multimodal preferences. Indeed, Al-Qahtani et al. (2018) revealed significant differences between the two genders' PLS, with males preferring mainly the kinaesthetic style and females preferring the visual and aural styles. The type of preference revealed by these two studies was more towards the kinaesthetic style.

That said, although some differences between the two genders have been established, they may not necessarily be huge. That is, the degree of difference should be considered to formulate a precise picture of the matter. Furthermore, most of the research did not claim that the preferred styles were utterly dominant and that other styles were nonexistent.

#### *D. PLS and Academic Field of Study*

Since the earlier work in the field of PLS, a student's major of study has been considered when analyzing PLS. Reid (1987) included participants from six academic majors (engineering, business, humanities, computer science, hard sciences, medicine, and others) to investigate if those majors could determine participants' PLS. However, her results did not show much difference in preference related to majors, as all participants preferred kinaesthetic as their dominant LS. All of them, except Computer Science students, disfavored group LS. That said, she concluded that this latter discipline, besides Engineering, related to identifying students' PLS. However, generally, the study did not reveal significant differences among disciplines. Some other studies have revealed similar findings to Reid's study. For example, Sahragard et al. (2016) investigated the PLS of Iranian students from arts and humanities, social sciences, engineering, sciences, and English language fields and found no significant variance in their styles. Their 376 male and female participants showed equal or similar preferences for visual and tactile learning styles. However, the dominant learning style found in the study, by a wide margin, was the individual learning style.

Following Reid's work, however, several researchers asserted that different LSs could be elicited by or related to different academic majors (e.g., Fazarro & Martin, 2004; Demirbas & Demirkan, 2007). Indeed, certain related or interdisciplinary majors may sometimes be associated with certain PLS. Thus, Fazarro (2001) did not find differences between the engineering and industrial technology students, even though they were from different cultural and ethnic backgrounds.

In the same vein, students of medical fields, for example, revealed a general tendency towards the kinaesthetic LS across several studies. Like El-Aziz and El Nagggar (2016), Al-Qahtani et al. (2018), Elgzar et al. (2019), and Al-Roomy (2023) investigated PLS preferences among Saudi nursing students and found that the major learning styles of those students were auditory, followed by visual and kinaesthetic, or kinaesthetic. Regarding their social factor styles, those students preferred the individual learning style.

However, there is neither a general rule nor established consistency regarding the association of certain academic fields as factors with certain PLS. Khmakhien (2012) found that the field of study had a significant relationship with PLS. His study included Thai language learner students from five different colleges; agriculture, liberal arts, engineering, education, and sports science. However, not much difference was found among the participants' preferences, as anticipated by the researcher, except for the kinaesthetic PLS. Engineering students revealed lower levels of preference for all PLS categories except for auditory and group PLS. Also, education students were less tactile and individual in comparison to others. Kinaesthetic style, however, in Khalil and Sabir (2019), was the prevalent PLS of Saudi language learners majoring in architecture, law, speech and hearing, and education. Nevertheless, education students reported auditory as their major LS, followed by the kinaesthetic LS. Also, results from architecture students showed that, besides the kinaesthetic LS, they were tactile learners. Law students reported an equal percentage of preferences for auditory, visual, and group LS, all coming directly in second place after kinaesthetic.

Taun (2011) found the field of study to be the most influencing factor in identifying PLS, and kinaesthetic in his study was also the predominant learning style for students majoring in English, banking and finance, accounting, and computer science, respectively. Computer science students, like in Reid's (1987) study, displayed a strong preference for tactile learning style, with a percentage higher than that displayed by English-major students for kinaesthetic. English-major students also strongly preferred tactile and auditory LS as their second and third preferred styles, respectively. In this respect, they are congruent to their Palestinian counterparts in Jhaish (2010), who reported kinaesthetic and tactile as their major PLS. Besides Jhaish (2010), Alkubaidi's (2014) participants included female English-major students, who revealed dominant auditory and group learning styles. Al-Hebaishi's (2012) study, however, including participants with similar characteristics, exhibited visual style as their dominant learning style. Saud (2018) also investigated Saudi female college-level students majoring in English. She found that participants preferred group and individual, i.e., social factor preferences, more than sensory styles. However, they did not show much difference in sensory style preferences, yet their PLS can be ordered as visual, tactile, kinaesthetic, and auditory.

Naserieh's (2009) study included Iranian students in social sciences and technical fields, wherein both groups showed a strong preference for kinaesthetic. However, the preference was stronger in technical fields. The tactile LS was slightly higher than the kinaesthetic in the technical fields group, which also came as the second preference for the other group. Another noticeable finding regarding the social sciences group is that they revealed individual orientation and, at the same time, low levels of group orientation style.

As with the factor of gender, many of these reported studies, although indicating that academic major is correlative, differences among participants' preferences of PLS are not necessarily huge or greatly significant. And again, in most studies, participants revealed multiple learning styles.

The current paper will investigate its assumptions using the two factors reviewed above within the study framework as presented in its objectives and questions below.

### III. RESEARCH AIMS AND OBJECTIVES

This study is part of a larger research project examining the learning styles among non-native EFL learners in the Saudi context from different perspectives. It primarily focuses on characterizing contemporary learners as unimodal or multimodal in terms of PLS. It seeks to conclude that assumption by: 1) investigating if learning English is associated with a specific perceptual learning style preference (PLSP) among Saudi university-level students and 2) examining if differences in PLS persist when associated with specific factors, gender and academic major in this study.

### IV. METHODS

#### A. *Design and Instrument*

Reid's (1987, 1995) PLSPs Questionnaire (PLSPQ) is applied in this quantitative study to identify the learners' sensory and social preferred PLS, to better understand the relevance of PLS preferences to English learning. Reid used 30 items in her questionnaire to identify respondents' learning styles, with five items each for visual, auditory, kinaesthetic, tactile, group, and individual. The learning styles are not organized as categories in the questionnaire, nor are the items. Each statement must be answered on a five-point Likert scale, from 'strongly disagree' to 'strongly agree', with 'neutral' in the middle.

We translated the tool, creating two versions in Arabic, the participants' first language. We compared the translated versions to those used in previous Arab-language studies (e.g., Alkahtani, 2016). Before collecting data, another two researchers fluent in Arabic and English checked the translation to ensure its validity.

The tool's validity and reliability are claimed based on previous validation through previous studies, by the tool's designer herself, and by following researchers across different contexts. Reid (1987) stated that the questionnaire was highly reliable and validated through the correlational analysis of an original set of 60 items, specifically through "the split-half method" to determine five items for each category.

The PLS scale has good internal consistency, according to Alnujaidi (2019), with a Cronbach alpha coefficient of .92. The Cronbach alpha coefficient in the current study was .95. Several researchers believe that the reliability score should range from 0 to one; that is, when there is high covariance across all items, will approach one. In other words, the higher the coefficient, the greater the shared covariance among the items and the greater the likelihood of measuring the underlying concept (Goforth, 2015). As a result, the questionnaire's reliability was deemed acceptable.

#### B. *Procedure*

Before conducting any research in the targeted context, the researchers completed a research approval form required by the targeted organization. It took a week for experts in the field to review the research details. Following that, the researchers received feedback and a decision from the research committee. Before administering the survey, they addressed the suggestions and amendments they received. The researcher submitted the questionnaire to the research committee after all revisions were completed, which managed and facilitated the administration process. To attain this purpose, the committee published the survey on Blackboard, the official learning management system platform at the targeted university, and reached out to all relevant teachers. It was created on Google Doc Forms initially, and the link to this service was transferred to Blackboard. It was available for two weeks after administration on the students' announcement dashboard. The researchers were careful to explain to students that the questionnaire was not part of their syllabus, course content, or evaluation process. Before participating in the survey, students were briefed through the announcement section and the survey link about the study and its purpose.

#### C. *Participants*

The questionnaire was completed by 858 students. The researcher examined the dataset for outliers and verified that the assumptions underlying the statistical tests used in the study were met. Following data screening, a total of 828 students were included in the current study. The researchers classified the students from colleges under two main strands: health and medical studies and arts and humanities. A third strand was added for English major students to distinguish them from the arts and humanities students. English major students constituted 21.3%  $n=176$  of the sample, whereas the majority of the participants (62.1%,  $n= 514$ ) belonged to the College of Arts and Humanities. The lowest percentage of participants (16.7%  $n=141$ ) came from medical and health sciences colleges. Female participants constitute more than half of the total number of respondents (62.2%  $n=515$ ). Most participants were either at their first or second university level. All these two levels of students were studying English through intensive courses designed by the English language institute at the targeted university, 15 credit hours per level.

## V. RESULTS

Data are presented in this section as guided by the research questions and objectives. That is, it begins by presenting descriptive data on participants' PLS, then data on PLS based on their academic major, and finally, PLS based on gender. The data were analyzed using SPSS to generate descriptive data and run the relevant statistical tests, as shown below:

### A. Participants', English-Major and Non-English-Major Students, PLS Orientations Through Mean Scales Scores Analysis

To identify participants' orientation against PLS, and because the focus is mainly on learning English, participants were divided into English-major and non-English-major students. Both groups of participants had PLS levels that were comparable and equal. In other words, the multimodality of their PLS was indicated by their mean scores across styles. Only the preference for individual LS by non-English-major participants was marginally lower compared to all of the means, as shown in Table 1.

TABLE 1  
T-TEST RESULTS COMPARING NON-ENGLISH MAJOR AND ENGLISH-MAJOR STUDENTS ON PLS

	Non-English Major			English Major			t	df	Sig.	Eta squared
	N	M	SD	N	M	SD				
Visual	652	18.37	3.76	176	18.07	4.19	.935	826	.350	.00106
Auditory	652	19.46	3.91	176	19.36	4.38	.313	826	.754	.00012
Kinaesthetic	652	18.88	4.16	176	18.63	4.66	.633	255.294	.527	.00048
Tactile	652	18.15	4.19	176	17.81	4.65	.875	256.812	.383	.00093
Individual	652	16.54	4.80	176	17.42	5.42	-1.969	253.987	.050	.00467
Group	652	19.15	4.82	176	18.19	5.80	2.016	243.980	.045	.00490

For further validation, an independent-sample t-test was used to determine whether one of the two groups had a dominant style. For the visual scale, there was no significant difference in scores for non-English major students ( $M=18.37$ ,  $SD=3.76$ ) and English major students [ $M=18.07$ ,  $SD=4.19$ ;  $t(826)=.935$ ,  $p=.35$ ]. The magnitude of the differences in the means was very small (eta squared=.00106). For the auditory scale, there was no significant difference in scores for non-English major students ( $M=19.46$ ,  $SD=3.91$ ) and English major students [ $M=19.36$ ,  $SD=4.38$ ;  $t(826)=.313$ ,  $p=0.75$ ]. The magnitude of the differences in the means was very small (eta squared=.00012). For the kinaesthetic scale, there was no significant difference in scores for non-English major students ( $M=18.88$ ,  $SD=4.16$ ) and English major students [ $M=18.63$ ,  $SD=4.66$ ;  $t(255.294)=.633$ ,  $p=0.53$ ]. The magnitude of the differences in the means was very small (eta squared=.00048). For the tactile scale, there was no significant difference in scores for non-English major students ( $M=18.15$ ,  $SD=4.19$ ) and English major students [ $M=17.81$ ,  $SD=4.65$ ;  $t(256.812)=.875$ ,  $p=.38$ ]. The magnitude of the differences in the means was very small (eta squared=.00093). For the individual scale, there was a significant difference in scores for non-English major students ( $M=16.54$ ,  $SD=4.80$ ) and English major students [ $M=17.42$ ,  $SD=5.42$ ;  $t(253.987)=-1.969$ ,  $p=.05$ ]. The magnitude of the differences in the means was very small (eta squared=.00467). For the group scale, there was a significant difference in scores for non-English major students ( $M=19.15$ ,  $SD=4.82$ ) and English major students [ $M=18.19$ ,  $SD=5.80$ ;  $t(243.980)=2.016$ ,  $p=0.05$ ]. The magnitude of the differences in the means was very small (eta squared=.00490). Both groups revealed similar PLS, except in the last two LSs, i.e., the social LSs according to Reid's (1995) framework.

### B. Participants' PLS According to Gender

An independent-samples t-test was used to compare the scores of the six PLS for both males and females to test the influence of gender on participants' PLS (see Table 2).

TABLE 2  
T-TEST RESULTS COMPARING MALES AND FEMALES ON PLS

	Female			Male			t	df	Sig.
	N	M	SD	N	M	SD			
Visual	515	18.30	3.76	313	18.33	4.01	-.116	826	.908
Auditory	515	19.50	4.02	313	19.35	3.99	.543	826	.588
Kinaesthetic	515	18.87	4.25	313	18.74	4.30	.433	826	.665
Tactile	515	18.30	4.15	313	17.70	4.50	1.919	618.294	.055
Individual	515	16.54	4.94	313	17.02	4.96	-1.342	826	.180
Group	515	18.94	4.88	313	18.97	5.34	-.081	613.603	.935

The analysis shows no significant relationship between gender and PLS. Regarding the visual scale, there was no significant difference in scores for females ( $M=18.30$ ,  $SD=3.76$ ) and males [ $M=18.33$ ,  $SD=4.01$ ;  $t(826)=-.116$ ,  $p=.91$ ]. The magnitude of the differences in the means was very small (eta squared=.00002). For the auditory scale, there was no significant difference in scores for females ( $M=19.50$ ,  $SD=4.02$ ) and males [ $M=19.35$ ,  $SD=3.99$ ;  $t(826)=.543$ ,  $p=0.59$ ]. The magnitude of the differences in the means was very small (eta squared=.00004). For the kinaesthetic

scale, there was no significant difference in scores for females ( $M=18.87$ ,  $SD=4.25$ ) and males [ $M=18.74$ ,  $SD=4.30$ ;  $t(826)=.433$ ,  $p=0.67$ ]. The magnitude of the differences in the means was large ( $\eta^2=0.0002$ ). For the tactile scale, there was no significant difference in scores for females ( $M=18.30$ ,  $SD=4.15$ ) and males [ $M=17.70$ ,  $SD=4.50$ ;  $t(618.294)=1.919$ ,  $p=.06$ ]. The magnitude of the differences in the means was very small ( $\eta^2=0.0044$ ). For the individual scale, there was no significant difference in scores for females ( $M=16.54$ ,  $SD=4.94$ ) and males [ $M=17.02$ ,  $SD=4.96$ ;  $t(826)=-1.342$ ,  $p=.18$ ]. The magnitude of the differences in the means was very small ( $\eta^2=0.0022$ ). For the group scale, there was no significant difference in scores for females ( $M=18.94$ ,  $SD=4.88$ ) and males [ $M=18.97$ ,  $SD=5.34$ ;  $t(613.603)=.081$ ,  $p=0.94$ ]. The magnitude of the differences in the means was very small ( $\eta^2=0.000008$ ).

### C. Participants' PLS According to Academic Major

A one-way between-groups multivariate analysis of variance was carried out to investigate the major of study differences in preferred learning styles (see Table 3). The six LSs were used as dependent variables, whereas the independent variable was the participants' study major. Preliminary assumption testing was conducted to check for normality, linearity, univariate and multivariate outliers, the homogeneity of variance-covariance matrices, and multicollinearity, with no serious violations noted.

TABLE 3  
RESULTS COMPARING THE THREE MAJORS' STUDENTS AND THEIR PLS

Variable	Humanities	Health	English	F	df	p	Partial squared
Visual	18.28	18.72	18.07	1.162	2	.313	.003
Auditory	19.37	19.82	19.36	.732	2	.481	.002
Kinaesthetic	18.67	19.65	18.63	3.139	2	.044	.008
Tactile	18.01	18.64	17.81	1.616	2	.199	.004
Individual	16.36	17.20	17.42	3.803	2	.023	.009
Group	19.12	19.28	18.19	2.568	2	.077	.006

The results indicated there was no difference to reach statistical significance, using a Bonferroni-adjusted alpha level of .008. In other words, the three groups reflected similar preferences of PLSs, with slight differences in the kinaesthetic, individual, and group LSs. The most preferred style, however, as reflected by the three groups, was the auditory LS. Treating each group individually, English-major students were less kinaesthetic, less tactile, and less favorable toward group LS than the other two groups. Health and medical science students were more kinaesthetic and tactile than the other groups. Comparatively, they were also more visual, auditory, and group-oriented than the others. However, these latter interpretations may indicate neither huge differences among the groups nor monomodal orientations.

## VI. DISCUSSION

In light of related reviewed studies, the data are discussed in light of the research micro-level objectives that reflect of the research questions. We believe that discussing the data in relation to similar studies in the field can help visualize and understand the paper's macro-level assumptions. Researchers interested in identifying specific learners with specific PLS or advocating multimodal educational approaches would benefit from delineating PLS across different fields, contexts, or genders.

### A. Type of PLS Orientations: Unimodal or Multimodal?

The analysis shows that the differences among the participants' PLS, based on the mean scores, are marginal, hence insignificant. Participants, based on that reading, can be said to reflect the multimodal orientation of PLS, as they exhibit multiple style preferences. Thus, participants in this study are like participants in El-Aziz El Naggar (2016) males, in Saadi (2012), and females in Al-Qahtani et al. (2018), who are all considered multimodal, bearing in mind that the current study does not indicate any differences between males and females.

Outlining the similarities among the participants, the auditory learning style is regarded as the most preferred for all participants, regardless of their majors or genders, a finding consistent with Khmakhien's (2012) study. In this regard, researchers concur with education-major participants in Khalil and Sabir's (2019) study. The auditory PLS has indeed been reflected through several studies, including Arab or Saudi students as their most preferred LS, starting from Reid (1987) to several following interested researchers such as Saadi (2012), Alkahtani (2016), and Saud (2018). This learning style, it can be argued, is consistent with university-level teaching systems, particularly in the Arab world, which rely heavily on lecturing.

### B. PLS and Gender

Assumptions about the homogeneity of today's learners and their multimodality are further supported by the results of this study, which did not show that gender had a significant impact on participants' PLS. The tactile learning style shows a very marginal difference. Based on the magnitude scale, this difference is relatively small, making it insignificant. In other words, the participants' preferences for each learning style were equally distributed, with the visual style receiving the highest ranking, followed by the group, kinaesthetic, and auditory learning styles. The

findings are, therefore, consistent with EFL context studies, such as those by Tuan (2011) in the Vietnamese context, Khmakhien (2012) in the Thai context, Riazi and Mansorian (2008), Bidabadi and Yamat (2010), and Sahragard et al. (2016) in the Iranian context, which did not find any appreciable differences between the two genders to PLS. Only studies by Siddique et al. (2014), Jhaish (2010), and Sarabi-Asiabar et al. (2014) found gender to be a factor. However, on a more local level, the study's findings also differ from those reached by studies carried out in the Saudi context, as most of those studies found differences between males and females with notable levels of differences in their PLS preferences, such as those by Al-Qahtani et al. (2018), El-Aziz El Naggar (2016), Alsafi (2010), Saadi (2012), and Yassin (2014).

### C. *PLS and Academic Major*

Regarding the assumption that certain fields are related to specific PLS, the preferences of students in the medical and health sciences in this study are relatively similar to those in El-Aziz El Naggar (2016), Al-Qahtani et al. (2018), and Elgzar et al. (2019). Besides that, by showing a preference for the kinaesthetic PLS, students of arts and humanities in this study are comparable to students of social sciences in Naserieh's (2009) study as well as Taun's (2011) and Khalil and Sabir's (2019) studies. However, statistical analysis of the current study reveals that the academic major as a factor had no statistically significant impact. In other words, even if there are differences in the PLS of participants according to their academic majors, they are insignificant. This further reinforces the notion that the PLS preferences of the participants are multimodal.

By identifying auditory as their top preferred in their PLS, participants with an English major are comparable to their Saudi counterparts in Alkubaidi's (2014) study. They also contrast with Saud's (2018) study, which found that English major students' preferences for auditory PLS were at the bottom of the list. The kinaesthetic style is the second preference of English majors, putting them in line with their peers in Jhaish's (2010) study in terms of this particular PLS. At the same time, they contradict their counterparts from the same later study by indicating a lower preference for tactile PLS. It can be deduced from the heterogeneity of the results of earlier and more recent studies that English majors' preference for auditory is not ubiquitous.

In conclusion, since English-major students are comparatively identical to their non-English counterparts, the academic major was not a factor in the current study, as no significant differences between the two groups were spotted. Both groups showed comparatively equal preferences for the auditory, kinaesthetic, and visual learning styles. However, if one were to look more closely at differences, participants, according to this categorization, showed very slight differences in the 'social' factor styles, namely the individual and group styles. Students majoring in English are reportedly more individualistic and less group-oriented than students majoring in other fields. They thus serve as a partial representation of the study's participants in Saud's (2018) work, which reveals preferences for both social-factor styles.

The preference for group learning was also stronger among students with other majors than among English majors. An explanation for the preference for individual PLS among English major students could be found in the activities and instruction English language learners typically receive, which call for them to work on their English independently and engage in varied target language practice in EFL contexts. In contrast to sensory PLS, showing differences in social PLS can be considered plausible because these PLS may reflect dynamic sociocultural values and behaviors. Those behaviors, however, can be learned and acquired and can influence teaching methods within the same cycle or loop.

## VII. CONCLUSION

In this paper, we attempted to describe the situation of EFL learners, males and females, across several disciplines in terms of perceptual learning styles through a Saudi university context. By employing gender and academic majors as factors, we attempted to add rigor to the investigation, which focuses on identifying the orientation of EFL learners' perceptual learning styles preferences by delineating differences and/or similarities among them according to the employed factors. In doing so, we attempted to define those learners as unimodal or multimodal regarding PLS. Apart from the discussion of the participants' overall dominant and less-dominant learning styles, statistics showed no significant differences among participants, even according to the employed factors. Thus, in the realm of the study, we conclude that learners in this study are multimodal learners. Similarly, English is not significantly associated with certain perceptual styles. Consequently, the assumptions that form the rationale of the study are valid.

Research in the field, including the current study, revealed some discrepancies in PLS tendencies across different contexts and factors. With such inconsistent patterns, multimodal education is a good opportunity for teachers and educationists. Without a thorough understanding of the potential and preferences of the learners, teaching cannot be successfully accomplished. Therefore, teachers' practices should always be adjusted to the characteristics of their students. This can be seen in the materials they present and how they behave when managing classes.

Nonetheless, even when multimodal education is either recommended or adopted, research into learner learning styles should persist firmly across all educational fields for several valid reasons. The most relevant is that teachers following multimodal approaches could tailor their teaching styles according to priorities and analyses emerging by investigation. Besides, the rapidly changing nature of social and cultural aspects that influence people and their lives in a broader spectrum, which may bring learners to a common ground, is yet unpredictable. Learners nowadays are



influenced by several local and global factors that require constant updates and modifications by educationists and educational planners.

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# The Linguistic and Thematic Features of Brand Names in Arabic and English: A Contrastive Study

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**Abstract**—This study investigates the similarities and differences between brand names in Arabic and English, namely Jordanian and American brands. Brand names are analyzed in terms of their thematic associations and their linguistic features. The focus is on three types of Jordanian and American products: food, clothing and services. The methodology followed is quantitative and qualitative, adopting the framework of Chan & Huang (2001) who classify the brands into different categories based on their thematic associations into seven categories. However, this framework has been adapted to include three more categories. The results reveal that the brand names of both countries have similar thematic associations but with different frequencies. It is found that the frequencies of the thematic categories significantly differ between the two countries (and the two languages) regarding the three investigated types of brands. In relation to their linguistic features, some similarities and differences are reported.

**Index Terms**—brand, theme, linguistic features, Jordanian, American

## I. INTRODUCTION

Advertising language is somehow different from other language discourses because it seeks the attention of consumers. In order to achieve that purpose, advertisers manipulate language at different levels such as the lexical, morphological, phonological and orthographic levels. In addition, their language may imply special thematic characteristics which have certain cultural, personal, emotional, or spatial associations. A salient part of advertising language is brand naming which can be the simplest and most direct tool for promoting products. For the consumer, the name of the brand may facilitate the process of selecting one product over another if its brand name is representative of its characteristics. It might also be helpful in remembering the product and differentiating it from others.

The term brand is defined differently in literature and viewed from several different perspectives. American defines a Brand is a name, term, sign, symbol or design, (or a combination of these) whose purpose is to differentiate goods or services of one company from another (Marketing Association, 1960). It is also defined by others as a legal instrument, a logo, a company, a shorthand, an identity system, and a risk reducer among many other definitions. Each of these reflects a certain perspective depending on the brand name's relation.

In literature, brand names are classified into different categories based on their themes. These classifications are combined in the work of Chernatony and Riley (1998) and they are divided into the following categories: instrument, logo, company, shorthand, risk reducer, identity system, image, value system, personality, relationship, adding value, and evolving entity. On the other hand, Chan and Huang (2001) classify them into six categories: place, traditional culture, animal, foreign-like name, desirability characteristics, and positive connotation.

Finally, branding can be said to have a communicative function through which certain features of the product can be communicated to the consumer. Therefore, selecting a brand name is a crucial process for business marketing, as brands need to have distinctive names from others, and they need to be attractive to the consumer. As these names need to be distinctive and powerful, they also need to carry certain linguistic features, and that is why linguists are interested in analyzing them.

## II. LITERATURE REVIEW

Brand names have often been the subject of intensive research for linguists and marketers. Packaging and labeling can be utilized in a way that achieves the needed distinctiveness in industrial and commercial markets (Myers et al., 1997). As a result, a great deal of research has been conducted to improve the naming and presentation of products.

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After all, branding's main purpose is to promote products and services to satisfy the requirements of consumers and to help make their purchasing decision (Chan & Huang, 1997).

The characteristics of brand names strategic desirability are pursued by Robertson (2007). In this study, he provides two dimensions for the judgment of brand name desirability:

1. Brand names can be easily encoded in, retained in, and retrieved from memory
2. The extent to which the name supports or enhances the planned strategic positioning or image of the product

When selecting a successful brand name, nine principles should be considered by managers which can be summarized as follows: The brand name should be simple, distinctive, meaningful, emotional, verbal or a sound connected to the product class; it should also elicit a mental image, make use of phonemes, morphemes, and use repetitive sounds generated by alliteration, assonance, consonance, rhyme, and rhythm (Robertson, 2007).

Moreover, the country in which the brand is produced has a strong influence on selecting its name. This notion is also investigated in Asian brand names. A study focuses on the dominance of certain Asian brands and points out that the dominance is in favor of names that are related to shared cultural values (Robinson, 1995). The influence of culture is highlighted in Dong (2001) as well. The culture of the country in which the brand is found or marketed should be taken into consideration because the customers are interested in the brand name and not only in the product itself. This is due to the fact that the name may carry a symbolic meaning related positively or negatively to their culture, values, traditions or beliefs. He provides an example of the negative connotation of "clock" in Chinese culture which symbolizes death. Accordingly, he suggests that using a brand name similar to this one would not achieve any success in a country like China (Dong, 2001).

Brand theme is defined based on expert definitions acquired through a focus meeting with them. After analyzing the data, the experts adopted the following definition: "The brand is a complex multidimensional construct whereby managers augment products and services with values and this facilitates the process by which consumers confidently recognize and appreciate these values" (Chernatony & Riley, 1998, p. 436). According to this definition, naming the brand is a cyclical process in which consumers give feedback about the brand and the firm takes this feedback into account to produce better names for their products. This assumption suggests that the success or failure of brands is dependent on the degree of congruence between the firm's values and the rational and emotional needs of consumers.

The strong linguistic connection of brand names is also discussed in some studies. One of these studies is Chan and Huang (2001) who argue that the linguistic component is essential in brand naming. Through analyzing the Chinese brand names of ten products, they find that the phonological, morphological, and semantic fields play a significant role in selecting the brand name. For example, the semantic content of the name represents the product's function, its nature, the target consumer, and the culture of society. Other studies stress the influence of the phonetic features of brand names on their distinctiveness. For instance, some consonants help in recalling brand names such as those where the sound begins with a plosive (b, s, d, g, k, p). In addition to its phonetic features, other features of the word may influence its memorability such as the length of the name (length decreases recognition) and its association with other things like an animal, an idea, or a kind of plant (Bergh, 1984).

The impact of phonetic structures on brands can be found in some works. The type of the brand can be reflected in the phonetic structure of its name. According to them, luxury brands have a different structure from basic brands so each of them has distinctive features. The distinctions of the luxury brands help to keep the name in the mind of the consumer as it relates to something luxurious (Pathak et al., 2017).

Concerning drug brand names, the most dominant types of names are those borrowed from other languages. Consequently, their meanings are not clear to the consumers, yet this makes them special and distinctive. Other names undergo some phonological processes such as the clipping of some words; for example, *PulmicortFlexhaler* is derived from *pulmonary*. Suffixation and affixation are also utilized to create brands, especially with generic names. In addition, sound symbolism is also important to find connotations about the product in order to attract the attention of consumers. Some brand names are judged as being misleading, incorrect, or unsafe; unjustified hyperbole beyond clinical data; or they use confusing prefixes or suffixes that conflict with common abbreviations (Williamson, 2013).

Brand naming is an interdisciplinary issue as it interacts with psycholinguistic, sociolinguistics and semiotics. The relationship between consumer psychology and brand linguistics has been examined (i.e., the study of a language's effect on consumers in brand-related settings (Carnevale et al., 2017). They provided an example of one case in which consumer-brand relationships and interpersonal relationships interact, that is to say, when brands are positioned through metaphors as means to reinforce desirable social relationships as, for example "(DeBeers's 'Say it with diamonds' campaign). In such cases, consumers might find that the brand signifies a particular interpersonal relationship because, for example, it was a gift" (Carnevale et al., 2017, p. 581).

### III. METHODOLOGY

#### A. The Source of Data

The brand names analyzed in the current study were collected from websites and included brands from Jordan and the United States. The Jordanian brands were taken from [www.mit.gov.jo](http://www.mit.gov.jo) and <http://daleelalurdon.com/index.php?sobi2>, whereas the American brands were retrieved from [www.forbes.com](http://www.forbes.com) and from [https://www.amazon.com/ref=nb\\_sb\\_noss\\_null](https://www.amazon.com/ref=nb_sb_noss_null) - a marketing website which introduces the top brands.

The data include 90 brands in each language in the categories of food (n= 56), clothing (n= 16) and services (n= 20). The food category includes dairy products, chocolate, coffee, and tea, while the services category includes hotels and restaurants combined as one category in the tables. The discrepancy in the numbers of the brands in the categories is due to the limited number of Jordanian brands, especially when it comes to clothing. The analyzed data can be found in the appendix.

### B. The Analysis Procedure

The methodology adopted in the study is descriptive and analytical. The thematic analysis in the paper is based on the framework of Chan and Huang (2003). In this framework, the brands are classified into six categories:

1. place,
2. traditional culture,
3. animal,
4. foreign-like name desirability,
5. characteristics, and
6. positive connotation.

However, the framework has been modified to suit the results of the analyzed data since three categories - family name, person name and source, and ingredients - can be found in both the Jordanian and the American data but were not found in the original framework. In addition, the data are analyzed in terms of their lexical, phonological, morphological, and orthographic features. The qualitative analysis is presented through tables reporting the frequency and percentages of each category in each language.

### C. Research Questions

American and Jordanian brands are expected to have clearly different features in their brand names since the two countries have different languages, cultural backgrounds and economic statuses. Therefore, the study seeks to answer the following questions:

1. What are the sources of brand names in Arabic and English?
2. What are the similarities and differences between brand names in Arabic and English?

## IV. DATA ANALYSIS

### A. Thematic Analysis

#### (a). Food

The data for both countries include three types of food: dairy products, chocolate and candies, and tea and coffee. The brands are classified into various categories based on their associations. The frequency and percentage of each category are presented in Table 1.

As shown in Table 1, the nine themes can be found in the Jordanian brand names but with different frequencies. Most of them indicate a “positive connotation” representing 22.22% of the data. Examples of these are *tanāyūm* (harmony), *alyawm* (today), *albasma* (the smile), *annuxba* (the elite), *almīzān* (the balance), *annahḍa* (the renaissance), and *albārūn* (the baron), *alṣamīd* (the dean). For instance, the word *alyawm* (today) denotes freshness, as if the product is produced and sold on the same day. *annuxba* (the elite) implies that this product is better than any other while *albārūn* and *alṣamīd* refer to a person of high rank or dignity. Such names reflect the values of the companies and may attempt to attract customers who are interested in such values. This point is highlighted in Chernatony and Riley (1998).

TABLE 1  
FREQUENCY OF THE CATEGORIES RELATED TO FOOD BRANDS

Category	Jordanian		American	
	N	%	N	%
Place	6	11.11	7	12.96
Traditional Culture/religion	9	16.66	3	5.55
Animal	4	7.4	2	3.7
Positive Connotation	11	20.37	5	9.25
Desirability characteristics	2	3.7	0	0
Foreign Name	4	7.4	6	11.11
Family Name	6	11.11	14	25.92
Person Name	6	11.11	3	5.55
Source or components	6	11.11	9	16.66
Total	54		54	

The second most frequently appearing category is Traditional Culture/Religion which registers 16.66% among the other categories. The culture of the Jordanian community is reflected in the names of the brands as people there pay much attention to cultural and religious aspects. For example, *alhudā* (the right path) is a chocolate brand that has a religious connotation, whereas *alṣaṣāla* (originality), *alṣaraqa* (nobility) are culturally related. Other names that are associated with the Jordanian culture are *dallit dīrinā* (our country coffee pot), *assayf* (the sword), *alṣarabī* (the Arab),

and *annašāma alṣarab* (the chivalrous Arab). Words such as *addalla* (coffee pot) have a strong cultural value, and Jordanians use this word and its picture as a representative logo or sign for belonging or loyalty to the traditional cultural values. This group of names is coffee brands, and the names are associated with culture because coffee itself has highly positive cultural values as it is associated with hospitality and generosity in the Jordanian community. Other names refer to personal or family names such as *alkasīh* (Alkaseeh), *aljneydī* (Al-jneidi), *haykal* (Haykal), *zhaymān* (Zheiman) among other family names.

The category of Personal Names includes male and female names such as *ḥammūdi* (Hammoudi), a very common Jordanian male nickname, and female names like *mahā* (Maha), *nānsī* (Nancy) and *ṣabhā* (Sabha). These names may refer to certain people or may be used because they have special value. For example, the name *ṣabhā* (Sabha) is used as a coffee brand that might be selected because it is a traditional name and coffee is associated with Jordanian traditions, as mentioned above.

The category Source or Components includes six names, five of which are related to their source: *assanābil* (wheat), *almazraṣa* (the farm), *jannatī* (my garden), *dīritnā* (our country), and *alwādī alṣaxḍar* (the green valley). These names are, of course, related to the land (i.e., farm, country and garden) and reflect Jordanian attitudes towards domestic dairy products, i.e., they prefer locally made diaries as yogurt and cheese because they think that it is healthier than the imported ones. Conversely, this is unlike their attitudes toward other kinds of products of which they prefer the imported ones. One example in the data - *ṣabulḥayl* (the father of cardamom) - is related to an ingredient found in Arab coffee - cardamom. The cardamom is used in this brand as it is mixed with the coffee to add a certain flavor to it. This name is accompanied by *ṣabu* (the father) to indicate superiority over the other kinds of coffee. Similarly, Jordanian food brands associated with places register as 11.11% of the data. Some of these places are local districts, while others are not. For instance, *karakī* (Karakī) and *murūj ḍabṣa* (Dab'a farms) are local, and they may refer to the place of the product's company. On the other hand, other names, like *aššāmī* (connected with Syria), *blūdān* bloodan (a Syrian town), and *makka* (a Saudi Arabian city) are non-Jordanian Arab cities, and *plāzā* Plaza is a non-Arab city.

Foreign names are found with less frequency, registering 7.4% of the total data. For instance, there are *Hello* and *binbanūvā* (Binbanouva) which appear in Arab and English scripts, whereas Pop Candy and MayalaChocoloteria appear only in the English script.

Similarly, the Animal Names category represents 7.4%. The animals whose names are used have a positive connotation in the Jordanian community. For example, there is *alyazālayn* (the two deer). Deer symbolize beauty in Arab culture, *alḥiṣānayn* (the two horses) and *annamir alṣarabīthe* (the Arab tiger); the tiger and the horse represent strength and power. Further, *kanārī* (canary) is used as a chocolate brand, and this animal is associated with beauty and a pleasant sound.

As can be seen in Table 1, the least frequently appearing category is Desirability Characteristics as in *ṣakz qahwa* (the most delicious coffee) and *ṭayba* (delicious).

In comparison, the American data view different frequencies in relation to brand name associations. The most frequent brands at 29.52% are those that carry family names as shown in Table 1 above. Family names are so common in different types of food brands such as Dean's Food, Hill's Bros., Maxwell, Gloria Jean (which is the full name of one of the company's owners), Just Born (Born is the family name of one of the owners), Castronovo, Goldenberg, Mars, Peet's, Reese's, Murrie & Mars (M&Ms), and Betty Crocker (Crocker is the family name of the company director, as mentioned in the company website).

Another common category in American brands is using a spatial reference which sometimes refers to the place in which the product is produced. Seven places appear as brand names, demonstrating 12.96%. Some of these places are American, such as Colombo, American Tea, Luiziannem (which is an adaptation of the American state of Louisiana) and Tillamook Cheeses. Non-American places are found as well, such as Oreo (adaptation of Orio which is a Spanish town) and the tea brand Turkey Hills.

Moreover, the American data shows that foreign names are frequently utilized such as the product that carries the name Numi Organic which is taken from the Arabic-Iraqi word *nūmī* (Rahim, 2010). This word refers to a type of fruit in the Iraqi dialect (numitea.com). Other examples are those taken from the Turkish language such as *Joyva* and *Halva* which mean "sweet food". In addition, *Pluḡrā* is derived from French *plusgras* meaning "more fat". Fruzen Glädje and Siggī's Yogurt are also foreign brand names.

The Source or Components category registers at 16.66% of the data, and Green Mount, Mighty Leaf, Hot Tamales (tamales are a Mexican dish, and the candy with this name is spicy hot like that of tamales), Pinkberry Yogurt, Hill's Beer (a type of cheese in which beer is one of the ingredients), among others.

The Positive Connotation category is utilized less frequently in naming the American brands, registering at 9.25% of the data. In these brands, the names imply a positive meaning that may attract customer attention like, for instance, Good Earth, Honest and Imperial. Names related to cultural items like Sweet Frog, Stash and The Greek God appear three times in the data. Concerning the frozen yogurt brand Sweet Frog, FROG is an acronym for "Fully Rely on God", so it is founded on Christian principles (Wunderlich, 2013). Stash is a tea brand that is taken from an old tradition that involves providing a ship's captain with a certain kind of tea called "the captain's stash".

Similarly, using Person Names appears three times, registering 5.55% in the data and include Mike & Ike, Gloria and Clark.

Lastly, Animal Names demonstrate low occurrence where only two examples can be found in the collected data. These are Snickers (the name of the favorite horse of the owner family) and Brown Cow.

Even though the data of the two related countries are associated with the different adopted categories, the analysis reveals significant differences between them at level 0.08. While the most frequently used categories in the Jordanian brands are Positive Connotation followed by Traditional Culture/Religion, the American brands are more associated with Family Names followed by the Source/Ingredient category (which are significantly different as can be noted through the percentages above). The least frequently appearing category in Jordan is Desirability Characteristics. However, this is not found in the American data.

#### (b). Clothing

The data of clothing brands are analyzed in Table 2. The total number of the brand names is sixteen for each country, distributed based on their association, as can be noted in the table.

TABLE 2  
FREQUENCY OF CATEGORIES RELATED TO CLOTHING

Category	Jordanian		American	
	N	%	N	%
Place	3	18.75	3	18.75
Traditional Culture/religion	4	25.00	0	0
Animal	1	6.25	1	6.25
Positive Connotation	2	12.25	1	6.25
Desirability characteristics	0	0	0	0
Foreign Name	0	0	2	12.5
Family Name	3	18.75	6	37.5
Person	3	18.75	3	18.75
Source or components	0	0	0	0
Total	16		16	

The analysis in Table 2 reveals significant differences between the Jordanian and American data. Beginning with the Jordanian data, the most frequently used category is Traditional Culture/Religion representing 25.0% of the collected data these include *Īslāmiyyāt* (Islamic), *jannaatī* (my heaven), *alhudā* (the right path), *attaqwā* (devotion). All of these names are related to religion, and especially the first one which clearly uses the word Islamic. The names, as can be noted, are connected with religion rather than with culture. As a Muslim community, Jordanian people are expected to be affected by Islamic trends. As Jordanians pay a great deal of attention to cultural values, marketers utilize this point to attract consumer attention through clothing brand names. This result is in line with the views of Robison (1995) and Dong (2001) when they stress the importance of considering culture when selecting a brand name.

The second most frequently appearing category is Place Names, and some of the places used in naming the brands are related to places that Muslims associate with their religion. For instance, *alquds* (Al-Quds) and *bayt lmaqdis* (another name for Al-Quds) are very popular Islamic clothing brands. Their names are associated with the city of Al-Quds in Palestine which is a holy place for Muslims. Another name used is Petra, a very famous Jordanian tourist destination, which might be used because its name is known around the world.

With similar frequency, Person and Family Names used in Jordanian clothing brands refer to male and female names. Examples of female names include *sājida* (Sajeda) and *līlās* (Lelas) and an example of a male name is *hārūn* (Haroun). Family Names can be exemplified through *alʔafayānī* (Al'afaghani), *qafīša* (Qafesha) and *sāhūr* (Sahour). Only one example that appears in the data refers to an animal name, and that is *alʔanadil* (Nightingales); thus, the category Animal Names is the third most frequently occurring category claiming 6.25% of the data. None of the other categories are found in the collected data related to clothing.

As can be seen on the other side of Table 2, the American data reflect different associations than the Jordanian brand names. Most of the names (37.5%) are associated with family names which is a rather high rate in comparison to both the other categories and to the most frequently appearing Jordanian category mentioned above. Examples of these are Calvin Klein, Tommy Hilfiger, Abercrombie & Fitch, Filson, Ralph Lauren, and FCS (Freeman Sporting Club with "Freeman" being a family name). Secondly, the Place Names category represents 18.75% of the data as seen in Colombia, American Eagle and Patagonia.

The second frequently appearing category – Foreign Names - demonstrates 12.5% of the total data. For instance, Levi Strauss and A éropostale are not English words.

Animal names occur only once in the data, and that is with American Eagle. Also, one instance of Positive Connotation appears in the data, namely, Nike (the Goddess of victory). The other categories are not found in the collected data.

When it comes to clothing brand names, significant differences between the brand names of the Jordanian and American are demonstrated. The most frequent Jordanian brand names are, respectively, Cultural Tradition/Religion, Positive Connotation, Family Name, Person Name, and Place Name. On the other hand, there are no American brands in the study that fit the category Traditional Culture/Religion. The American brands, in contrast, are associated with the categories of Family Names, Place, Foreign Names, Animal, and Positive Connotation, respectively. Foreign Names is

found in the American data but not in the Jordanian. Two of the categories are not found in both the American and Jordanian brand names, namely Desirability Characteristic and Source/Ingredients.

(c). *Services*

The data related to services consist of the brand names of restaurants and hotels, totaling 20 for each country.

TABLE 3  
FREQUENCY OF CATEGORIES RELATED TO SERVICES

Category	Jordanian		American	
	N	%	N	%
Place	6	25.00	4	20.00
Traditional Culture/religion	2	10.00	0	0
Animal	1	5.00	1	5.00
Positive Connotation	4	20.00	0	0
Desirability characteristics	1	5.00	3	15.00
Foreign Name	2	10.00	0	0
Family Name	1	5.00	4	20.00
Person	1	5.00	5	25.00
Source or components	2	10.00	3	15.00
Total	20		20	

Table 3 above shows that the most frequently appearing category for the Jordanian services brands is Place, representing 25% of the collected data. Some of the place names are Jordanian and Arab names such as *albatrā* (Petra), *albayt allubnānī* (the Lebanese house), *šammān alkubrā* (the great Amman), *šammān intarnāšnal* (Amman International), and *aḍḍayša* (the town). Although *aḍḍayša* (the town) does not refer to a specific place, it is still a place and might be used to imply simplicity and homemade-like food. Interestingly, only one non-Arab place is used as a hotel name - the Bristol Hotel.

The second most frequently appearing category is Positive Connotation which registers at 20%. For example, *aθθurayyā* (Chandelier), *jawharat šammān* (Amman's Diamond), *alʔarḍ aṭṭyyiba* (the Good Land), *dār assalām* (the Land of Peace). Foreign Names, which registers at 10%, appear only with hotels brands like the Landmark and Le Royal. Using foreign names as a brand, as argued by Williamson (2013), is to be distinctive and special.

Similarly, the Source/Ingredient category appears in two restaurant names: *ṭwāḥīn lhawā* (the Windmills) and *almanqal* (Barbecue Grinder).

Traditional Culture/Religion represents the same frequency with two examples of restaurants. The first is *addār dāarak* (The house is yours) which implies traditional generosity and hospitality, and *rīm albawādi* (the Bedouin Deer).

The other categories register at the same percentage (5%). The one name representing Animals is *karawā* (Curlew Bird). Only one Family Name can be found in *ʔabu lxayr* (Abulkheir) and one Person name- *ḥamāda* (Hamada) Finally, *humhum* (yummy) is the only name in the study implying Desirability Characteristic and is used to imply that the food in this restaurant is delicious.

By contrast, the American service industry brands reveal different frequencies in the related categories. Brands carrying Person names are the most common in the data. For example, there is BarneyGreengrass, Wyndham, Roberta's and Di Fara, all of which are names (or partial names) of the owners. Additionally, also DeMarco and Farina are combined in this brand name (Demarco, 2004).

Family Name is the second most appearing brand name category on the American side, registering at 20%. Examples of family names include instance, Kennedy Fried Chicken and Hilton.

Demonstrating similar frequency, some brands are related to the category of Place such as AmericaInn, Shilo Inns (Shilo is an Israeli settlement in Palestine) and Werwick (a city in the UK). Marriot, Motel 6, and Four Seasons are American hotel names that appear in the Desirability Characteristics category, and Burger Heaven, Peanut Butter and the Palm Source are restaurants that appear Source or Components category. Finally, on the American side, there was only one example in the Animal category - Red Lion.

When comparing the data of the two countries, there are notable and quite significant differences regarding their categorical choice of brand names. The Jordanian data are associated with the following categories, respectively: Place, Foreign Names, Positive Connotation, Traditional Culture, Source or Components, and finally - with all at the same percentage - Family Name, Person, and Animal names. The American data, on the other hand are related to, firstly, Person, then, Family Name and Place, all with the same frequency. These categories were followed by Source or Components and Desirability Characteristics, again, all with the same frequency. Finally, Animal is found as the least frequently appearing category of American brand names. Moreover, it is quite clear from Table 2 that some categories are found in the American data but not in the Jordanian data, and vice versa.

B. *Linguistic Features Analysis*

In this part, the data are investigated in relation to their lexical, orthography, morphological and phonological features. The data are taken in this section as two groups - Jordanian and American - regardless of whether they belong



to food, clothing or services categories. Different linguistic strategies are employed in naming the brands in order to achieve their objectives.

Lexically, personal pronouns are used with some brand names, like the first and second person pronouns. As Romanenko (2014) declares, the use of personal pronouns aims to show a personal relationship with the customers and establish communication with them. Examples of these can be seen in Jordanian brands in which the first and second personal pronouns are used. For instance, there is *jannatī* (my heaven), a word inflected by the first person singular possessive pronoun; in *addār dārak* (the house is yours), the second word is inflected by the second person singular. Also, in *dallit dīritnā* (our country's pot), the word *dīritnā* (our country) is inflected by the first person plural.

Moreover, colloquial terms are also utilized in this respect, especially with Arabic brands. Colloquialism can be defined as using everyday language instead of formal language. It is used by the marketers in naming the brands which might aim to reflect simplicity. Colloquial words also appear in the Jordanian data in four brand names. *ʔazka qahwa* (the most delicious coffee) in which the first word is a dialectical one. The second word is *annašāmā* and this word is a Jordanian one that is heavily used by Jordanians to show good attributes in someone. The third example uses a dialectical way of expressing the proficiency or superiority of someone or something. That word is *ʔabu* meaning "the father of" which is similar to the English usage of "the king of something". The example used in this study appears in the coffee brand *ʔabu lhayl* (the father of cardamom). The last one - *humhum* (yummy) - is usually used by children and not by younger people which is likely why it is used as the brand name for chocolate and catches the children's attention.

At the same time, in the American data, the brand Baby Phat uses the colloquial word phat (an acronym for "Pretty Hot and Tempting") which means beautiful. Using such simple names that are close to what people use in everyday language is supported by Robertson (2007) who argues that the name needs to be simple in order to be memorable and acceptable to people.

According to Leech (1996), adjectives are so common in the language of advertisement that they are used for an informative purpose, that is, to communicate the special characteristics of the product. Some brand names fall into the adjective word category, and these occur more in the American data than in the Jordanian data, with five American words and two Jordanian words appearing in this study. The American brand names are Good Earth, Honest, Mighty Leaf, Brown Cow and Sweet Frog, and the Jordanian words are *alfarīda* (unique) and *ʔayba* (good or tasty).

At the orthographic level, some examples show misspelled words, or so-called divergent spelling. This strategy is intentionally followed by advertisers, and the reason behind this might be to attract attention because such spelling would make the customer stop and think about the word. Three examples of this strategy in use appear in the American data which are the following: Luizianne (divergent form of Louisiana), Cheez Whiz ('z' is used instead of 's' in cheese) and Baby Phat (instead of fat). Two instances are found in the Jordanian data. First is *ʔawāhīn lhawā* (the wind mills) where the final letter is deleted (this deletion is the normal pronunciation in the Jordanian dialect and this might be the reason for employing it). The second one is Mayala Chocolateria, a misspelled English word.

Another point related to the orthography is using foreign and native scripts for foreign words. Some words are foreign but written using the script of the native language, such as the word Halva which is an American brand that is taken from Turkish but is written in English. A similar example can be found in the Arabic data with the word *bibūvā* which seems to be an adaptation for bonbon. On the other hand, some of the foreign words retain their original script, as in Pop Candy and Mayala Chocolateria in the Jordanian data; and Frusen Gl ädje and A éropostale in the American data. Interestingly, one example in Arabic is an Arabic name written only in English, and that word is Lelas (it is a female name used as a female clothing brand).

As argued by Pathal et al. (2017), phonological features are important and are taken into consideration when naming brands. As a result, special phonological manipulations are employed in naming the brands. One of the morphological strategies is alliteration, defined by As-Safi (2016) as the repetition of initial consonant sounds in adjacent or closely associated words. Two examples can be found in the Arabic data: *humhum* (tasty) and *ddār dārak* (the house is yours) in which the repetition of the same initial sound is very clear and makes the words memorable. Wyndham World Wide and Hall's Bros are American examples of alliteration.

The second phonetic strategy is assonance which means the repetition of the vowel sound at the beginning or middle of the word (As-Safi, 2016). For example, in *ddār dārak* the vowel sound /ā/ is repeated in the two words. In the American data, more examples employ this strategy as in Brown Cow (the repetition of the /au/ in both of the words) and Mike & Ike which involves the repetition of the /ai/.

Moreover, advertisers take phonological features into consideration because they believe that some sounds are more attractive than others. For example, when naming Starbucks, the owner of the company admits that he intentionally selected a word that starts with /st/ because these sounds are more attractive, "... he thought words that begin with "st" were powerful words. I thought about that and I said, yeah, that's right, so I did a list of "st" words...." (Alison, 2008, p. 2). This impact of the initial consonant of the brand name was stressed by Bergh (1984), who mentions the /s/ sound, within the plosive sounds, that helps in recalling the name.

Morphologically, blending and acronyms are used in the data. Blending is employed in the American data in several examples such as Yocrunch (yogurt crunch), Yoplait (Yogurt Plait), Di Fara (DeMarco and Farina). Acronyms are also a morphological combination of the first letter of several words to form a new one. Examples of acronyms are present in

the American data where two examples of this are FCS (Freeman Sporting Club) and Sweet Frog (Fully Rely on God). In the Jordanian data, a restaurant has the name *ʔār nūn* (R-noon), but this acronym includes the English letter R and the Arabic letter noon.

## V. CONCLUSION

The analysis of the data results in several points showing the similarities and differences between the Jordanian and American brand names. Firstly, brand names in both countries are associated with the themes adopted by Chan and Huang (2001) in addition to the three were added by the researcher: Person, Family Name and Source. However, the frequencies of their occurrences with these themes are different depending on the type of product which can be summarized with the following points:

- 1- Jordanian food brands are more associated with Positive Connotation, followed by Traditional Culture. In this regard, the most frequently occurring brands in the American data appeared in Family Name, followed by Source or Components. These differences are statistically significant at a 0.08 level; for example, Positive Connotation registers 20.37% in the Jordanian data and 9.25% in the American; whereas, Family Name demonstrates 25.92% in the American data and 11.11% in the Jordanian data.
- 2- In naming clothing brands, the most frequently occurring brands in the Jordanian data appeared in the Cultural Tradition/Religion category. This result supports Robinson (1995) result that Asian brand names are highly associated with their cultures and this theme is the dominant one). It is followed by Positive Connotation theme. In contrast, the American brands highest occurring category is Family Name followed by Source or Components. The difference is statistically significant at level 0.08.
- 3- Services brands in Jordan are associated with Place Names followed by Positive Connotation. The American names, on the other hand, occurred more in the Person category followed by Family Names and Place. The difference is also statistically significant at 0.08.

It can be noted from these results that the Jordanian brands, in general, are more connected with their culture and religion and words of positive connotation while the Americans are more related to their names, whether first names or surnames.

In relation to the linguistic features of brand names, some common and different aspects between the American and Jordanian data were revealed in the analysis:

- 1- Lexically, some aspects were explored and what was found first is that personal pronouns are used in the Jordanian brand names but not in the American brand names. Second, colloquial expressions can be found in both Jordanian and American brand names. Lastly, adjectives are used in both Jordanian and American brand names to provide a description of the product/service.
- 2- Phonological strategies, alliteration and assonance are employed in both Jordanian and American brand names
- 3- Morphological processes of blending and using acronyms are found in both Jordanian and American brand names

The existence of such special linguistic features is in line with several studies that highlight the manipulation of language significance in branding such as Chan and Huang (2001) and Pathal et al. (2017) among others.

To conclude, the study reveals the branding strategies followed in two countries with different languages, cultural backgrounds, and economic statuses. As a result, the strategies adopted are different and the linguistic characteristics are different in several aspects though some similarities do exist.

## APPENDIX

ARABIC DATA			ENGLISH DATA		
FOOD	CLOTHING	SERVICES	FOOD	CLOTHING	SERVICES
الفريدة	القدس	a. Restaurants	American Tea	Abercrombie & Fitch	a. Restaurants
المزرعة	العنادل	ريم البوادي	Betty Crocker	Aeropostale	Andananda
الشامي	بيت المقدس	حمادة	Bigelow	American Eagle	Barney Heaven
الحقول الخضراء	الهدى	الدار دارك	Brown Cow	Baby Phat	Burger Heaven
مروج ضيعة	قفيشة	الضيعة	Capital Teas	Calvin Klein	Di Fara Pizza
بلودان	الأوج	المنقل	Castrovo	Colombia	Kennedy Fried Chicken
حارتنا	السماح	هم هم	Cheeze Whiz	Eddie Baure	McDonalds
الوادي الأخضر	ساحور	أبو الخير	Clark	FCS (Freeman Sporting Club)	Papaya King
ديرتنا	هارون	عمان الكبرى	Colombo Yogurt	Filson	Peanut Butter
الجنتي	جنني	البيت اللبناني	Dean's Food	Levi Strauss	Roberta's
حمودة	Lelas	طواحين الهوا	FrusenGl ädje	Nike	The Palm
اليوم	الأنوار	أرنون	Ghirardelli	Patagonia	
طيبة	التقوى	b. Hotels	Gloria Jean's Coffee	Ralph Lauren	b. Hotels
السنايل	اسلاميات	عمان انترناشونال	Goldenberg	The North Face	AmericaInn
كركي	الأفغاني	عمان كروان	Good Earth	Tommy Hilfiger	Four Seasons
الكسبح	الرائدة	عمان اوركيذا	Green Mountain		Hilton
مها		عمان الدولي	Hall's Beer Cheese		Lowes Hotels
جنني		قصر الشام	Halva		Marriot
الروابي		جوهرة عمان	Harney and Sons		Motel 6
هيكل		لاندمارك	Hill's Bros		Red Lion
بلازا		التريا	Honest		Shilo Inns
عاشور		رويال	Hot Tamates		Warwick
كتاري		البتراء	Imperial Tea		Wyndham World Wide
فتافيت			Joyva		
البسمة			Just Born		
يونيونفا			Kiwi Yogurt		
تناغم			Luizianne		
زاهي			M &M's		
سلمبيل			Mars		
MayalaChocoloteria			Maxwell House		
Pop Candy			Mighty Leaf Tea		
نانسي			Mike & Ike		
مكة			Numi Organic		
هلولو			Orio		
الهدى			Palmetto		
العميد			Peep		
ازحيمان			Peet's Coffee		
العرايزة			Pinkberry		
النخبة			Plugra		
النهضة			Reese's		
دلة ديرتنا			Siggi's Yogurt		
صبحا			Snickers		
البارون			Starbuks		
السيف			Stash		
الغزالين			Stony Field Farm		
أزكا قهوة			Sweet Frog		
الحصانين			The Greek Gods		
الميزان			Tillamook		
الأصالة			Turkey Hill		
العراقة			Yocrunh		
العربي			Yoplait		
أبو الهيل					
النشامي العرب					
التمر العربي					

Phonetic symbols: اَ, b, ت, t, ث, Th, ج, z, ح, h, خ, x, د, d, ذ, th, ر, r, ز, z, س, s, ش, Š, ص, s, ض, d, ط, t, ظ, D, ع, f, غ, y, ق, q, ك, k, ل, l, م, m, ن, n, ه, h, و, w, ي, y, اَ, a, أُ, u, إ, i, long ي, I, long و, ū.

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# Chesterman's Pragmatic Strategies in Translating Sundanese Folklore Into English

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**Abstract**—English scholar and translator Andrew Chesterman offers three major strategies of translation when dealing with any kind of source texts: syntactic, semantic, and pragmatic. Moreover, these three strategies can be applied either separately or with two or all three of them used together depending on the need to get a natural equivalent in the target text. This article is about the emergence of one of Chesterman's strategies – the pragmatic strategies - in the translation of Sundanese folklore from the Sundanese language into the English target text. The Sundanese language is a local language spoken by Sundanese people mostly living in West Java, Indonesia. Its existence is in such a critical situation that if there are no efforts from any communities, institutions, or government to preserve it, this local language will gradually go extinct. This research is one of the ways to participate in preserving the language. Using Chesterman's concept of pragmatic strategies, this research aims to reveal the emergence of each type of pragmatic strategy in the English target text and identify the most dominant strategy used. The method used is a descriptive qualitative method focusing on the use of words either in the linguistic unit of the clause, the phrase or the word itself. The efforts made by the translator in giving the closest natural equivalent in the target text can be observed in the results of this research. The results show that all types of pragmatic strategies were used, but the strategy used most frequently was the explicitness change strategy.

**Index Terms**—explicitness change, equivalent, pragmatic strategies, Sundanese folklore, translation

## I. INTRODUCTION

Every culture has its own folklore that is passed down from generation to generation and reflects its local wisdom and its moral values. Contemporarily, folklore as oral tradition is converted into a written text, then printed and digitalized thus becoming folklore cyber literature (Santosa et al., 2022). This means that the folklore of many cultures is now more easily accessible and, therefore, more easily studied. Most recently, folklore has been used in teaching materials to introduce local wisdom and moral values to students of elementary schools (Aljamaliah & Darmadi, 2022) as well as in teaching literary works and folklore through digital media access (Johan et al., 2021).

Local wisdom, together with the moral values found in folklore, has both general and unique characteristics that can be shared with others to help them deal with any problems. Indeed, thanks to the development of knowledge and technology, the information presented in folklore can be shared with other cultures around the world through translation work and the Internet. Moreover, both general and unique information may be bridged by translation instruments like translation strategies, translation techniques, and translation procedures to get the equivalent meaning in the target language so that the target readers of different cultures can comprehend the intended meaning of the folklore the same as the source readers do.

Since ancient times, the main function of translation has always been the act of equivalently transferring the message of the source text into the target text across a variety of fields. For example, translation has played an important role in human civilization, among others in intercultural communication between nations (Rasti & Khajavi, 2023). Additionally, translation has performed an important part in developing and enriching national literature (Karjagdiu & Mrasori, 2021), in studying foreign languages leading to language acquisition (Ashrapova et al., 2020), in translating a website of an academic institution (Lathief et al., 2022), and in translating technology terms in manual books (Pratiwi & Khatib, 2021). Its function as a bridge between cultures in human communication covers all cultural works ranging from the translation of literary works such as novels revealing the domestication strategy found in the target text (Mahmud et al., 2023) to the translation of short stories revealing their techniques (Wulandari, 2016; Mardiana & Ali,

2021), and the translation of bedtime story revealing its strategies studied from Chesterman's concepts (Sabrina, 2021). More specifically, its role in the translation of idioms using a semantic approach (Yulianti et al., 2022) cannot be understated. More recently, translation's roles have grown to include the translation of films focusing on their headlines or titles (Ermolenko et al., 2020), the translation of memes (Huannai & Zhuoxing, 2018), the translation of magazines such as National Geographic magazine (Utama et al., 2021), and the translation of folklore, uncovering its techniques and strategies (Siregar et al., 2020).

This research is based on Chesterman's strategies found in the translation of several children's folktales from Sundanese folklore that was translated from Sundanese into English. Chesterman provides three main strategies of translation: syntactic strategies, semantic strategies, and pragmatic strategies (Chesterman, 2016). From these three main strategies, pragmatic strategies are identified as being used more than the other two strategies. As a result, this research discusses the kinds of pragmatic strategies or sub-classes identified as well as which strategies are used more frequently than others.

To bring the position of this present study to light, this article refers to some previous research and is organized into two parts. First, there is previous research that deals with the translation of Sundanese folklore which, according to the Google search engine, is still limited in number. Second, this article also deals with the use of Chesterman's strategies specifically pragmatic strategies.

The first previous research article, *Nyi Mas Sanghyang Dewi Sri*, is on the subject of the translation of Sundanese folklore from Sundanese as the source text into two target texts, Indonesian and English (Zulkifli Mahmud et al., 2022). The research presented in *Nyi Mas Sanghyang Dewi Sri* applied Newmark's methods of translation. The study found that the methods of translation used in the Indonesian target text are mostly different from the methods used in the English target text. The Indonesian target text uses more methods of translation under SL (source language) emphasis while the English target text uses more methods of translation under TL (target language) emphasis.

The second previous research is on the use of Chesterman's strategies, specifically the use of the cultural filtering pragmatic strategy in the translation of a novel from English into Indonesian (Karimah, 2021). The result shows that there were two kinds of cultural filtering strategies used in the translation, namely the naturalization and adaptation strategies. No other strategies are discussed there.

There are two research questions asked in this current study:

1. What kinds of sub-classes of pragmatics are used?
2. What strategy is used more often than others?

Based on these research questions, the objectives of this research are:

1. to reveal the kind of pragmatic strategies found in the data source
2. to uncover the most dominant strategy used.

It is hoped that the results of this research will be beneficial to the translators of folklore all over the world especially when English is involved as the target text, and when it is expected that the translators want to give the closest natural equivalent familiar to the target readers.

## II. LITERATURE REVIEW

The main theory used for analyzing the strategies in the translation of Sundanese folklore are Chesterman's three major strategies of translation: syntactic strategies dealing with syntactic change; semantic strategies dealing with semantic change; and pragmatic strategies dealing with the message (Chesterman, 2016). Alternative ways of looking at these strategies are that syntactic strategies are ways of discussing structure while semantic strategies are about the meaning of sentences focusing on lexical choices that are considered suitable in a certain context. As for pragmatic strategies, they are used for the meaning (Haris Firstiyanti, 2021). Moreover, these three strategies may overlap; for example, the pragmatic strategies may involve both syntactic strategies and semantic strategies as well (Mizher, 2016). Nevertheless, this present study focuses on pragmatic strategies only.

The Sub-Classes of Pragmatic Strategies

Pragmatic strategies are divided into sub-classes:

1. Cultural filtering: Cultural filtering is a strategy that deals with the translation of cultural terms leading to both domestication and foreignization and is in line with the strategies presented by Vinay and Darbelnet under the same names (Vinay & Darbelnet, 1995).
2. Explicitness change: Explicitness change is a strategy that deals with making the meaning of the translation more explicit in a process called explicitation. Likewise, making the meaning of the translation implicit is called implicitation. Interestingly, both explicitation and implicitation had the same names and served the same functions when used by Venuti (2017). The difference is that Venuti's strategies led to Newmark's ideology of translation as both a source language (SL) emphasis and a target language (TL) emphasis.
3. Information change: Information change concerns the addition or omission of information. Moreover, addition is in line with Newmark's procedure (Newmark, 1988a) while omission is in line with Nida's adjustment - namely subtraction (Nida, 1969).
4. Interpersonal change: Interpersonal change is a strategy pertaining to the formality level and degree of emotiveness.

5. Illocutionary change: Illocutionary change is a strategy concerning changes in speech acts.
6. Coherence change: Coherence change is a strategy that entails changes in the logical arrangement of information.
7. Partial translation: Partial translation is a strategy that concerns summary translation.
8. Visibility change: Visibility change is a strategy where a translator presents footnotes, glosses, and bracketed comments.
9. Transediting: Transediting is a strategy dealing with badly written source text where a translator needs to rewrite and reorder the text.
10. Other pragmatic changes or adaptation: The last strategy is other pragmatic changes or adaptation when the message of the source text is adapted to the target text context (Hariyanto, 2015).

This present study concerns all of Chesterman's sub-classes except for transediting; this strategy was not found in the data source.

The classification of pragmatic strategies is somewhat different when Chesterman works together with Wagner in that cultural filtering, information change, and adaptation or other pragmatic changes are not included (Volkova & Zubenina, 2015). Regarding the term "pragmatic strategies", they present three different terms: "pragmatic adaptation", "pragmatic strategies", and "pragmatic techniques". The same pragmatic strategies of Chesterman are also alternatively known as "strategies of pragmatic equivalence" when translating Persian stories for children into English involves implicatures (Sanatifar & Cha'bi, 2021).

### III. METHODOLOGY

Research into translation work that falls under the Translation Studies genre mostly involves library study, not field study, and the method used is a descriptive qualitative one. It is qualitative in the sense that the data as the object of the research are not numbers but words taken from any linguistic unit. Moreover, it is descriptive because it describes the phenomena in the data naturally, just the way it is (Creswell, 2014; Nassaji, 2015; Kothari, 2004).

The same research method was also used in a study on the Indonesian Folktale *Putri Lopina* (Siregar et al., 2020) about the translation of local Indonesian short stories from Indonesian into English (Kumala & Chakim, 2020) as well as the local language Karonese into English focusing on politeness found in the books about the traditional ceremonies of the culture there (Sembiring & Girsang, 2023). The qualitative data were taken from three folktales of Sundanese folklore entitled *Budak Pahatu*, or 'The Orphans'; *Budak Buncir*, or 'The Tale of Buncir'; and *Anak Embe Jeung Indungna*, or 'Mother Goats and Her Children'. All three of them are children's folktales taken from a book of the collection of the most popular Sundanese folklore (Suganda et al., 2011).

The steps carried out in collecting the data began with the process of reading. First, a thorough reading was done to analyze the source text (Newmark, 1988b). Second, the target text in English was also thoroughly read. The two close reading processes were intended to locate the additions, omissions, and changes to linguistic units in the target text. The addition and the omission dealt with syntactic strategies while the changes dealt with semantic strategies. At this stage, the collected data were put in separate tables under their own characteristics to be more easily studied when analyzing the data.

The next step was to analyze the data. Using Chesterman's pragmatic strategies every piece of data was classified according to each characteristic of the sub-classes: cultural filtering strategy; explicitness change strategy; information change strategy; interpersonal change strategy; illocutionary change strategy; coherence change strategy; partial translation strategy; visibility change strategy; and adaptation or other pragmatic change strategy. Finally, several pieces of data were chosen which represented each of the sub-classes to be discussed in this research article.

### IV. RESULTS AND DISCUSSION

#### A. Results

Out of the three children's folktales written in the Sundanese language and translated into English as the data source, seventy-three data were collected which had the characteristics of pragmatic strategies. The frequency of each emergence of sub-classes under pragmatic strategies is shown in Table 1, the most dominant of which is the explicitness change strategy which mostly involved explicitation. From the collected data, researchers could see that out of ten sub-classes of pragmatic strategies, only one strategy - namely transediting - is not found.

TABLE 1  
THE FREQUENCY OF PRAGMATIC STRATEGIES FOUND IN THE ENGLISH TARGET TEXT

Number	Sub-Classes of Pragmatic Strategies	Quantity	Percent (%)
		1	Explicitness Change
2	Information Change	14	19.17
3	Coherence Change	12	16.43
4	Adaptation	11	15.06
5	Cultural Filtering	7	9.58
6	Interpersonal Change	4	5.47
7	Partial Translation	3	4.10
8	Visibility Change	3	4.10
9	Illocutionary Change	2	2.73

## B. Discussion

The discussion is organized into nine sections based on the number of sub-classes of the pragmatic strategies used in the research minus the transediting strategy. The representation of the data from each sub-class is limited to four while the sub-classes consisting of less than five data are represented by two data only or less. There are three abbreviations used in the discussion: ST stands for source text, LT stands for literal translation and TT stands for target text.

### (a). *Explicitness Change of Pragmatic Strategies Used in Translating Sundanese Folklore*

The data collected regarding the explicitness change show that the strategy of turning implicit information in the source text into explicit information in the target text (also known as “explicitation”) is used more frequently than the turning explicit information in the source text into implicit in the target text (also known as “implication”). Moreover, the term “explicitation” can also be found in Vinay and Darbelnet’s translation strategy (Klaudy & Karoly, 2005).

1. ST: *Dina po é Jumaah, leuwi t **di** dip **é**ngkong.*

LT: On Friday, the lake was drained.

TT: On a Friday, the lake was drained **till no water left**.

The passive verb *dip éngkong* refers to the act of draining fish ponds as a means of harvesting all of the fish. The water may be used to water nearby crops or dispersed to other surrounding fish ponds. In Sundanese culture, *dip éngkong* is a preferable way to catch fish and usually involves the whole community. This creates joy as neighbors and families find it easier to catch the fish using their own hands as the fish can no longer move quickly without water. The condition of having no water as the result of the act of draining is implicitly stated in the verb. The Sundanese passive verb *dip éngkong* is translated into English as “was drained” having the same passive form and the same meaning. However, the translator chooses to make the meaning more explicit by adding the information “till no water left”. It is, therefore, explicitation because the strategy involves explicitness change.

2. ST: *...tuluy dibawa **balik**.*

LT: *...then was taken back.*

TT: He took her **back home**.

In this sample data, the explicitness change strategy also involves explicitation by changing the implicit meaning in the source text into the explicit meaning in the target text. The Sundanese adverb *balik* refers to a condition of coming back where the word “back” implicitly states a destination of moving back to the location of departure, and it can be defined as “home” in general. In the target text, the word *balik* is translated into “back” having the same meaning but with the addition of the word “home” making the message explicitly state that she was not taken back to any other place but home to a place they belonged to.

3. ST: *Barang keur jongjon ngala kupa...*

LT: While he was busy plucking *kupa*...

TT: While he was busy plucking *kupa* **fruit**...

The explicitness change strategy identified in the third sample also uses explicitation. This can be seen by the added information presented when translating the name of the *kupa*. The word *kupa* is translated into *kupa* again as a case of borrowing. To make the readers of the target text understand the same information as the readers of the source text who are already familiar with this fruit, the translator makes the information explicit by adding the word “fruit” after the *kupa*, the name of the fruit.

4. ST: *Ih eta mah lain sora **Ema**.*

LT: No, it was not Mom’s voice.

TT: No, it didn’t sound like **her**.

Unlike the explicitness change strategy found in the first three examples of this sub-group, the strategy in this fourth example involves implication by turning the explicit information in the source text into implicit information in the target text. The Sundanese word *Ema* is a form of address for “mother” or “mom” in Sundanese culture but is translated into “her”, the pronoun of the third person singular functioning as the object of the sentence. Although the pronoun



“her” refers to the same gender, the information about who is being discussed, i.e., “Mom”, becomes implicit in this context.

(b). *Information Change of Pragmatic Strategies in Translating Sundanese Folklore*

Based on the data collected, the specific kind of information change strategy found in translating Sundanese folklore is omission. That is to say, the information given in the source text (mostly adverbs and conjunctions) is omitted from the target text. However, information change in pragmatic strategies involves not only omission but also addition. Unlike the additional information in explicitation and the omitting of information in implicitation, this addition and the omission deal with the information which is not relevant to the existence of the linguistic units being translated. As a result, if it is added, it involves new information and when it is omitted, it deletes the information given in the source text.

5. ST: *Heg bae gegeroan niron-niron sora indung embe.*

LT: **The tiger kept calling out**, imitating the voice of the mother goat.

TT: **The tiger, being a cunning beast**, tried to imitate the mother goat’s voice.

In the fifth example, the information change strategy deals with both omission and addition. The information which is omitted is the clause *heg bae gegeroan* referring to a condition of repeated action (“kept calling out”) done by the tiger. It is then replaced by new information (“being a cunning beast”) showing the hidden bad intention of the tiger to deceive the unattended children of a goat. By omitting the information presented in the source text and the addition of new information presented in the target text, the information change strategy is clearly used in this sample text.

6. ST: *Budak lalaki teh gancang ngala pucuk eurih.*

LT: The boy **hurriedly** took a stalk of sword grass.

TT: The boy picked a stalk of sword grass.

The next information change strategy found in the sixth example is the omission of the adverb *gancang* referring to the way the boy took a stalk of sword grass; that is, in a quick manner or “hurriedly”. This is not shown in the target text as the adverb is omitted. Thus, the readers of the target text will not get the same detailed message as the readers of the source text.

7. ST: *Sanggeus kitu, isukna tuluy éa budak t éh nyieun rakit.*

LT: **After that**, the next day the boy **then** built a raft.

TT: The next day the boy built a raft.

The occurrence of the information change strategy in this example is identified by the use of omission in two sections of the sentence regarding the use of the prepositional phrase “after that” (the English equivalent of *sanggeus kitu*) and the adverb “then” (the English equivalent of *tuluy*). By omitting these two parts of speech from the target language, the readers of the target text miss the order of a process.

(c). *Coherence Change of Pragmatic Strategies in Translating Sundanese Folklore*

Coherence change in pragmatic strategies deals with the change of arrangement or order in a sentence as well as in a paragraph. This includes the joining of sentences into one or the breaking up of a paragraph or sentence and the change of the order of points discussed in a sentence or a paragraph.

8. ST: *Ceuk maung, Enya ari lain indung maneh tea mah, tapi kuring dititah ku indung maneh nganteurkeun kahanan!*

LT: **The tiger said**, it is true that I am not your mother, but I am told by your mother to bring food.

TT: Indeed, I am not your mother. I was told by your mother to fetch you some food, **replied the tiger**.

The coherence change seen in this sample text concerns two things. The first is the change in the order of points. It is found when the introductory clause of the first clause of a direct sentence. That is, *Ceuk maung*, having the same meaning as “the tiger said” is put at the end of the sentence as “replied the tiger”. The second coherence change is the breaking up of a sentence from one sentence in the source text into two sentences in the target text. The translator chooses to break the information given by the tiger into two sentences. The first is: “Indeed, I am not your mother” as a confession that it is true the tiger was indeed trying to deceive the children of the goat. This is followed by another deception presented in the next sentence: “I was told by your mother to fetch you some food’, replied the tiger”.

9. ST: *Cing geuwat kuring tulungan.*

LT: Please hurry up, help me.

TT: Oh please, help me quick.

The coherence change found in this translated text sample deals with the change of order of points where the adverb *geuwat* referring to an act of doing something immediately is moved to the end of the sentence in the target text. In the source text, it is put directly after the introductory word *cing* referring to a way to ask someone to do something or favor in a casual manner. The change makes the emphasis a little bit shifted. In the source text, the emphasis is on the quickness of the addressee to come to do the help while in the target text, the quickness needed is on the way of helping.

(d). *Adaptation or Other Pragmatic Strategies in Translating Sundanese Folklore*

Adaptation as classified to other pragmatic strategies is a strategy in changing the syntactic structure of the source text different, and in paraphrasing the meaning into a different message.

10. ST: *Barang kadenge ku anak-anaknya, sidik sora indungna, tuluy pantona dibuka.*

LT: When the voice of the goat mother was heard by her children, then the door was opened.

TT: Her kids **were excited** when they heard their mother **finally came home**.

In data from this example, the other pragmatic strategies or adaptation sub-strategy is used as the message of the source text focuses on the act done by the children of the goat - opening the door after they heard their mother's voice. In the target text, the focus is on how excited the children of the goat were when they found out that their mother had arrived home. The message given in the source text is different from the message given in the target text. This is called adaptation.

11. ST: *Barang eta maung keur ngawahan rek neumbrag panto kandang, jol datang hiji paninggaran,*

LT: When the tiger was trying to break down the door of the goatfold, all of a sudden a hunter came.

TT: **The tiger then tried to open the door by force. Bit by bit, the door began to give in. Little did the tiger know that a hunter was fixing the sights of his rifle upon it.**

In data sample 11, the adaptation occurs when the message of the source text that refers to the effort taken to forcefully break down the door of the goat cage is interrupted by the sudden appearance of a hunter. Meanwhile, in the target text, the focus is on four things: (i.) the effort of the tiger in breaking down the door "bit by bit" by force; (ii.) the door beginning to "give in"; (iii.) the tiger being unaware of the presence of a hunter ("little did the tiger know"); (iv.) on the act done by the hunter in using his rifle to target the tiger ("a hunter was fixing the sights of his rifle upon it.") The syntactic structure and the semantic information have been adapted so the message in the target text is no longer the same as the message in the source text.

(e). *Cultural Filtering of Pragmatic Strategies in Translating Sundanese Folklore*

Cultural filtering is a strategy of translating culturally specific terms by making the equivalent target text understood by the readers either by borrowing plus explanation or by using the same meaning or message of a culturally specific item of the target language. In this way, the readers of the target text are familiar with the information.

12. ST: *Si jago digebahkeun.*

LT: The rooster was chased away.

TT: **She shouted. Shoo, shoo! to scare Buncir's rooster away.**

Cultural filtering is found in this example through the domestication of the culturally specific item of the verb *digebahkeun* which refers to an act of chasing away animals - mostly chickens - in Sundanese culture. The verb *digebahkeun* is translated into the target text in two sentences: (i) "She shouted" which expresses an act of chasing away animals specifically a chicken by shouting; and (ii) "Shoo, shoo! to scare Buncir's rooster away". The act of shouting "shoo, shoo" to scare the boy's rooster is a strategy of domestication when the act of *digebahkeun* is translated into its functional equivalent familiar to the readers of the target text. In this way, the readers of the target text get the same comprehension as the readers of the source text.

13. ST: *ku manehna eta hayam dileupaskeun deukeut lisung.*

LT: It was by Buncir himself that the rooster was released near the lisung.

TT: Buncir left him near a **dimple used to pound rice**.

The strategy of cultural filtering in sample data 12 which concerns domestication strategy is also used in the thirteenth data sample. When the cultural-specific item *lisung* is translated into a "dimple used to pound rice", it involves its functional equivalent. The cultural-specific item, *lisung* accompanied by the word *halu* is one of the traditional tools used by the Sundanese people in farming, and it is used as a pestle to pound rice (Isfiaty dan Santosa, 2020). The readers of the target text will get the same information as the readers of the source text through this domestication strategy under the sub-class of cultural filtering.

(f). *Interpersonal Change of Pragmatic Strategies in Translating Sundanese Folklore*

The sub-class of pragmatic strategies known as interpersonal change involves the change of formality level and the degree of emotiveness and involvement so any change regarding the relationship between the text or the author with the reader is included in this strategy.

14. ST: *Heug Akang, ceuk adina.*

LT: Go ahead, Akang, replied his little sister.

TT: I will, Akang, answered his little sister.

In the above sample, the interpersonal change concerns a change in the formality level from casual to formal. The source text: *Heug Akang, ceuk adina* is at a casual level of formality as it shows the dialog between an older brother and his younger sister through the use of Sundanese terms to address an older brother (*Akang*) and a little sister (*adina*). The term *heug* indicates an agreement to do something, equivalent to "yes", "okay", or "go ahead". In the target text, it is translated into "I will" indicating a formal level of formality. In this way, data sample 14 reveals the strategy of interpersonal change under the pragmatic strategies as it alters the level of formality from casual to formal.

15. ST: *Ku Nyai pulungan.*

LT: Nyai, you pick it up.

TT: **Pick it up, will you?**

The interpersonal change in sample data 15 involves a change in the level of affection in imperative sentences. It is

about an affectionate order from a brother to his younger sister. The sentence *Ku Nyai pulungan* in the source text deals with a specific Sundanese syntactic structure to ask someone to do something: *ku* is equivalent to “by”, and *Nyai*, the doer or the person to whom the order is given is an affectionate way to call a younger sister. In the target text, it is translated into a request ended by a question tag “Pick it up, will you?” Here, the target text shows no level of affection. The equivalent misses the affectionate manner shown in the source text.

(g). *Illocutionary Change of Pragmatic Strategies in Translating Sundanese Folklore*

Illocutionary change as one of the sub-classes under the pragmatic strategies refers to a strategy that changes speech acts.

16. ST: *Ceuk hatena, Beu, palangsiang anak kuring geus direcah maung!*

LT: She said in her mind, probably my children were already died because they have been eaten by a tiger!

TT: **She thought, Are my kids still alive? Could a tiger have taken them away?**

The illocutionary change in data in the above sample concerns the change in speech acts from an exclamative statement ending with an exclamation mark into two rhetorical questions. It is a way to produce a dialogic text in the target text (Hariyanto, 2015). The message in both the source text and the target text is the same in that it shows the worries of a mother to her children for leaving them unattended.

(h). *Partial Translation of Pragmatic Strategies in Translating Sundanese Folklore*

Partial translation is a strategy regarding the deletion of information in the source text but not as an omission change. It is omitted because the information has been summarized and presented through different expressions in the target text. As for the quantity, it is partial, but as for the quality, it is not partial but summarized. That is why it is called partial translation or summary translation.

17. ST: *Caricing bae di dieu di jero kandang, sarta pantona tulakan ti jero masing pageuh. Omat ulah arulin di buruan, karana ayeuna-ayeuna teh sok aya maung ngider ka dieu, neangan anak embe hakaneun.*

LT: Keep staying inside the fold, and lock the door from inside so it will strengthen it. Remember not to play in the garden, because lately a tiger goes here, looking for a lamb for food.

TT: Don't go **anywhere**, and lock the stable from the inside. Listen well, since recently I saw some tigers roaming around here.

The partial translation known as summary translation in the sample above presents some omissions; for example, *caricing bae di dieu di jero kandang* and *omat ulah arulin di buruan* have not only been omitted but have also been summarized as “Don't go anywhere”. Another omission concerns the clause *neangan anak embe hakaneun*. This part is left untranslated or omitted. The imperative word *omat* ‘remember’ is adapted into “listen well”. As a whole, the message given in the source text has been well transferred into the target text so that the readers of the target text will get the same comprehension about the part of the text.

(i). *Visibility Change of Pragmatic Strategies in Translating Sundanese Folklore*

Visibility change of the pragmatic strategies is the strategy of involving the translator in the text by the translator presenting comments inside the text in bracket comments, in footnotes, or added glosses. The translator needs to perform this strategy when there is information given in the source text that needs more information or confirmation so the readers of the target text will comprehend the text more easily.

18. ST: *Urang marak leuwi Cipatahunan,*

LT: We will empty the Cipatahunan lake.'

TT: **Everybody (the speaker may or may not be included)** should *marak*, **emptying the lake.** (visibility change: adding glosses)

The involvement of the translator is reflected in data sample 18 and can be observed in two ways: (i) from the bracketed comments (“the speaker may or may not be included”) in explaining the Sundanese pronoun *urang* ‘we’ and (ii) by adding the glosses “emptying the lake” to the loan word *marak*.

19. ST: *L éngs ér unjukan ka raja.*

LT: *L éngs ér* reported to the king

TT: *L éngs ér* **(the king's trusted aide)** reported it to the king.

Finally, sample data 19 is also about involving the translator inside the text by giving a bracketed comment (“the king's trusted aide”) to the cultural-specific item *L éngs ér*. This may be preferable to the readers more than the use of footnotes which are written at the lower part of the page outside the story. The added information presented by the translator as a part of the visibility change strategy is shown by the involvement of the translator in the text.

## V. CONCLUSION

From the whole analysis discussed in Chapter 4, it can be concluded that the emergence of pragmatic strategies in translating Sundanese folklore covers all ten sub-classes excluding one under the sub-class transediting. Moreover, the strategy that is identified more than any other strategy is the explicitness change sub-strategy. The explicitness change strategy involves two kinds of change: making information in the source text more explicit in the target text (also known as explicitation) and making information in the source text implicit in the target text (also known as

implication). Regarding this explicitness change strategy, what is found in the data collected is that making the meaning explicit or more explicit is used more often than changing from an explicit meaning into an implicit meaning. Overall, it can be concluded that the translation of Sundanese folklore into English by using pragmatic strategies shows the same message between the source text and the target text as expected in any translation work.

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# Toury's Norms as Applied to the Translation of Arabic Literary Texts Into English

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**Abstract**—This study investigates the applicability of Toury's norms to the translation of Arabic literary texts into English. It also tackles the translation of sociocultural terms from Arabic literary texts into English and highlights the sociocultural differences between the two languages. Moreover, it uses Toury's norms to analyze the translated selections of texts by two translators to determine whether each decided to be loyal to the target reader and explain the expression, or if they decided to be loyal to the source text, translate it, and then explain the influence of each decision on the other norms. For this purpose, the researchers selected 40 excerpts from the novel *Midaq Alley* (1960) by 1988 Nobel Prize winning author (and the "Father of Arabic Literature"), Naguib Mahfouz, along with two translations by Trevor LeGassick (1966) and Humphrey Davies (2011). These 40 texts contained 74 cases or expressions concerning religion, clothing, food, tools, places, and binomials. The study concluded that Toury's norms (that is, initial norms, preliminary norms, and operational norms) do, indeed, apply to the translation of Arabic literary texts into English. The study shows that the norms are applicable and that the English-translated texts from the Arabic language can be assessed by using these norms.

**Index Terms**—initial norms, preliminary norms, operational norms

## I. INTRODUCTION

Malmakjar (2005) perceives from Toury's model that norms are socio-cultural phenomena and that they lay between rules and idiosyncrasy. Since the translator deals with the socio-cultural expression of a certain community that does not exist in another target language or culture, this study applies Toury's norms to highlight the differences between Arabic and English expressions regarding religion, clothing, food, tools, places, and binomials. Toury's norms are applied to assess the translated texts according to the norms which do not fit those of the translated text. Moreover, they help determine whether the translated text leans towards the source language (SL) or the target language (TL) or whether or not the translator has used a medial language between SL and TL. Toury's norms are also applied to determine if the meaning of the source text is conveyed fully or partially and if there is shift and the level of the shift. The literary works of every language reflect the socio-cultural traits of its community. Indeed, literature has historical, religious, social, and cultural dimensions; therefore, translators have to be very cautious during the process of translation especially if they are handling two languages that belong to different origins and cultures. Each culture has its own norms, traditions, and patterns; for this reason, translators must choose between being faithful to either toward the SL or TL. Subsequently, the application of Toury's norms will reveal the most valuable norms among them.

## II. LITERATURE REVIEW

Toury (2012, p. 63) says, "Norms have long been regarded as the translation of general values or ideas shared by a community - as to what would account right or wrong, adequate or inadequate - into performance 'instruction' appropriate for and applicable to convert situation". Schöffner (2010) believes that the behavior of the translator will be determined by sociocultural norms since translation is defined as a sociocultural context. Toury (1995) sees that norms specify the extent and the kind of equivalence that is manifested by a real translation. Toury (1980) also mentions that norms are categorized for a descriptive analysis of translation phenomena.

### A. An Overview of Norms

All phases and kinds of translation can be influenced by norms. Moreover, traces of norms can often be found throughout the final product. Norms contribute to the overall process of creating a translated text from beginning to end starting within the translators mind and ending with their participation in translation. It may bring into view the overall process where translation comes into being. Furthermore, the behavior which is governed by norms may also participate in the translation. What makes the translation which highlights a given group and the acts it implies more complicated is the shared attitude of the person where their decision tends to support each other, or they may agree on non-concurring or completely contradictory norms. Therefore, it is important to mention and explain exactly what types of norms these norms are (Øverås et al., 1996).

#### (a). Initial Norms

Toury (2012) says that the choice between adequate source language (SL) or acceptable target language (TL) is what constitutes initial norms. Toury (2021) explains that the direction of the translator may be subjected to the norms of the target text or the norm of the original. If the translator adopted the latter this ensures the subscription of the norms of the source language and culture. However, if the translator adopted the norms of the target text, the translator will subscribe to the norm of the target language and culture and the shift from the source text is inevitable. Further, there will also be incompatibilities found between the source language and the target language during the test of adequacy. Hu (2020) said that Toury's initial norms are types of binary choices where the translator has to select between two orientations: either toward the culture of the source text "adequacy" or toward the target culture "acceptability".

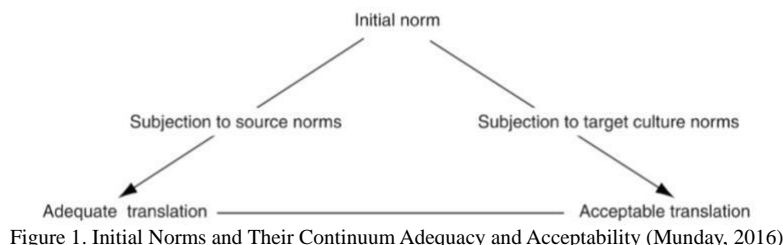


Figure 1. Initial Norms and Their Continuum Adequacy and Acceptability (Munday, 2016)

Toury (2012) assumes that the shifts from the source language into the target language can be seen even in the most adequate orientation of translation. Hu (2020) said that this assumption puts the orientation toward the source culture in a secondary position. For a long time, these shifts have been considered a sign of the universality of the translated text. Shifts are inevitable in universal translation and the decision to move away from the patterns of the SL text can be achieved in more than one way.

(b). *Preliminary Norms*

Preliminary norms have to do with translation policy and the directness of translation (Garzon et al., 2002).

1. **Transition Policy** is policy of factors which control the selection of the kind of texts or individual text to import to a particular language or culture by the process of translation at a particular time.
2. **Directness of Translation** is concerned with issues such as the translation process which result directly from the source text or through a mediating language. It begs to question what language is preferred or allowed to be mediated.

(c). *Operational Norms*

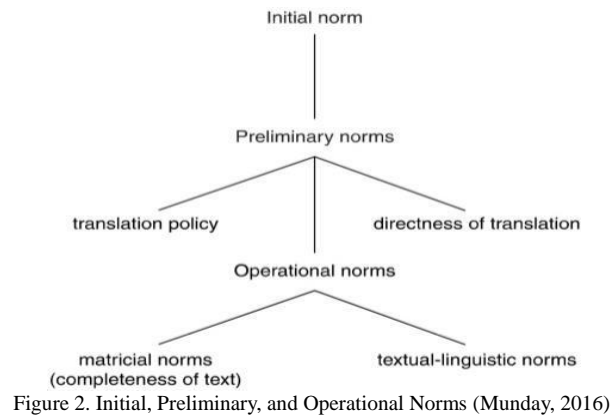
Operational norms are those norms which are directed by the decisions made during the act of translation. Whether directly or indirectly, these norms affect the way linguistic material (or the text's matrix) is distributed. Moreover, they also affect the verbal formulation and the textual makeup and control the relationship between the target and source text or segments. In other words, the operational norms specify which things might possibly stay in the text and what will change during the process of translation. Finally, operational norms characterize the presentation of the linguistic matter of the target text (TT) and are subdivided into matricial norms and textual linguistic norms (Sanaatifar et al., 2012).

1. **Matricial Norms**

Matricial norms control the replacement of the target language (TL) material which tends to be analogous with the source language (SL) material (the amount of translation or the location of TL in the text or how the linguistic material is distributed through the text) also they control the segmentation of the passage stanzas, chapter and such like these norms also determine the process (manipulation of segmentation and changing of locations, addition, omission), which happens in the translation or pretext surrounding them. Thus, the material norms concern the degree of fullness of the translated text.

2. **Textual Linguistic Norms**

Textural linguistic norms control the choice of linguistic material that contributes to the formulation of the target text and governs the replacement between the target text and the source text. They can be, in various degrees, general, and they can be applied to a whole translation, one kind of text, or only one mode of translation. Some of the norms which govern the production of noun-translational text in the same culture may be similar to the textual-linguistic norms, and these similarities cannot be taken for granted as they can be used as a framework for the actual search. Moreover, the language of a particular assumed translation is representative of the target language. The following figure by Munday (2016) explains the division of preliminary and operational norms.



For Hermans (2013), the significance of Toury's norm lies in the translator's decision which specifies the shape of the final product and enhances the nature of the relation between the proto-text and translation along with how the translation will be perceived by the intended audience. Hermans (1999) concludes from this list of norms that the process of choosing norms of translation, in general, is affected by norms from the decision of translation or selecting an ST to the final product (translated text). Sch äffner (1998) said that acceptance is central to norms, followed by function and nature which will need a wider explanation and involve questions, such as:

- How can translators establish which general concepts of translation prevailed in a particular community at a particular time?
- How does this concept compare to the general concept of the translation that was valid at another time and in other communities?
- Who are the norm authorities?
- Who introduces changes in the dominant norm, and why were they accepted?

Since translating is situated in time and space, any answers to these questions imply a careful description of the situation and the culture in which such norms are obtained.

### III. AIMS OF THE STUDY

The study aims to:

- A. Investigate the applicability of the norms to the translation of Arabic literal texts into English.
- B. Assess the translated texts by analyzing and discussing them.
- C. It aims at finding the most active and valuable norms.

### IV. METHODOLOGY

The study was conducted by selecting 40 excerpts from Naguib Mahfouz's Arabic novel "Midaq Alley" (1960), then choosing the same texts from two translations of the novel: the 1966 translation into English by Trevor LeGassick and the more recent 2011 version translated into English by Humphrey Davies (2011). Both of the translated texts are analyzed within tables that are designed according to Toury's norms to show the direction of orientation and other features of the translated text. After the table, the reader will find an analysis of the source text to clarify its meaning. This is followed by a discussion of the two texts explaining their analysis in the table. Though this research is concerned with the quality of the translation, this is a descriptive study which describes the translated text without imposing rules or conditions onto the translators.

### V. DATA ANALYSIS

To achieve the aims of the study the translated texts are assessed according to Toury's norms in tables. The tables consist of the three main norms (that is, the initial norms, preliminary norms, and the operational norms) and their six subdivisions. The first one features adequacy and acceptability, the second features directness and material, and the third features the policy and textual linguistic norms. If the text was adequate or acceptable a plus (+) sign is put in their cell. As for the norms' cells, they, too, are filled with either a plus (+) or a minus (-) with the exception of the cell of policy which remains empty because it represents the policy behind selecting the whole text or the translator's motivation for selecting such a text and was mentioned here only once. Trevor LeGassick, the first translator, chose the novel Midaq Alley because it was one of the first Eastern novels to introduce Eastern literature to the Western reader. The second translator, Humphrey Davies, translated Midaq Alley to celebrate what would have been Naguib Mahfouz's 100th birthday and as a way to rediscover the novel and the author after numerous complaints were made about the first edition of Trevor LeGassick first translation. Each table is followed by a discussion of the TL1 and TL2 translations. Due to the limitation of the number of words that can be written only 10 texts will be analyzed and discussed in detail



below.

### SL Text 1

“(P6) يارب يا معين، يا رزاق يا كريم، حسن الختام يارب، كل شيء بأمره.”

### TL Texts

*Translator 1:* (No Translation of this text is presented)

*Translator 2:* “O Lord, O Helper! O Granter of Our Daily Bread, O Magnanimous! --- Let ours be a pious conclusion, O Lord! Nothing happens but at His command!” (P2).

TABLE 1  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 1 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	-		-	-
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		+	+

### Text Analysis

This text is used by the author to reflect a strong relationship between the speaker of the text and the Creator Allah Almighty. This is noted by some of the Arabic words that are frequently used by Arabs in prayers and recitations.

### Discussion

Perhaps because there is a lack of equivalence between the cultures, or that it doesn't match the target culture or the translator's belief, or simply because it is easier to skip it altogether, Translator 1 did not translate this paragraph. According to the model adopted in this study, this kind of omission can be sorted under the domain of acceptability, but it rates a minus as it relates to other norms.

On the other side, Translator 2 tries to render this text to be acceptable and true. It is faithful to the source text, but at the same time, it has been written in the style of the target language. The translated text is full and direct as he attempts to preserve the segmentation of the ST as much as possible. At last, he makes no shift in his rendition.

### SL Text 2

”وعلى كئيب من المدخل تربع على الأريكة رجل في الخمسين يرتدى جلابيا ذا بنيفة موصول بها رباط رقبة مما يلبسه الأفندية ويضع على عينيه المتعضعتين نظارة ذهبية - ثمينة! وقد خلع قيابيه على الأرض عند موضع قدميه (P7).“

### TL Texts

*Translator 1:* “Not far from the entrance, on a couch, sits a man in his fifties dressed in a cloak with sleeves, wearing a necktie usually worn by those who affect Western dress. On his nose perches a pair of expensive-looking gold-rimmed spectacles. He has removed his wooden sandals and left them lying near his feet” (P3).

*Translator 2:* “On the bench close to the entrance sits a man of fifty, wearing a gallabiya with a gore, to which is attached a necktie like those worn by people who affect European garb, while over his feeble eyes rests a pair of costly gold spectacles. He has removed his wooden patterns, placing them on the floor at his feet” (P3).

TABLE 2  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 2 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		-	+
2		+	+		-	+
3		+	+		-	-
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1	+		+		+	+
2		+	+		+	+
3		+	+		+	-

### Text Analysis

This text includes mention of some clothing that reflects the SL's culture, since they are not used in the TL. Thus, here there are the words “جالباب ، بنيفة ، قيقاب” (*jilbab, bineeqa, qubqab*). The word *jilbab* is an external long closed dress with sleeves and sometimes has a small collar. The word *bineeqa* is the collar of the dress with a buttonhole. The last word *qubqab* is a wooden slipper.

### Discussion

Translator 1 mistranslates the culturally used expressions cited in this text. He renders the *jilbab* a “cloak” which is more appropriate for the SL word *abaya* since it is more like a robe than a dress as it is open in the front. The second-word *bineeqa* which means “collar” has been incorrectly translated into “sleeves” because it means “part of the shirt

covering the arm”. Likewise, the third expression *qubqab* has been misinterpreted as “wooden sandals”. Thus, his renditions for the three terms are considered acceptable, direct, and partial. Only the last term has been shifted from a word to a phrase (that is, unit shift).

Translator 2 borrows the word ‘jilbab’ from SL into TL, regarding that, it is the culturally-bound term. Yet, he makes a kind of modulation, i.e. he uses it as ‘gallabiya’. So it is SL oriented, even though it does not match the SL term. To put it simply, it is sorted as adequate, direct, and partial translation for the SLT. As for the second word, he gives the term ‘gore’ as an equivalence for the SL ‘bineeqa’. It does not have the same meaning; therefore, it is considered acceptable, and direct but it is partial. ‘Wooden patterns are similar to ‘qubqab’. Still, the difference between them is that the wooden patterns had been used by some European countries until the 20<sup>th</sup> century, where it is like the cover of shoes, they wear it in muddy or dirty places to cover their shoes, while ‘qubqab’ are worn alone. So, it is acceptably directly and partially translated. As for TLN, the term ‘qubqab’ has been shifted from a word into a phrase (i.e. unit shift).

### SL Text 3

“فأقبلت عليه في ملاءتها مبرقعة، وسلمت عليه بيد ملتفة بطرف الملاءة كيال تنقض وضوءه.”

### TL Texts

*Translator 1:* “She came over to him, veiled in her outer gown, and gave him her hand wrapped in one of its corners, in order not to spoil his state of ritual cleanliness”.

*Translator 2:* “She swathed in her milaya and with face fully covered, approached him and shook his hand, wrapping hers in the edge of her garment so that she wouldn’t invalidate the ablutions that he had made in preparation for prayer”.

TABLE 3  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 3 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		+	-
2		+	+		+	+
3		+	+		-	-
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1	+		+		-	-
2		+	+		+	-
3		+	+		+	-

### Text Analysis

In this text, there are three terms classified under cultural expressions. The first two terms are related to clothing, and the third one is related to religious rituals. That is, the term “ملاءة” (*milaya*) which refers to a type of women’s traditional clothing similar to a “cloak” or “gown” to be worn on the head. The second term is “برقع / مبرقع” (*burqa* or face veil/face veiled) is also a traditional veil that nearly covers a woman’s entire face with the exception of her eyes. The third term related to religious rituals is “وضوء” “ablution” which is the act of washing certain parts of oneself to ensure ritual purity before performing the daily prayers.

### Discussion

Translator 1 makes a rewording in his rendition of the first two terms related to clothing, namely “ملاءتها” (“her out gown”) and “مبرقعة” (“veiled”). However, with his translation he attempts to submit a functional equivalence to the TL reader. Thus, his rendition of both terms is acceptable, direct, and full. Likewise, the third part (that is, “وضوءه”) has been rendered by Translator 1 into “ritual cleanliness”. His rendition is TL oriented, acceptable, direct, and partial, since it does not convey the exact meaning of the SLT. It is worth mentioning that the one-word term “ملاءتها” has been shifted into the nominal phrase “her outer gown” (that is, it is a unit shift). Also, the word “وضوءه” is shifted into “his ritual cleanliness” (that is, it is, once again, a unit shift).

Translator 2 gives an SL-oriented rendition for the term “ملاءة” via borrowing it as *milaya*. It is adequate and direct but not full since this term must be explained the TL reader for them to understand it. The second term “مبرقعة” has been submitted as a descriptive translation to be clear to the TL reader, namely “with face fully covered”. Thus, the rendition is sorted as acceptable, direct, and full. The third part is rendered via addition; the translator uses the equivalent term “وضوء” which is “ablution” then he adds an explanation to this term to be clear to the TL reader. That is, the rendition of this term is acceptable, direct, and full. Finally, it is worth observing that the rendition of the three terms have been shifted into the TL.

### SL Text 4

(P9) “وقاطعه صوت أجش دخل صاحبه القهوة”

### TL Texts

*Translator 1*: “He was interrupted by someone who entered at that point and said roughly...” (P5).

*Translator 2*: “His words were interrupted however by a deep voice, as at that moment the **proprietor of the café** entered” (P5).

TABLE 4  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 4 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	-		-	-
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1	+		+		+	+

### Text Analysis

In this text, there is a kind of preferable hot drink found in Egypt and most of the Arab world and that is “القهوة” (coffee). Yet, the word here has been modulated to be used for the place where men sit and order various kinds of drinks including “coffee”. That is, this word is used in this text to refer to “café” - the place where you get your coffee rather than the drink itself. Incidentally, the word “café” is actually French in origin and not English.

### Discussion

As for Translator 1, it is noticeable that the sequence of events of the source text is rearranged in TL1. The translator makes the cause of the interruption as the entrance of someone who then speaks roughly, whereas, in the Arabic source text, it is clear that the rough sound is first mentioned as the cause of the interruption when the speaker entered the café. However, there is no equivalent of the term for “café”; that is, it has been omitted in the TT. Thus, the rendition can be sorted as acceptable, minus directness, and partial. Concerning the TLN, here there is a kind of omission rather than shifting so that earns them a minus.

Translator 2 succeeds in rendering the word “قهوة” into “café”, thereby giving the functional equivalence of the SL. Still, he mistranslates the antecedent of the expression “دخل صاحبه القهوة”; he incorrectly thinks that it means the “proprietor of the café”. In contrast, it anaphorically goes back to the origin of the hoarse voice rather than the owner of the café. Thus, his rendition is acceptable, indirect, and partial. Concerning the TLN, there is no shifting here (that is, phrase to phrase).

### SL Text 5

“وكان ذاك ميعاد عودته من «الارنس» كما يسمونه ، فرمقه الكثيرون بعين الاعجاب والصد.”

### TL Texts:

*Translator 1*: “This was the usual time for him to return home from **the camp**”.

*Translator 2*: “...today marked his return from the **Urnus**, as the Army Ordnance Corps was called”.

TABLE 5  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 5 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		+	+
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1	+		+		-	+

### Text Analysis

“الارنس” or “arenas” are large enclosed platforms that are normally circular or oval-shaped and designed to showcase theatre, musical performances, or sporting events. Additionally, “تجار الارنس” (merchants of arenas) were called traitors by some because they made fishy business with British soldiers in their camps. This name was created by Egyptian citizens of Port Said and Port Fuad in the 1920s.

### Discussion

Translator 1, as he usually does, attempts to present a functional equivalent for the term “الارنس” or “الارنس”, namely the TL oriented term “the camp”. Thus, his rendition is acceptable, direct, and full.

By contrast, Translator 2 follows the SL via borrowing the term “الارنس” or “الارنس” or “Urnus”. He may be using procedure which is normally used when transferring most proper names. His rendering, in this respect, is sorted as adequate, direct, and partial. There is no shifting made by each of the translators as far as this word is concerned.

### SL Text 6

“يا قوم: عزت علي شكاة عم كامل ، وليسبوسته فضل علينا جميعا غير منكور.” (P14)

### TL Texts

*Translator 1*: “I was upset by what Uncle Kamil told me. After all, his **sweets** have done us a lot of good and that can't be denied” (P8).

*Translator 2*: “Uncle Kamel's complaint upset me. After all, no one denies the blessings that his **basbousa** has brought upon us all” (P10).

TABLE 6  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 6 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		+	+
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1	+		+		-	+

### Text Analysis

In this text, there is a kind of delicious dessert in the Egyptian culture called “بسبوسة” (*basbousa*). It is a matter of fact that such meals or dishes are often transferred into the TL. Moreover, a couple of other translation tools can be used such as descriptive in addition to that of borrowing or transference, for example “بسبوسة” or (“*basbousa*” - an Egyptian semolina cake).

### Discussion

Translator 1 deals with the cultural-specific term “بسبوسة” using a TL-oriented method that presents as close a functional equivalence as possible, namely “sweets”. To be honest, this way leads to a considerable loss of meaning since Translator 1 uses a more generic term than that of SL. However, his rendition is still sorted as acceptable, direct, and full.

On the other hand, Translator 2 sticks to SL by transferring the term “بسبوسة” as “*basbousa*”. He may use this procedure to reflect the author’s flavor and to maintain the same culturally bound terms that are used in the SL. This rendering can be sorted as adequate, direct, and partial. There is no shifting made by either of the translators as far as this term is concerned.

### SL Text 7

“وقرأوا الفاتحة وشربوا الشربات.” (P112)

### TL Texts:

*Translator 1*: “They read **the opening verses of the Qur'an, as was the custom at all engagement parties**. Then **refreshments** were passed around” (P73).

*Translator 2*: “Then they read **the opening chapter of the Qur'an** and drank **sherbet**” (P98).

TABLE 7  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 7 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		+	-
2		+	+		-	-
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		+	-
2	+		+		-	+

### Text Analysis

This text has two types of expressions that can be classified under cultural-bound. The first expression is related to religious sayings, namely “الفاتحة” (the opening *surah*). Arab people are used to citing this holy *surah* (or “verse”) to bless the matter for which it is read. It is usually cited in engagement ceremonies to express approval. The second expression is related to foods and drinks, namely “الشربات” (“juice”). It is also served in the same engagement ceremonies as a symbol of pleasure and satisfaction.

### Discussion

Translator 1 deals with the first part as TL oriented. Explaining its meaning, he renders the word “الفاتحة” into “the opening verses of the Qur'an, as was the custom at all engagement parties”. Thus, his rendition is acceptable, direct, and full. Moreover, it is conveyed with various shifting types (that is, structure, unit, and so on). The word “الشربات” has been rendered by the translator into “refreshments”. It seems that he makes some kind of modulation that gives the more generalized TL expression. However, his rendition is sorted as acceptable and direct, but it is still partial because of the negative effect of the modulation. As for TLN, there is an intra-system shift here (that is, singular SL word into plural TL word).

Translator 2 also attempts to uncover the SL expression “الفاتحة” as “the opening chapter of the Qur'an”. There is an addition in the TLT; yet, this addition is justified, since it makes the text more obvious to the TL readers. Thus, the

rendition is sorted as acceptable, direct, and full. Furthermore, there are structure and unit shifting types here. As for the second translate word “الشربات”, the translator deals with this by using the transference technique. That is, he maintains the flavor of SL culture by presenting the borrowed word from SL to TL. Thus, this rendering is adequate and direct, but it is still partial because it does not convey the exact meaning that would be clear and understandable by the TL reader. As far as this part is concerned, there is no shifting that can be observed.

### SL Text 8

“فرفع بصره الذليل عن الرابية فرأى المعلم كرشة بجسمه الطويل النحيف ووجهه الضارب للسواد وعينه المظلمتين النائميتين، فنظرا اليه واجما وتزدد، كانه لا يصدق ما سمعت اذناه” (P9)

### TL Texts

*Translator 1:* “The old man lifted his failing eyes from his instrument and saw the sleepy, gloomy eyes of Kirsha, the tall, thin, dark-faced café owner, looking down at him. He stared at him glumly and hesitated a moment as though unable to believe his ears” (P5).

*Translator 2:* “Raising his feeble eyes from the rababa, the man beheld the tall, thin body, swarthy face, and sleepy, murky eyes of Boss Kersha and regarded him speechlessly, faltering momentarily as though unwilling to credit his ears” (P5).

TABLE 8  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 8 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
TL1	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1		+	+		-	+
2		+	+		-	-
TL2	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
1	+		+		-	+
2		+	+		+	+

### Text Analysis

The words “رابية” (*rababa* or “rebec”) and ‘معلم’ (boss) are of cultural notions. The former is an old musical string instrument commonly used by the Arabian and Persian peoples. It is still used in folkloric sessions and social meetings. The *rababa* (or “rebec”) goes back to the 8<sup>th</sup> Century. It does not exist in the target culture. As for the latter, that is, ‘معلم’, it is a famous title that is used for those “bosses” or “heads” of work and does not have an equivalent term in the TL.

### Discussion

Translator 1 attempts to evade the fact of a non-equivalence issue as far as the musical instrument is concerned. Thus, he submits the most generic expression, namely “instrument”, thus presenting a more generalized translation and stuck to the TL rather than the SL. This means that the rendition is acceptable, direct, and partial. Moreover, there is no shifting while rendering the SL expression into the TL one. The second term “المعلم” is omitted and the proper noun stands alone (that is, “المعلم كرشة” into “Kirsha”). Thus, the rendition is acceptable, direct, and partial. Yet, the nominal phrase in the SL is changed to be only one word (that is, it is a unit shift).

Translator 2, on the other hand, sticks to the SL, borrowing the musical instrument “الرابية” from the SL and transliterates it as “*rababa*” in the TL. Thus, the rendition is adequate, direct, and partial, since the word in the TL does not clarify or explain the clear meaning of “*rababa*” for the TL reader. As for the second part, namely the title “العلم كرشة”, it is translated into “Boss Kersha” because the translator is attempting to give the nearest equivalent to the SL title in the TL using the functional equivalence of “boss”. Thus, the rendition is acceptable, direct, and full. Also, there is no shifting here.

### SL Text 9

“(P73) فيقول البعض: « بالهنا والشفاء » ويغمغم البعض: « يطفحها سما بإذن الله! »»

### TL Texts

*Translator 1:* “One commented, May it prove wholesome and bring a cure, while others would mutter, May it be full of poison, with God's permission!” (P47).

*Translator 2:* “Some of them said Good health! while others muttered, May it choke you and poison you, God willing!” (P63).

TABLE 9  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 9 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
TL1						
1	+		+		-	-
	+		+		-	+
TL2						
1		+	+		-	-
		+	+		+	+

### Text Analysis

This text contains two expressions that are usually used with eating and meals. The first one is “بالهنا والشفا” (“bon apétit” or “enjoy your meal”) which is used to express pleasure and a good impression towards guests having the meal. It also relates to binomial phrases. The second expression, on the other hand, is “يطفحها سما” (may it be full of poison), which is said when one expresses his/her unpleasant emotion toward guests having the meal.

### Discussion

Concerning the first part, Translator 1 goes after monitoring the SLT via giving as literal a translation as possible to the TL reader (that is, “بالهنا والشفا” is rendered into “May it prove wholesome and bring a cure”). Thus, his rendition is sorted as adequate, direct, and partial, since it does not convey the whole meaning of the SLT to the TL reader. Here, there is a unit shift observed (prepositional phrase ↔ verbal clause).

Translator 2 submits a different rendition and it seems that he conducts a bit of a TL-oriented technique. That is, he makes some kind of modulation from the SL to the TL (for example, “بالهنا والشفا” is rendered into “good health”). Still, it is part of the meaning intended by the author. Thus, it is acceptable, direct, and partial. As for TLN, there is a class shift observed here, since the nouns “والشفاء الهناء” have been changed to the adjective and a noun or “good health”.

As for the second part of this text, Translator 1 also renders the SL expression “يطفحها سما” as literal as possible into “May it be full of poison”. He sticks to SL despite that there is some loss of meaning since it refers to a kind of metonymic expression for the effect of poison (that is, I hope what you eat hurts you as poison does). On this basis, his renditions are sorted as adequate, direct, and partial.

Translator 2 gives a bit of TL-oriented rendition, since he gives some explanation to the SLT (that is, “يطفحها سما” has been rendered into “May it choke you and poison you”). It seems that he gives as functional equivalence as possible; it is acceptable, direct, and full. As for TLN, there are no shifts to be observed as far as this part of rendering is concerned.

### SL Text 10

“(P20) ”تعبه؟! . . . كفى الله الشر!“

### TL Texts

Translator 1: “Tired? May God lighten your load!” (P13).

Translator 2: “Tired? God protect us from evil!” (P16).

TABLE 10  
DATA ANALYSIS FOR SOURCE LANGUAGE SAMPLE 10 AND ITS TRANSLATED LANGUAGE

TL	Initial Norms		Preliminary Norms		Operational Norms	
	Adequate (SL)	Acceptable (TL)	Directness	Policy	Matricial	TLN
TL1						
1		+	+		+	+
TL2						
1	+		+		+	+

### Text Analysis

In Arabic, some declarative-formed sentences are used for additional functions, like wondering, demanding, asking for something, and supplication. In this text, the statement “كفى الله الشر” is used as a supplication to ask “Allah Almighty to forbid evil”. In English, on the other hand, some cultural expressions like “God forbid” serve the same purpose.

### Discussion

Translator 1, as usual, deals with the SL expression via managing the meaning to give as near a functional equivalence as possible, namely “May God lighten your load”. Yet, it does not have the same meaning; thus, it is considered acceptable, direct (that is, with no intermediate language), and partial (that is, it conveys part of the intended meaning).

Translator 2, on the other hand, gives a more appropriate rendition since he maintains the message without modulation. That is, the TL statement “God protect us from evil!” is seen as a way to create a close equivalence holding the same content as the SL. Therefore, it is an adequate, direct, and surely full translation. No type of shifting has been observed in this text.

## VI. CONCLUSIONS

A. The norms apply to the translation of Arabic literary text into English. Since all of Toury's norms and their divisions have been applied to 148 expressions of both translated texts, each one used 74 expressions that were distributed in 40 texts, resulting in the following percentages:

- (a) Translator 1 uses adequacy for 21 (or 28%) out of 74 cases, while Translator 2 uses adequacy 36 times (48%) out of 74 cases.
- (b) The acceptability applied to 53 cases by the Translator 1 is 71%. Translator 2 applied acceptability to 38 (or 51%) of the cases.
- (c) Direct translation in TL1 appears in 68 cases (or 91% of the time) and in TL2 it appears 72 times (or 97% of the time).
- (d) Indirect translation was noticed in six cases or 8% of the cases, while there were only Partial translations which refers to the loss of meaning was found in 34 cases (or 45% of all cases) in TL1 and 27 (or 39% of all cases ) in TL2.
- (e) Full translation (full meaning) was found in 40 cases (or 54% of all cases) in TL1 and 47 cases (or 60% of all cases) in TL2
- (f) Concerning the shift, there are 36 cases (or 54% of all cases) of shifting in TL1 and 30 cases (or 40% of all cases) in TL2.
- (g) The preserving of the SLT (no shift) in TL1 is 38 (that is, 51%) and in TL2 44 cases (that is, 59%).

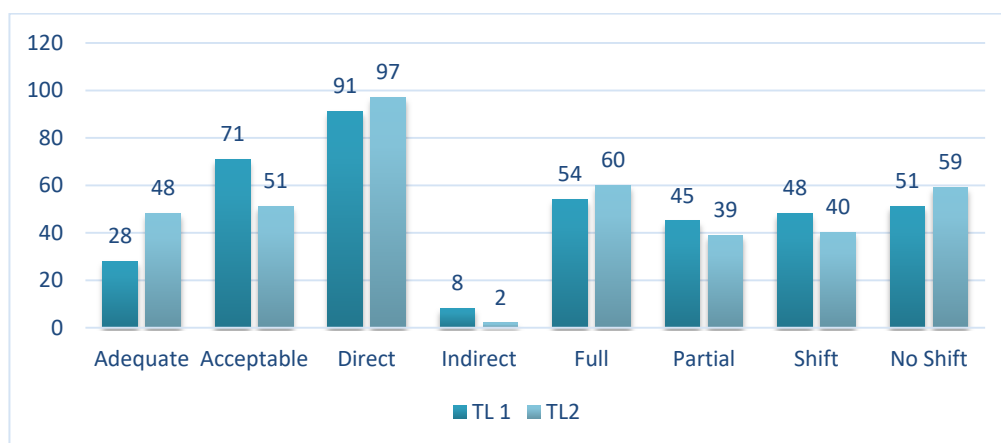


Figure 3. The Percentages of the Sub-Norms in TL1 and TL2

B. The Arabic literary texts can be assessed by Toury's norms.

C. It is concluded that among the three norms and their six subdivisions, the Initial Norms and Matricial Norms of the Operational Norms are the most significant in Toury's model. Thus, the Initial Norms specify whether the translated text is faithful to the SL or the TL and the Matricial Norms are more concerned with omission and addition. Further, they determine whether the translated text is full or partial. In other words, the Matricial Norms specify the appropriate translation.

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# The Syntax of *ʔi'ḍa al-fuḍza:ʔi:ja* ‘If of Surprise’ in Classical Arabic

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**Abstract**—This scholarly investigation deals with the intricacies surrounding the syntactical nature of the phenomenon known as “If of Surprise” in the context of Classical Arabic, employing a methodological lens derived from the Minimalist framework. The “If of Surprise” construct represents a unique form of expression that incorporates a particle phonetically resembling the conditional particle “if” in Classical Arabic, yet its underlying structure diverges from establishing genuine conditional relationships. By employing the analytical tools provided by the Minimalist Program, this study scrutinizes the data associated with “If of Surprise” constructions, utilizing several syntactic diagnostics to uncover their distinctive characteristics. The findings of this study unequivocally demonstrate that “If of Surprise” exhibits remarkable traits that set it apart from conventional syntactic patterns. By shedding light on the mechanisms through which these projections operate, the study provides a comprehensive understanding of the sudden interpretive nature exhibited by “If of Surprise.” By delving into the intricacies of its syntactic structure and exploring the role of Speech Act Projections, this research contributes to the broader field of linguistic inquiry and aids in unraveling the complexities inherent in the syntax of Classical Arabic.

**Index Terms**—particles, syntax, The Minimalist Program, small clauses

## I. INTRODUCTION

In Classical Arabic, speakers form conditional structures using particles such as *ʔi'ḍa* ‘if’ and *law* ‘if.’ At their surface level, these particles seem to create only conditional constructions.

- 1) *ʔi'ḍa* *ḍʒaʔ-a* *ʔaliyy-un* *qull-i.*  
If came Ali-NOM<sup>1</sup> tell-3SG.ACC  
‘If Ali comes, tell me.’
- 2) *law* *ḍʒaʔ-a* *ʔalyy-un l-raʔaytu-hu.*  
if came Ali-NOM to-see-3SG.ACC  
‘If Ali came, I should have seen him.’

However, the use of the *ʔi'ḍa* ‘if’ particle involves a level of opacity. The particle may depart from its conditional function; speakers may deploy the particle to indicate a sudden realization of an action. Consider the following examples.

- 3) *laaqaj-tu* *zaydd-an* *w* *ʔi'ḍa* *ʕabduʔallah-i*  
met-1SG.M Zaid-ACC and if Abdullah-GEN  
*yadribu-hu.*  
hit-3SG.ACC  
‘I met Zaid, and, suddenly, I saw Abdullah hitting him.’
- 4) *fa-ʔalqaa-ha* *fa-ʔi'ḍa* *hiyya* *ḥayya-tun* *tasʕa.*  
PART-drop-3SG.F PART-if it-3SG.F snake-NOM PROG.live  
‘So he did, then—behold!—it became a serpent, slithering.’  
(The Nobel Quran, 2022, p. Surah 20, Verse 20)
- 5) *nadar-tuʔila* *ʔas-samaaʔ-i* *fa-ʔi'ḍa* *ʔal-qamar-u* *mudiʔ.*  
look-1SG to DEF-sky-ACC PART-if DEF-moon-NOM light  
‘I looked up to the sky, and suddenly I realized that the moon is lighting.’

<sup>1</sup> 1= First person, 2= Second person, 3= Third person, NOM = Nominative, ACC = Accusative, COMPL= Complementizer, DEF= Definite, DET = Determiner, DM=Discourse marker, F=Feminine, IND=Indicative, M=Masculine, PART=Particle, PL=Plural, SG = Singular, VOC =Vocative, GEN=genitive, INCL= inclusive.

- 6) *waqaf-tu*                      *bi-š-šurfat-i*                      *fa-ʔi Ǿā*                      *ʔal-hilaal-u*  
 stood-1SG.SBJU    on-DEF-balcony-GEN                      PART-if                      DEF-moon-NOM  
*ka-bariiq-in*                      *mina ʔal-fiḍdat-i.*  
 like-shine-NUN                      from    DEF-silver-GEN

‘I stood in the balcony, and suddenly, I realized that the moon was lit like silver.’

From a semantic perspective, two syncretic forms emerge, and they have different interpretations. The former indicates that *ʔi Ǿā* is used as an element for building complex structures. The latter indicates that *ʔi Ǿā* is used as an element to reflect the attitude of the speaker toward the sudden realization of action. Therefore, the categorization of this particle is problematic.

The grammatical status of *ʔi Ǿā* of ‘surprise’ is also given considerable attention by I-H [(Ibn Hisham)] because it was clearly an issue for the earlier grammarians. For al-Akhfash it was *ḥarf* ‘particle’, for al-Mubarrad, it was a *zarf makan* ‘adverb of place’, and for al-Zajjaj it was a *zarf zaman* ‘adverb of time’ (Gully, 1995, p. 157).

For earlier grammarians, the categorization of *ʔi Ǿā* is debatable. Earlier studies have focused on semantic interpretations of *ʔi Ǿā* and examined its patterns. However, researchers have overlooked an essential piece in this puzzle, the speaker's attitude. A close look at the distribution of this particle shows that it is syntactically restricted; that is, the particle has a distinct distribution, selection, and case. This study examines the syntactic conditions that license the use of conditional particles as markers of expressing speakers' attitudes. This study is significant for clarifying the nature of this particle, and it is considered the first attempt to provide a comprehensive overview of how multifunctional particles operate in Classical Arabic from a syntactic-pragmatic perspective. By analyzing its syntax and underlying structure, the study contributes to our understanding of the language and how it functions. This type of linguistic analysis helps uncover patterns and structures in a language, which is crucial for language documentation, preservation, and further research. In addition, through syntactic diagnostics, the study identifies remarkable features of If of Surprise constructions. By highlighting these features, the study offers insights into the unique characteristics of this particular construction. This can be valuable for language learners, linguists, and researchers interested in Classical Arabic syntax.

The study is organized as follows. In section 2, we present a descriptive comparison between conditional and sudden particles and present evidence that sudden particles are syntactically restricted to certain clause types and functions. In section 3, we introduce the mechanism for data analysis. Section 4 analyzes sudden particles from a minimalist perspective. We show that sudden particles have expressive unvalued features that trigger agreement with speech act projections; that is, we show that sudden particles probe and agree with the speaker's head in the speech act domain to value its unvalued expressive feature.

## II. BACKGROUND

In this section, I provide a theoretical background to pave the way for the analysis of *ʔi Ǿā* of ‘surprise’ from a generative perspective. The section presents the Minimalist Program (Chomsky, 1995) and its extension at the pragmatic-syntactic interface (Haegeman, 2014).

Chomsky (1995) Minimalist Program presents a cognitive model for analyzing language. The model views attempts to capture the common mechanism that creates complex constructions across languages. Chomsky (1995) refers to this mechanism as Universal Grammar (UG). While the model suggests that all languages meet some operations, principles, they differ in other parameters. From those two ideas, the Principle and Parameter theory of grammar emerges. Chomsky (1995) program focuses on how the Language Faculty creates infinite set of constructions by utilizing binary syntactic operations. Those operations abide a set of universal principles, such as the Principle of Economy. This principle demands looking for optimal processes for creating syntactic constructions; that is, the Language Faculty utilizes the most economic cognitive steps for establishing an infinite set of structures (Luraghi & Parodi, 2008). In addition, the Language Faculty operates on a few operations. Merge is one of the operations that states that syntactic derivations emerge by merging parts of speech with each other in a bottom-up process. (Chomsky, 1995) claims that categories enter the syntax proper with two types of features. Those features are interpretable features (features that contribute to the semantic interpretation of categories such as Phi-features) and uninterpretable features (features that are essential for syntactic operations i.e., features that do not contribute to the semantic interpretation of categories such as the case feature with verbs). Features undergo a mechanism of feature-checking to eliminate uninterpretable features. For example, in categories such as verbs, case is a valued uninterpretable feature. That is, it is valued because it is a property of verbs to impact the case of nominals (e.g., verbs assign an accusative to direct objects). This feature, however, does not contribute to the semantic interpretation of verbs. Those features can be either valued or unvalued (Chomsky, 1995; Pesetsky & Torrego, 2007).

According to Chomsky, “uninterpretable features (such as those for Case), if unchecked, will cause a derivation to crash” (Luraghi & Parodi, 2008, p. 32). AGREE is the operation that matches and deletes uninterpretable features. To check (establish agreement) features, AGREE deploys a downward probe-goal mechanism between unvalued and valued uninterpretable features. Unvalued uninterpretable features probe for valued uninterpretable features (goal). Once an unvalued feature finds a matching feature valued feature, it checks its feature and deletes. This process guarantees that structures are free of unvalued uninterpretable features.

### III. DATA OF THE STUDY

In this study, the data was collected from multiple sources to ensure a comprehensive evaluation of the acceptability of grammatical constructions in Classical Arabic. The sources included books on Classical Arabic grammar as well as the researchers themselves, who are native speakers of Classical Arabic. This approach was adopted to obtain a diverse set of examples that cover various aspects of Classical Arabic grammar. Initially, the researchers gathered examples from books on Classical Arabic grammar. These books provided a wealth of information regarding different grammatical structures, verb conjugations, sentence formations, word order, and agreement patterns. This allowed for a broad representation of the grammatical constructions in the language. In addition to the examples obtained from books, the researchers, being native speakers of Classical Arabic, contributed their linguistic knowledge and expertise to generate additional examples. As native speakers, they possess an intuitive understanding of the language and its grammar, which is valuable in assessing the acceptability of various constructions. To test the acceptability of the grammatical constructions, the researchers made alterations to the examples. These modifications were carefully designed to explore the boundaries of acceptability and identify potential constraints within the language. By altering specific elements within the examples while preserving the overall structure, the researchers aimed to evaluate the flexibility and limits of Classical Arabic grammar.

To ensure a reliable evaluation of the examples, two additional native speakers of Classical Arabic were involved in the study as judges. These judges were selected based on their expertise in linguistics and their proficiency in Classical Arabic grammar. They had a strong command of the language and were knowledgeable about the different dialects and registers of Classical Arabic. The judges were presented with the modified examples and were asked to assess the acceptability of each example. They were provided with a Likert scale ranging from 1 to 5, where 1 represented complete unacceptability and 5 represented complete acceptability. The judges evaluated each example independently, without any prior knowledge of the alterations made by the researchers. This ensured unbiased judgments based solely on their linguistic intuition as native speakers of Classical Arabic. Clear instructions were provided to the judges on how to interpret and apply the acceptability criteria consistently. The guidelines encompassed both prescriptive and descriptive aspects of Classical Arabic grammar. Prescriptive guidelines focused on standard written Classical Arabic, while descriptive guidelines accounted for dialectal variations and colloquial usage.

Once the judges provided their ratings, the data was compiled and subjected to statistical analysis (cf., Abdelhady & Alkinj, 2023b). The average acceptability ratings for each example were calculated, allowing for the identification of patterns and trends in acceptability judgments. The results provided insights into which grammatical constructions were considered acceptable by native speakers of Classical Arabic. This study's findings have implications for our understanding of Classical Arabic grammar, as they offer valuable insights into the acceptability judgments of native speakers. The data can contribute to Classical Arabic language teaching and curriculum development, assisting in the selection of grammatical constructions to be emphasized in language learning materials. Additionally, the study's results can inform language processing research, aiding in the development of natural language processing algorithms and tools for Classical Arabic text analysis.

After obtaining the judgments of native speakers, the researchers analyzed the data qualitatively based on Chomsky (1995) Minimalist Program. We exposed the data to several syntactic tests for this part, including coordination, extraction, co-occurrence, and others. The data is tested against the following questions:

- a) Why does the particle block extraction from its local domain?
- b) Does the If of Surprise particle belongs to adverbial phrases?
- c) Can the Sudden particle phrase be fronted?
- d) How can we depict speakers' attitudes that pattern with this particle in terms of generative grammar?

We hypothesize that sudden phrases are small clauses. Those small clauses can appear in constructions with asymmetric coordination, and they can also appear in constructions that require full clauses. We argue because of being small clauses, such constructions do not allow extraction, and they do not interact with tense.

### IV. SETTING THE SCENE

Wiltschko (2014) claims that not only lexical categories but also functional categories can have multiple functions. Bliss and Wiltschko (2018) support her claim by looking at the distribution and features of demonstratives in Blackfoot, an Algonquian language spoken in Canada. Against this claim, we argue that the particle *ʔi ʔa* is a multifunctional unit of language; that is, *ʔi ʔa* has various functions; the particle can serve as a discourse linking operator or a grounding operator. Before going into the technicalities that are related to these functions, we present the differences and similarities between sentence conditionals and utterance conditionals.

Conditional structures refer to sentences expressing factual implications or hypothetical situations in which the validity of what is shown in one clause depends on another (Goodwin, 1873; Haegeman & Wekker, 1984; Köpcke & Panther, 1989). See the following examples.

- 7)
  - a. If it rains tomorrow, the match will be cancelled.
  - b. If it rained tomorrow, the match would be cancelled.
  - c. If it had rained yesterday, the match would have been cancelled.

- (English)  
(Haegeman & Wekker, 1984, p. 45)
- 8) *Wenn du nach Barcelona gehst; dann besuch das*  
 if you to Barcelona go, then visit the  
*Museo Picasso.*  
 Museo Picasso  
 'If you go to Barcelona, then visit the Museo Picasso.'

(German)  
(Reich, 2009, p. 220)

Like many languages (Abdelhady, 2019), in Classical Arabic and its varieties, conditionals consist of two clauses - a dependent and an independent clause. Several particles realize conditionals in Classical Arabic.

- 9) *ʕanna sirta wajadatanii jaanb-ak*  
 wherever walked find-me beside-2SG.GEN  
 'If you go anywhere, I will be with you.'
- 10) *man yadrus bijid najaha bi-tafawuq.*  
 whoever study seriously pass in-distinguished.  
 'Whoever studies hard will pass successfully.'
- 11) *ʔayaana tazurn-ii ʔukrimu-ka.*  
 if visit-me host.graciously.2SG.ACC  
 'If you visit me, I will host you graciously.'

The first and, probably, the most recognized function of the particle *ʔi ʔa* 'if' is its conditional function.

- 12) a. *ʔi ʔa aš-šaʕb-u yawm-an ʔaraada al-ḥayaa*  
 if DEF-people-NOM day-NUN wanted.PAST.3PL.M DEF-life  
*fa-laabudda ʔan yastajiiba al-qadar-u.*  
 PART-must SUBJ.PART respond DEF-fate-NOM  
 'If people want to live respectfully in one day, life will respond to their prayers.'
- b. *wa ʔi ʔa raʔʔaw tijaaratt-an ʔaw lahw-an ʔinfadq-ū*  
 and if saw.3PL.M trade-NUN or joy went-3PL.M  
*ʔilay-ha.*  
 to-3SG.GEN  
 'And if they have a trade or a game, they left to it.'
- c. *ʔi ʔa ʕaahbta ʔal-laʔii-a taʔa ʔayta.*  
 if befriended.2SG.M DEF-mean-ACC hurt.2SG.M  
 'If you befriended a mean person, you would get hurt.'

In 12), the sentence shows a condition established by *ʔi ʔa* 'if.' The first piece of evidence for the conditional function comes from the observation that the clause headed by the particle cannot stand by itself; hence, the following corresponding structures are ungrammatical.

- 13) a.\* *ʔi ʔa aššaʕbbu yawman ʔaraada alḥayaa.*  
 b.\* *wa ʔi ʔa raʔʔaw tijaaratt-an ʔaw lahwan.*  
 c.\* *ʔi ʔa ʕaahbta ʔallaʔiim.*

The second piece of evidence comes from the observation that conditionals in Classical Arabic cannot appear without a conditional particle; while this condition is applicable to Classical Arabic and most languages, in other languages like English, changing the word order can establish this function.

- 14) a. \* *aš-šaʕb-u yawm-an ʔaraada al-ḥayaa*  
 DEF-people-NOM day-NUN wanted.3PL.M life.ACC  
*fa-laabudda ʔan yastajiiba al-qadar-u.*  
 PART-must SUBJ.PAR respond DEF-fate-NOM  
 'When people want to live, the destiny has just to respond and let them in.'

(Abul-Qasim Al-Shabbi - Kadr, n.d.)

- b. Had I known his real motive, I wouldn't have supported him.

In English, using the conditional particle 'if' is mostly associated with creating a condition; that is, there is a condition on syntactic positions that associate the particle 'if' with its conditional function. However, this is not always the case. Haegeman (1984) points toward instances in which the particle 'if' may serve a different role; the particle

creates a modification in utterances for pragmatic reasons. Such structures “are often ignored in linguistic analyses, but, they have been given due attention by logicians and in semantic studies” (1984, p. 487).

- 15) A: does anybody know who he is?  
 B: yeah, I know him.  
 A: how do you spell Mm?  
 B: P-I-E-double L A: Thank you.  
 B: I, ... if it's the same man, I haven't yet read his application

- 16) A: They thought there was something structurally wrong with U, the rear wall if you remember,  
 B: Which you had taken down? A: yeah (1984, p. 486)

Based on such data, Haegeman (1984, p. 501) concludes that conditional structures are related to ‘speech act conditionals’ or ‘pragmatic conditionals’ (e.g., see Abdel Hady, 2015; Abdel Hady, 2020; Abdelhady & Alkinj, 2023a for the impact of more information about Speech Acts). In spoken varieties of Classical Arabic, we observe similar instances.

- 17) *šuft* *al-wald ʔi ʔa* *miš* *axuuh* *ʕmdd-ak.*  
 saw.1SG.M DEF-boy if not brother.3SG.M.POSS near-2.SG.M  
 ‘I saw the boy if not his brother near you.’

More peculiarities appear in the use of the particle *ʔi ʔa* ‘if’ in Classical Arabic. From a pragmatic perspective, *ʔi ʔa* ‘if’ departs from Haegeman’s (1984) description. The particle *ʔi ʔa* ‘if’ can appear to mark the attitudes of speakers toward the sudden realization of actions; that is, a speaker expresses his surprise that a certain event took place at the same time of his/her utterance.

- 18) a. *wa nazaʕa yada-hu fa-aʔi ʔa* *hryya*  
 and removed hand-his PART-if it  
*baydaaʔ-u li-l-naaʕiriin-a.*  
 white-NOM for-DEF-beholders-GEN  
 ‘He removed his hand, and suddenly they realized its whiteness.’

- b. *wa-ʔi ʔa ʔa ʔaʕnaa an-naassa* *rahmat-an*  
 and-if tasted.1PL.M.SUBJ DEF-people mercy-NUN  
*min baʕddi ʕarraaʔ-a massat-hum ʔi ʔa*  
 from after trouble-GEN felt-3PL.M if  
*la-hum maakruun fii*  
 to-3PL.M disbelief in  
*ʔaayaati-naa*  
 facts-1SG.POSS  
 ‘And if we made people have mercy after troubles, suddenly I will make disbelievers in my facts have troubles.’

(The Nobel Quran, p. Sura 10, Verse 21)

- c. *daxal-t-u fa-aʔi ʔa aʔ-ʔifll-u y-abkii.*  
 entered-1SG.M-NOM PART-if DEF-child PROG-cry.3SG.M  
 ‘I entered, and suddenly I realized that the child is crying.’

The examples in (18) depict two different uses of the particle *ʔi ʔa* ‘if’. The particle departs from its conditional function; that is, in the first example, there is no relation between removing the hand and how people feel. The second one shows this pattern more clearly. As we can notice, there are two particles of *ʔi ʔa*. The first particle creates a condition. The second particle appears in the subordinate clause. We conclude, then, that only one of those particles creates the conditional function while the other does not. The interpretation of the structure is in support of this claim. The speaker shows that there is a sudden turn in his perspective. First, he shows that he would make people get mercy after they pass through certain troubles because of their disobedience. Still, it is only then that he changes his perspective if it turns out that those people disbelieve again with whatever he told them. The speaker is changing his perspective, and the change takes place suddenly.

## V. DATA DIAGNOSTICS

To figure out the syntactic status of the *ʔi ʔa* particle, we deploy several tests drawn from Haegeman (1984). Those tests include co-occurrence, word order, tense, negation, islands, coordination, and interaction with modal devices.

First, scrutinizing the *ʔi ʔa* particle shows clear syntactic constraints on its use and interpretation. As we observed earlier, the particle can co-occur with conditional particles.

- 19) *ʔi ʔa qaama al-qard bi-ħaraka yariiba*  
 if did DEF-monkey in-movement strange  
*ʔi ʔa ʕal-ʕatfaal y-aḏħakk-uun.*

if DEF-kids PROG-laughing-3.PL.M  
'If the monkey made a wired move, the children start laughing (suddenly).'

20) \* If the boy comes, if the children laugh.

Notice that the example in (19) shows two *ʔi ʔa* particles. Only the first particle leads to a conditional interpretation clause. The second particle, however, do not. The co-occurrence of the particles in one clause means that one of those particles has another function. If the two particles appear in English, this leads to ungrammatical construction (20).

Second, there is a restriction on word order. While it is acceptable to use conditional particles clause initially and clause medially, this is not allowed for If of Surprise ones.

21)

- a. \* *fa-ʔi ʔa aʔ-ʔifl-u y-abkii daxalt-u.*  
PART-if DEF-child-NOM PROG-cry.3SG.M entered-1SG  
'I entered, and suddenly I realized that the child is crying.'
- b. \* *ʔi ʔa al-ʔaʔfal y-abk-kuun raʔytuhum.*  
if DEF-kids PROG-cry-3PL.M saw.3PL.ACC.1SG.NOM  
'The kids are crying and, suddenly, I saw them.'

In addition, the restriction on word order is observed in the selection of the particle for its clause type. The Classical Arabic language has both a VSO and a SVO word order pattern. However, the particle permits only SVO word order patterns. Notice that the selected clause after the If of Surprise particle permits only the SVO. This renders sentence (23) acceptable, but example (23) is not because of selecting a VSO word order.

- 22) a. [*aʔ-ʔaʔfl-u y-abkii*] SVO  
b. [*y-abkii aʔ-ʔaʔfl-u*] VSO
- 23) a. *daxalt-tu fa-ʔi ʔa [aʔ-ʔaʔfl-u y-abkii].*  
entered-1SG.M PART-if DEF-child PROG-cry  
'I entered, and suddenly I realized that the child is crying.'
- b. \* *daxalt-tu fa-ʔi ʔa [y-abkii aʔ-ʔaʔfl-u].*  
entered-1SG.M PART-if PROG-cry DEF-child-NOM  
'I entered, and suddenly I realized that the child is crying.'

Third, the If of Surprise particle restricts the choice of tense/aspect. If of Surprise demands selecting a progressive form of a verb, while conditional particles do not; that is, a conditional particle requires a different aspect and tense.

- 24) a. *daxalt-u fa-ʔi ʔa aʔ-ʔifl-lu y-abkii.*  
entered-1SG PART-if DEF-child-NOM PROG-cry  
'I entered, and suddenly I realized that the child is crying.'
- ((22a) repeated)
- b. \* *daxalt-u fa-ʔi ʔa aʔ-ʔifl-lu baka.*  
entered-1SG PART-if DEF-child-NOM cried  
'I entered, and suddenly I realized that the child cried.'
- c. \* *sa-ʔdxul-u fa-ʔi ʔa aʔ-ʔifl-lu sa-yabkii.*  
FUT-enter-1SG.SUBJ PART-if DEF-child-NOM FUT-cry  
'I will enter, and suddenly the child will cry.'

The examples above show that the If of Surprise particle allows the selection of present tense with a progressive aspect (24). Selecting the past tense leads to ungrammatical structures (24). In addition, the particle cannot occur with a phrase that expresses futurity (24).

Fourth, If of Surprise demands selecting affirmative structures; that is, using a negative sentence after an If of Surprise construction leads to ungrammatical constructions.

- 25) \* *daxaltu aʕ-ʕaff-aʔa-ʔi ʔa laysa ʕal-ʕustaa ʔ hunaak.*  
entered.1SG DEF-class-ACC PART-if not DEF-teacher there  
'I entered the class and suddenly I realized the teacher is not there.'

In 25), while the main phrase *daxaltu aš-šaff-a* ‘I entered the class.’ is affirmative; however, the particle *laysa* negates the phrase *šal-šustaa ḏ hunak* ‘the teacher is here.’ As we can notice, using the particle *šidā* with the negated phrase leads to ungrammatical constructions. The same applies if the matrix phrase is negated.

- 26) \* *daxaltu aš-šaff-a fa-šidā laysa šal-šustaa ḏ hunaaak.*  
 entered.1SG DEF-class-ACC PART-if not DEF-teacher there  
 ‘I entered the class and suddenly I realized the teacher is not there.’

Fifth, If of Surprise constructions show syntactic islands. Boeckx (2012) defines syntactic islands as “a clause or structure from which a word cannot be moved.” This defining property is crucial for understanding how extraction operates within selected clauses. Notice that in conditional structures, islands do not exist; that is, movement is possible. Compare (27) with (28).

- 27) a. \* *daxalt-u aš-šaff-u fa-šidā y-abkii.*  
 entered-1SG DEF-child-NOM PART-if PROG-cry  
 ‘I entered, and suddenly I realized that the child is crying.’
- b. \* *daxalt-u man fa-šidā y-abkii.*  
 entered-1SG who PART-if PROG-cry  
 ‘I entered, and suddenly I realized who is crying.’
- c. \* *man daxalt-ufa-šidā y-abkii.*  
 who entered-1SG PART-if PROG-cry  
 ‘Who is crying when I suddenly entered?’
- 28) a. *šidā al-šustaa ḏ šaraḥa ad-dars, fahmahu aš-tulaab.*  
 if DEF-teacher explain DEF-lesson understand DEF-students  
 ‘If the teacher explains the lesson, the students will understand it.’
- b. *man a ḥa šaraḥa ad-dars, fahmahu aš-tulaab.*  
 who if explain DEF-lesson understand DEF-students  
 ‘Who is the one, if he explains the lesson, the students will understand?’
- c. *man fahma ad-dars, šidā šaraḥa-hu al-šustaa ḏ*  
 who understand DEF-lesson if explain-it DEF-teacher  
 ‘Who understood the lesson if the teacher explained it?’

The data shows three points of departure. First, the particle selects a noun and a progressive form of a verb. Second, the particle restricts extraction from local domains. That is, the particle phrase behaves like adjunct-islands (Boeckx, 2012; Christensen et al., 2013; López Sancio, 2015) in the sense that we cannot extract elements. Third, the phrase itself is not obligatory. Those three points lead us to conclude that the particle forms an adjunct that selects a nominal phrase.

Sixth, another test that highlights the distinct status of If of Surprise is coordination. Luraghi and Parodi (2008) define coordinated patterns as a “series of two or more items connected with some kind of conjunction”. Chomsky (1995) observes that coordination is exclusive to constituents that have the same type. He refers to this observation as the “Coordination Condition”. Based on this condition, researchers test if structures or constituents belong to the same type or not and how other coordinative patterns may emerge (Al Khalaf, 2015; Bruening & Al Khalaf, 2019; Reich, 2009). The interaction of If of Surprise with conjuncts is evident in the following examples (29) and (30).

- 29)
- a. *daxalt-u aš-šafa wa fataḥt-u al-baab-a*  
 entered.1SG-NOM DEF-class and opened-1SG DEF-door-ACC  
*fa-šidā al-šustaa ḏ-u waqaf.*  
 PART-if DEF-teacher-NOM stood.3SG.M  
 ‘I opened the door and entered the class; suddenly I realized that the teacher is standing.’
- b. *fataḥt-u al-baab-a fa-šidā al-šustaa ḏ-u wa*  
 opened.1SG DEF-door-ACC PART-if DEF-teacher-NOM and  
*aš-ṭalibb-u naaʔim-an.*  
 DEF-student-NOM sleeping.3DU.M-NUN  
 ‘I opened the door; suddenly I realized that the teacher and the student are sleeping.’

30)

- a. \* *fataħttu al-baab-a fa-ʔi ǰa al-ʔustaa ǰ mawjuud*  
 opened.1SG DEF-door-ACC PART-if DEF-teacher present  
*wa fa-ʔi ǰa aṭ-ṭaalib-u y-abkii.*  
 and part-if DEF-student-NOM PROG-cr.3SG.M  
 ‘I opened the door; suddenly I realized that the teacher is present and suddenly I realized that the student is crying.’
- b. \* *fataħttu al-baab-a fa-ʔi ǰa al-ʔustaa ǰ mawjuud*  
 opened.1SG DEF-door-ACC PART-if DEF-teacher present  
*aw fa-ʔi ǰa aṭ-ṭaalib-u y-abkii.*  
 or PART-if DEF-student-NOM PROG-crying.3SG.M  
 ‘I opened the door; suddenly I realized that the teacher is present or suddenly I realized that the student is crying.’
- c. \* *fataħttu al-baab-a fa-ʔi ǰa al-ʔusts ǰwa aṭ-ṭalibu*  
 opened.1SG DEF-door-ACC PART-IF DEF-teacher and DEF-student  
*y-abkii.*  
 PROG-crying.3SG.M  
 ‘I opened the door; suddenly I realized that the teacher (is present) and the student is crying.’

We can see this in the examples in 29) while those in 30) do not. In a29), two verb phrases are coordinated above the *ʔi ǰa* phrase. In b29), two noun phrases that are part of the *ʔi ǰa* phrase are coordinated. Those two patterns are permissible. However, the examples in (30) are ungrammatical. In 30)a), it is not acceptable to coordinate two (or more) *ʔi ǰa* phrases using *and*. In addition, (30)b) shows that using a disjunct coordinator does not save the structure. Furthermore, while it is acceptable to use ellipses *ʔi ǰa* phrases, coordinating elliptic and entire phrases is not allowed (30)c). The examples confirm that, under coordination, *ʔi ǰa* phrases impose restrictions on constituents and their types.

Seventh, an If of Surprise construction does not occur with epistemic models. That is, the use of *ʔi ǰa* phrases that denote a sudden realization of action with lexical items that indicate uncertainty is not acceptable (cf., Egan & Weatherson, 2011). The examples below are illustrative.

31)

- a. \* *fataħttu al-baab-a fa-ʔi ǰa al-ʔustaa ǰ rubbamaa*  
 opened.1SG DEF-door-ACC PART-IF DEF-teacher maybe  
*naaʔm.*  
 sleeping.3SG.M  
 ‘I opened the door and suddenly I realized that the teacher might be sleeping.’
- b. \* *fataħtu an-naafi ǰa fa-ʔi ǰa al-ʔasfuur qad yaʔiir.*  
 opened.1SG DEF-window PART-if DEF-bird might fly.3SG  
 ‘I opened the window; suddenly I realized that the bird might fly away.’  
 \**rubbamaa fataħttu an-naafi ǰa fa-ʔi ǰa al-ʔustaa ǰ*  
 maybe opened.1SG DEF-window PART-IF DEF-teacher  
*naaʔm*  
 sleeping  
 ‘Maybe, I opened the window, and suddenly I realized that the teacher is sleeping.’

In (31), the examples show patterns of interaction between the If of Surprise constructions and epistemic models. All the examples point out that using epistemic models with this particle is not acceptable. Pragmatically speaking, the particle requires a context that shows that the speaker is surprised about an event he suddenly realized. This context is not denoted by epistemic models showing that the speaker is unsure of his stance. Furthermore, syntactically speaking, because the particle c-commands its complement, it selects a phrase that fulfills the requirement of its selection criteria.

To sum up, the syntactic diagnostics show that the *ʔi ǰa* particle has a unique interaction with structures. The tests show that the particle cannot establish conditional constructions because it can co-occur with conditional particles. In addition, the tests prove that the particle restricts word order patterns, indicating a binding relationship that results in such a restriction. Moreover, the particle does not freely interact with tense, aspect, and negation. Furthermore, the particle creates a syntactic island and restricts extraction. Additionally, the test shows that coordinative patterns are restricted; it is not permissible to coordinate two (or more) of *ʔi ǰa* phrases using *and*, and using disjunctive coordinators is equally problematic. Finally, the syntactic test on modality points out that there is an impact of context (i.e., speaker) on the structure of this particle.

## VI. ANALYSIS AND DISCUSSION

Based on the diagnostics, we argue that the *ʔi ǰa* particle is a small clause (Al-Seghayar, 1988; Balazs, 2012; Basilico, 2003; Cardinaletti, 2020; Contreras, 1987). Luraghi and Parodi (2008, p. 173) define a small clause as “a construction



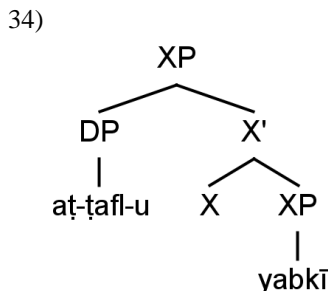
that lacks a verb. It consists of a subject NP/DP and a predicate adjective phrase, noun phrase, or a prepositional phrase.” This is illustrated in the example below.

32) I consider Eric smart.

In order to advance on this proposal, we briefly present features of small clauses, and we show the similarity between small clauses and the *ʔi ǰa* construction (33).

33) *daxalt-u fa-ʔi ǰa aṭ-ṭafl-u y-abkii.*  
 entered-1SG PART-if DEF-child-NOM PROG-cry.3SG  
 ‘I entered, and suddenly I realized that the child is crying.’ (repeated)

Let us assume that *yabkii* ‘crying’ is part of a phrase that has a specifier. The noun phrase *aṭṭaflu* ‘the boy’ occupies the specifier position of this phrase. Then, the *ʔi ǰa* particle merges with this phrase. For simplicity, at this stage, we present a primitive analysis. We represent the functional head as X. Consider the following tree in (34).



We argue that *yabkii* ‘crying’ is the complement of a functional head for predication, Predicate (PRED) (Baker, 2003). There are reasons to that support this proposal. First, unlike verbs, the complement does not inflect for tense. According to Baker (2003, p. 46), “the most obvious difference between verbs and other lexical categories is that in many languages only verbs can be inflected for tense and related notions, such as aspect and mood.” *yabkii* ‘crying’ can inflect for tense only and only if it is not part of the the *ʔi ǰa* phrase. However, our data show that in this phrase, *yabkii* ‘crying’ cannot inflect for past *baka* ‘cried’ or future *sayabki* ‘will cry.’ Based on this, we conclude that the complement functions as an adjective. This conclusion is supported by substitution. That is, adjectives can substitute *yabkii* ‘crying.’ Consider the following example.

35) *naḍar-tu ʔila ʔs-samʔ fa-ʔi ǰa ʔal-qamar-u mudiʔ*  
 look-1SG to DEF-sky PART-if DEF-moon-NOM bright  
 ‘I looked up to the sky, and suddenly I realized that the moon is bright.’ (repeated)

Scrutinizing the example in (35), we notice that *mudiʔ* ‘bright’ is an adjective modifying the determiner phrase (DP) *ʔalqamaru* ‘the moon.’ This case is supported in Classical Arabic and in other languages. Compare 35) with the following examples in 36).

- 36)
- a. *Omar mriid/muṣ ǰ llim.*  
 Omar sick/ teacher  
 ‘Omar is sick/a teacher.’ (Benmamoun, 2000, p. 8)
  - b. *Juan-ka mayistru-mi*  
 Juan-TOP teacher-VALID  
 ‘Juan is a teacher.’ (Imbabura Quechua) (Baker, 2003, p. 47)

According to Baker (2003), predicate phrases can have a determiner phrase (DP) or adjectival phrase (AP) as their complements. In (36 a), in Classical Arabic, a PRED selects *mriid* (AP) or *muṣ ǰ llim* (DP) as its complement. We notice the same case in Quechua, a language spoken in Peru, Colombia and Ecuador, where PRED selects the DP *mayistru-mi* ‘teacher-VALID’ as its complement. In (35), PRED selects the AP *mudiʔ* as its complement and merges with *ʔalqamaru* ‘the moon’ as its specifier.

Furthermore, our data shows that the *ʔi ǰa* is not optional in such constructions. That is, it is ungrammatical to generate the intended constructions without the *ʔi ǰa* particle. This leads use to conclude that the *ʔi ǰa* particle selects a small clause as its complement. Consider the following instances.

37)

- a. \* *nadar-tu ʔila ʔs-samaaʔ ʔal-qamar-u mudiiʔ.*  
 look-1SG to DEF-sky the-moon-NOM light  
 ‘I looked up to the sky, and suddenly I realized that the moon is bright.’
- b. \* *daxalt-u aʔ-ʔafl-u y-abkii.*  
 entered-1SG DEF-child-NOM PROG-cry  
 ‘I entered, and suddenly I realized that the child is crying.’

(repeated)

Both examples in 37) are unacceptable. In 37)a, *ʔal-qamar-u mudiiʔ* ‘the moon is bright’ is not selected and cannot adjoin with *nadar-tu ʔila ʔs-samaaʔ* ‘I looked at the sky.’ The same case applies to b37). Based on our data, we propose the hierarchy in (38) to depict the internal structure of (35).

38) [SC Part ʔi ʔa [PredP DP ʔal-qamaru [Pred<sup>0</sup> [AP mudiiʔ]]]]

This structure shows that the Pred<sup>0</sup> selects the AP as its complement and projects into PreP’. The DP merges as a specifier which leads to the maximal projection of the PredP. The particle *ʔi ʔa* selects the PredP and projects into a SC.

Furthermore, we argue that the SC of *ʔi ʔa* functions as an asymmetrically coordinated small clause, distinguishing it from circumstantial adjuncts (Citko, 2000; Haddad, 2020). The adjunct argument (39) falls apart because circumstantial adjuncts can merge on both the left and the right periphery.

39)

- a. Yesterday, she was here.  
 b. She was here yesterday.

However, based on our data, If of Surprise occurs only on the right periphery. It cannot move to the left periphery. In addition, we observe the use of a coordinator before the *ʔi ʔa* phrase. Adjuncts do not require a coordinator.

Adopting the SC proposal, we can account for the presence of the coordinator before If of Surprise and the use of If of Surprise in subordinated constructions. Our proposal accounts for why the coordinator is not used in (40a). It shows that a coordinator should not appear when If of Surprise is used in subordinate constructions, like the example in (40b).

40)

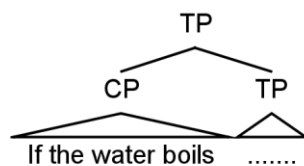
- a. *ʔi ʔa qaam al-qirdu bi-harka yariiba*  
 if did DEF-monkey in-movement strange  
*ʔi ʔa ʔal-ʔatfaal y-aḏḥak-uun.*  
 if DEF-kids PROG-laughing-3APL  
 ‘If the monkey does a weird move, the children start laughing (suddenly)’.
- b. \* If the monkey makes a weird move, and the children start laughing. (repeated)

This pattern supports our argument that If of Surprise cannot function as a modifier. First, modifiers cannot build subordinate constructions. That is, we cannot use an adverbial clause as an answer to conditional subordinated clauses (41). The tree diagram in (42) represents an example like ‘If the water boils, turn of the stove.’ Therefore, If of Surprise cannot function as a modifier for CPs because the CP itself should modify the If of Surprise part, the SC (43). If that is not the case, we will end up with structures, like (41), which are ungrammatical.

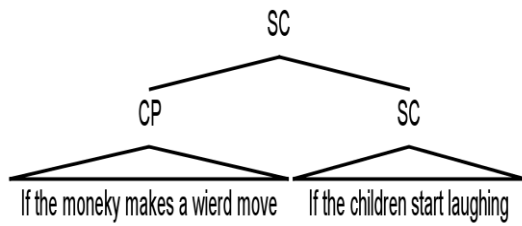
41)

- a. \* If the teacher comes, if you sleep.  
 b. \* If the boys sleep, when you go.  
 c. \* If the water boils, while you turn of the oven.

42)

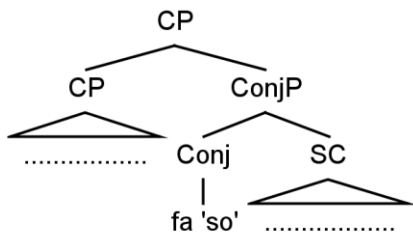


43)



For the second pattern, we argue that the SC forms an asymmetrical conjunct (40). This explains why the SC occupies the right periphery only. In addition, we can account for why a coordinator appears in such a construction.

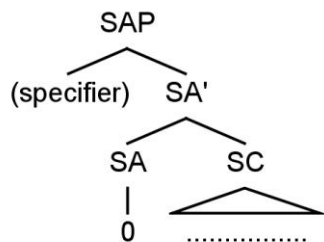
44)



Based on our analysis, there is a coordination between a CP and SC. This coordination pattern is asymmetrical. The conjunction selects the SC forming a Conj'. The CP merges as a specifier of this conj'. The SC argument is further supported by the use of *If* of Surprise in subordinated constructions.

Our proposal predicts that those SCs merge with Speech Act Phrases (SAPs). This prediction explains why it is possible to coordinate SC constructions and to use them in subordinate structures. Furthermore, it explains the sudden effect of *if* at the syntactic-pragmatic interface, representing the syntactic-pragmatic representation of the speaker in the utterance. That is, the syntax represents how the speaker suddenly realizes a situation.

45)



Note that to represent this syntactically, we argue that a Speech Act Phrase (Akkus & Hill, 2018; Haegeman, 2014; Hill, 2013) is maximally projected through merging the functional head Speaker, SA, with the SC. Following Abdelhady (2020), we can explain the patterns above as cases of coordination and subordination at the level of SAPs<sup>2</sup>. We propose that SA has an unvalued interpretable feature [*u*SUDDEN]. The specifier has a valued interpretable feature [SUDDEN]. SA moves and internally merges with SAP (SAP shell hypothesis) to value its unvalued feature. It probes for a goal. SA values its unvalued feature once it locates the valued feature [SUDDEN] of the specifier. This leads to the sudden interpretation of SC.

<sup>2</sup> See Abdelhady (2020) for further details on coordinating SAPs.

## VII. CONCLUSION

In the examination of the syntactic nature of the If of Surprise construction in Classical Arabic, it becomes apparent that this particular type of construction differs significantly from both conditional clauses and adverbials. The exceptional status of the If of Surprise construction can be attributed to its distinctive syntactic features and configurations. By employing syntactic diagnostics and analyzing its configurations, we gain further insight into the unique characteristics of this construction.

The syntactic diagnostics employed shed light on the fact that If of Surprise constructions can coexist alongside conditional clauses. In various languages, conditional constructions often utilize a particle to establish their conditional function, but typically only one such particle is employed. For instance, in English, the particle “if” is utilized exclusively in subordinate clauses to denote a condition. However, if we observe the co-occurrence of If of Surprise with the conditional particle “if,” it becomes evident that the function of If of Surprise is distinct. This differentiation is further supported by additional tests examining the interaction between the particle and aspects such as tense, negation, and aspect.

Based on the outcomes of our diagnostic analyses, we arrive at the conclusion that If of Surprise is classified as an adjunct clause. Specifically, it can be categorized as a small clause due to its fulfillment of the necessary conditions associated with small clauses. Although this clause shares similarities with conditional structures in terms of its phonetic form, it diverges from them in its syntactic function. Moreover, we propose a connection between the If of Surprise construction and Speech Act Projection. However, in order to establish the universality of such projections, further investigations are required to investigate how small clauses can project into Speech Act Projections (SAPs) (cf., Abdelhady, 2021, 2023). These inquiries would contribute to a more comprehensive understanding of the If of Surprise construction and its relation to the broader realm of linguistic phenomena.

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# Wittgenstein's Conception of Translation in His Later Philosophy of Language as an Approach to Cummings's Untranslatable Concrete Poetry

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**Abstract**—E.E. Cummings's concrete poetry raises the canonical problem of poetic untranslatability. It is commonly accepted that a poem is constituted as a unity of form and content, and any change in the form of a poem results in the loss of the poetic value and, eventually, translation failure. Two basic approaches have been proposed regarding the untranslatability of Cummings's concrete poetry: mimicry and equivalence of effect. However, the former is impractical, and the latter is an indirect one. This paper proposes employing Wittgenstein's conception of translation in his later philosophy of language to solve the question of the untranslatability of Cummings's concrete poetry. By analysing three of Cummings's concrete poems 'r-p-o-p-h-e-s-s-a-g-r', 'mOOOn Over tOWns mOOOn', and 'Buffalo Bill's', this study suggests that poetry is translatable in the sense that the same language-game in the source text (ST) can be played in the target text (TT) by reconstruction or invention.

**Index Terms**—untranslatability, concrete poetry, language-game, Wittgenstein, E.E. Cummings

## I. INTRODUCTION

E.E. Cummings's concrete poetry raises the canonical problem of poetic untranslatability. Poetic untranslatability has long been a subject of debate (Glavaničová & Kosterec, 2021; Hulatt, 2016; Lamarque, 2009a, 2009b; Lepore, 2009). In this debate, the key idea in favour of poetic untranslatability is that a poem, as a unity of content and form, would lose its poetic value if the form were changed in translation from one language to another, as Robert Frost says 'poetry is what gets lost in translation' (quoted from Robinson, 2010, p. 25). In the same vein, it is perceived that Cummings's concrete poems cannot be translated into Chinese due to their 'unreproducible' physical features (Guo & Huang, 1998; Xu & Yang, 2005).

In this background, this paper conducts a case study and proposes employing Wittgenstein's conception of translation in his later philosophy of language to discuss whether Cummings's concrete poetry can be translated into Chinese. This paper argues that a poem is not impossible to translate because to translate a poem is not to recapture its unity of content and form in another language. The later Wittgenstein's conception of translation, which goes against conceiving translation in that way, allows translators much freedom to shift the untranslatable into translatable.

## II. TRANSLATION PROBLEMS IN CUMMINGS'S CONCRETE POETRY

Concrete poetry, also called poem-pictures, implies that a concrete poem is simultaneously a picture in a poem and a poem in a picture. Generally, Cummings's concrete poems refer to those in which he utilises the visual potential of language, as Cummings writes in a letter: 'not all of my poems are to be read aloud – some, like *the 3* you mention, are to be seen and not heard' (Cummings, 1969, p. 267). To simplify, the following working definition is given: Cummings's concrete poetry means those which include expressions in unconventional uses in visual aspects or using the technique of 'graphological deviation' (cf. Leech, 1969, pp. 47-48).

According to Levenston (1992), the graphological elements of language can be classified into four groups: spelling, punctuation, typography and layout. Previous studies have indicated that graphological deviations or unconventional uses of the four types all occur in Cummings's concrete poetry. For example, Gomez-Jiménez (2015, 2017a, 2017b) describes unconventionally spelt words, as well as unconventionally used punctuation marks and capital letters in Cummings's poetry. Tartakovsky (2009) has discussed various uses of parentheses in Cummings's concrete poetry. Cureton (1968) has investigated the visual form of 'No thanks'. Yu (2008) has analysed the visual metaphor of such concrete poems as '1 (a)', 'r-p-o-p-h-e-s-s-a-g-r', concerning the shape, capital letters, and space. With reference to these studies, the types of language in graphologically deviational way in Cummings's poetry are shown in Table 1.

TABLE 1  
TYPES OF GRAPHOLOGICAL DEVIATION IN CUMMINGS'S POETRY

Types	Realization	Examples
Spelling	Substitution	woild [world] (CP 249 <sup>1</sup> )
	Transposition	radarwleschin [Charles Darwin] (CP 356)
	Insertion	ballll [ball] (CP 411)
	Omission	prgress [progress] (CP 419)
Punctuation	Substitution	exeunt ax:by:c [exeunt: a, x, b, y, c] (CP 88)
	Insertion	i( )t [it] (CP 473)
	Omission	oride lesgo eckshun [all right, let's go, action!] (CP 505)
Typography (Capitalisation)	Initial letter	in Just (CP 29)
	Middle letter	balloonMan (CP 29)
	Final letter	rounD (CP 765)
	Combined letters	UnBroken (CP 339)
	All letters	PPEGORHRASS [grasshopper] (CP423)
Layout	Wrapping line	as pale twilight trem-/bles/into/Darkness [/: wrapping line] (CP 928)
	Null line	l(a/ /e/af/fa/ /ll/ /s)/one/l/ /iness [loneliness (a leaf falls)] (CP 713)
	Condensation	onetwothreefourfive [one two three four five] (CP 98)
	Spacing	Far and wee (CP 29)

In the view of reproducing the unity of content and form, three types of expressions cannot be translated into Chinese:

- (1) expressions which involve unconventional morphology, including words with unconventional spelling, words internally split or separated by inserting punctuation marks, spacing, wrapping lines, etc.;
- (2) expressions which involve unconventional upper- or/and lower-case letter(s); and
- (3) expressions using condensing words.

For the first type, Chinese, as a hieroglyphic language, lacks a system of the morphology of alphabetical languages, and Cummings's technique for dealing with the internal structure within a word, as in the case of 'woild' and 'i( )t', cannot be employed in the same way with Chinese. For the second type, Chinese is not an alphabetic language, and there is no equivalent form for a word containing a capitalised letter, such as 'rounD'. For the third type, in general, Chinese characters in a sentence are composed in a line without spaces between them, so it is not possible to condense characters. Addressing issues of these expressions is key to solving the question of the untranslatability of Cummings's concrete poetry.

### III. TWO BASIC APPROACHES: MIMICRY AND EQUIVALENCE OF EFFECT

In translation studies, two basic approaches are applicable to translating a concrete poem: mimicry, in which the translator attempts to creatively imitate the unity of form and content of the ST, and equivalence of effect, in which the translator aims to reproduce the same effect in the TT as in the ST.

Mimicry is one of the most direct approaches, but unfortunately, it cannot achieve the desired result. Consider the following case. In 'Buffalo Bill's' (CP 98; see Table 2), Cummings condenses several words into one expression (the dash area in ST). To mimic the graphic form, the translator, Ye (2003, pp. 140-141; see Table 2) broadens the space between Chinese characters except '一二三四五 只野鸽子' and hence creates 'relatively' condensed characters. Undoubtedly, the strategy is problematic: first, the tempo of the TT is slower than it is in the ST because of its loose texture, and second, 'onetwothreefourfive pigeonsjustlikethat' presents a visual metaphor of the rapidity of gunfire (Webster, 2001, p. 108), but '一二三四五 只野鸽子' in the conventional Chinese written form fails to reproduce the equivalent effect. The case suggests that mimicking the form of a poem does not necessarily reproduce the equivalent effect in another language. Hence, this approach is impractical.

TABLE 2  
'BUFFALO BILL'S' AND YE HONG'S TRANSLATION

ST	TT
Buffalo Bill's defunct	野牛彼尔 逝世了
who used to ride a watersmooth-silver	他惯于 骑一匹水滑银光
stallion	良种马
and break onetwothreefourfive pigeonsjustlikethat	并连连击下      一二三四五 只野鸽子
Jesus	耶稣啊
he was a handsome man	他是个帅家伙
and what I want to know is	而我想知道的是
how you like your blueeyed boy	你可喜欢你这个蓝眼睛男童
Mister Death	死神先生

<sup>1</sup> CP: *E.E. Cummings Complete Poems*. The numeral: page number.

The other is the equivalence of effect which can be traced to Nida's (1964) 'functional equivalence' and the principle of equivalent effect. Recently, Bassnett (2020, p. 19) claims 'What might be more applicable to the translation of concrete poetry therefore is a more functionalist approach, asking what the original is doing and then seeking an equivalent effect'. It is undeniable that the approach has the potential to turn untranslatable concrete poems into translatable because in this way a poem's formal features no longer matter for its translatability. For example, Lee and Chan (2018) have adopted a functionalist stance to translate several Chinese concrete poems into English. However, the approach would be attacked for the same reasons as Nida's functional equivalence: the equivalent effect is subjective (Munday, 2016), and the desired effect is not always achieved (Chesterman, 2016; Wilson, 2016). It is subject to dispute how a translator grasps an effect and reproduces it. In a word, seeking for the same effect is 'too indeterminate a task' (Wilson, 2012, p. 152). Hence, it is an indirect approach.

Is an alternative possible? The two approaches above, which focus on the linguistic form and the effect that the form produces, respectively, take untranslatability as a pure linguistic question. Moreover, 'untranslatability' is a philosophical notion. Hence, philosophy of language could help translate untranslatable poems. In recent studies, Wilson (2016) and Du and Wang (2021) have applied Wittgenstein's later philosophical thought<sup>2</sup> to literary translation, and the latter has translated several of Cummings's poems into Chinese, as well, such as 'l(a)' (also in Du, 2007) and 'me up at does'. Following their approach, this paper proposes employing Wittgenstein's later conception of translation to explore the translatability of Cummings' concrete poetry.

#### IV. WITGENSTEIN'S CONCEPTION OF TRANSLATION IN HIS LATER PHILOSOPHY OF LANGUAGE

Wittgenstein did not commit himself to building a theory of translation. His philosophical thinking regarding translation summarises from remarks in his writings and deduces from his later conception of language because 'any consistent theory of translation we set up has to build on our conception of language' (Oliveira, 2020, p. 22). Understanding the later Wittgenstein's conception of translation requires understanding his conception of language.

Wittgenstein's later philosophy, as a whole, is often regarded as a refusal to his early philosophy in *Tractatus Logico-Philosophicus*. In *Tractatus*, Wittgenstein put forward the picture theory of language and argues language is meaningful because it represents the world. In his later work *Philosophical Investigation*, Wittgenstein dispels the mist around the language we are familiar with and unveils the patterns of how language works. Wittgenstein observes that varieties of linguistic practices occur in people's everyday life, more than representing the world, such as praying, thanking, asking, lying, apologizing and so on. More than that, in the linguistic world, many words cannot be used to represent things in the world, such as 'beauty', 'yes', 'possibility', etc. Wittgenstein then starts to change his mind about the way of seeing language.

The later Wittgenstein chooses the term 'language-game' to collectively refer to different linguistic practices and points out that the meaning of a word or sentence is its use in the language-game (PI 21, 43; PG 23<sup>3</sup>). What is a language-game? It means a rule-governed activity involving language (PI 31, 534). According to the conception of language-game, grammar determines (or constructs) meaning (PG 23). To understand what a word means is to know how the word is used. For example, one can understand the meaning of the word 'help' shouted by someone in danger if one knows the language-game in which the word is used or how to use the word 'help' in the language-game.

The later Wittgenstein also conceives of translation as a language-game (PI 23). He does not explain what the language-game of translation by giving a definition, but rather examples:

What is the correct German translation of an English play on words? Maybe a completely different play on words (LWPP I 278<sup>5</sup>);

How is this joke (e.g.) to be translated (i.e. replaced) by a joke in the other language?" and this problem can be solved; but there was no systematic method of solving it (Z 698<sup>6</sup>).

Based on the remarks above, in view of Wittgenstein's later thought, the goal of translation is to play the same language-game in the ST and the TT (Wilson, 2016, pp. 63, 80). This is not an over-interpreted generalisation. As mentioned before, in Wittgenstein's terms, telling a joke and using a play on words are language-games, and in that sense, translating as replacing is playing the same language-game in the TT as in the ST.

Unfortunately, Wittgenstein has never expounded the procedure and he makes an easily misinterpreted analogy between translating and undertaking a mathematical task (Z 698). The remark suggests not that translation problems are all solved in a pre-determined procedure, but that translating a text resembles trying to work out how to save up for a holiday (Wilson, 2016, p. 80); there is no systematic or fixed method of solving the problem. That is, the same language-game played in the ST can be played in the TT in other ways.

Based on Wittgenstein's conception of translation, the procedure for translating a text is as follows:

- (1) to identify the language-game played in the ST,

<sup>2</sup> Wittgenstein's philosophical career is generally seen as falling into two parts. His early philosophy culminates with the publication of *Tractatus Logico-Philosophicus* and his later philosophical thinking is mainly reflected in *Philosophical Investigation*.

<sup>3</sup> PG: *Philosophical grammar*. The numeral: section number.

<sup>4</sup> PI: *Philosophical Investigation*. The numeral: section number.

<sup>5</sup> LWPP: *Last Writings on Philosophical Psychology*. The numeral: section number.

<sup>6</sup> Z: *Zettle*. The numeral: section number.



- (2) to clearly describe it, and
- (3) to play the same language-game in the target language.

In detail, the first step is, as Wittgenstein advises, to observe the phenomenon and look for the meaning of a word in its use (PI 43). The second step is to describe the use of a word in the language-game using grammatical remarks. For example, ‘●’, which is a small, coloured round shape, represents (can be seen as) a dot/hole (cf. Krkač, 2012, pp. 5-13). The third step is to use appropriate materials (linguistic or non-linguistic) to play the same language-game as in the ST.

In doing so, the goal of translating a poem shifts from reproducing the equivalent effect to playing the same language-game in the TT as in the ST because ‘the (extremely important) effects can look after themselves if the language-games are imitated’ (Wilson, 2016, p. 56). Thus, the principle of playing the same game in both the ST and the TT circumvents the problem of indeterminacy inherent in seeking an equivalent effect. The next section demonstrates how to employ this philosophical thought to translate untranslatable expressions in Cummings’s poetry.

## V. CASE ANALYSIS

This study selects three of Cummings’s concrete poems ‘r-p-o-p-h-e-s-s-a-g-r’ and ‘mOOOn Over tOWns mOOOn’ and ‘Buffalo Bill’s’, each of which respectively includes at least one of the three types of untranslatable expressions mentioned in Section II. In the following paragraphs, the three poems are translated into Chinese by employing the later Wittgenstein’s conception of translation.

### A. Example 1: ‘r-p-o-p-h-e-s-s-a-g-r’

The first example, one of the most famous concrete poems, is titled ‘r-p-o-p-h-e-s-s-a-g-r’ (CP 423; see Table 3). In this poem, the technique Cummings frequently employs is transposing the letters of the word ‘grasshopper’, in addition to using unconventional capitalisation and punctuation. If we piece together the scattered letters and punctuation markers, the poem says: ‘grasshopper, who, as we look, now upgathering into himself, leaps, arriving to become, rearrangingly, a grasshopper’.

The arrangement in this poem is impossible in Chinese, but to translate this poem, the language-game in it can be played in Chinese. The first two steps are to identify the language-game in it and to describe it grammatically. In this poem, Cummings draws a dynamic picture. In reviewing this poem, readers watch the following: a grasshopper hides in the grass, suddenly leaps in the air, and appears to us (Friedman, 2019, pp. 123-124). This is the language-game played in this poem, and the language-game about transposing the word ‘grasshopper’ in this poem is described by grammatical remarks:

[Grasshopper]:

It symbolises a grasshopper drawn in the concrete poem

[r-p-o-p-h-e-s-s-a-g-r/PPEGORHRASS/gRrEaPsPhO]s:

The transposition of the letters makes them difficult to recognise the word and can be seen as a grasshopper hiding in the grass in different postures.

[r-p-o-p-h-e-s-s-a-g-r]:

Punctuation markers are inserted and the transposed ‘grasshopper’ is lengthened by the marker ‘-’, which can be seen as a grasshopper stretching its body.

[PPEGORHRASS]:

The capitalisation of all letters emphasises the expression more than other lowercase letters; this can be seen as a grasshopper upgathering its body.

[GRrEaPsPhOs]:

The uppercase and lowercase letters are mixed and lowercase letters are combined into the word ‘grass’, which can be seen as the grasshopper in the grass recovering from having upgathered its body and returning to the state before it leaps.

The third step is to play the same language-game as in ST. Here one translation is suggested, the revised version of Zou’s translation, titled ‘虫—卅—日—乍—子—十—皿—虫’ (Zou, 2016, p. 115; see Table 3). In this translation, ‘草蚱蜢’ (‘grasshopper’ in English) is dismantled into seemingly insignificant fragments and by transposing these fragments and inserting punctuation markers, a dynamic picture appears to readers. It is found that the ST and the TT play the same language-game, by comparing the description of ST with the following:

[草蚱蜢]:

It symbolises a grasshopper drawn in a picture.

[虫-廿-曰-乍-子-十-皿-虫/曰子乍虫廿皿十/十乍廿子虫曰皿虫]:

The dismantling and transposition of the fragments of ‘草蚱蜢’ make the three characters difficult to recognise; and they can be seen as a grasshopper hiding in the grass in different postures.

[虫-廿-曰-乍-子-十-皿-虫]:

Punctuation markers are inserted and the dismantled and transposed ‘草蚱蜢’ are lengthened by the punctuation mark ‘-’, which can be seen as a grasshopper stretching its body.

[曰子乍虫廿皿十]:

The bolded fragments in ‘草蚱蜢’ are emphasised more than others without being boldfaced, which can be seen as a grasshopper upgathering its body.

[十乍廿子虫曰皿虫]:

The bolded and unbolded fragments are mixed and the unbolded fragments are combined into ‘草’ (‘grass’ in English), which represents the grasshopper’s recovery in the grass after upgathering its body and its return to the state before it leaps.

TABLE 3

‘r-p-o-p-h-e-s-s-a-g-r’ AND ITS TRANSLATION

ST	TT
r-p-o-p-h-e-s-s-a-g-r	虫—廿—曰—乍—子—十—皿—虫
who	它们
a)s w(e loo)k upnowgath	此)刻正(在我)们 注视下聚
PPEGORHRASS	曰子乍虫廿皿虫十
eringint(o-	合成(为一
aThe):l eA !p	一个那个): 腾 起
S	! 跳:
(r	跃到
-gRrEaPsPhOs)	(了
to	到了到了。十乍廿子虫曰皿虫)
rea(be)rran(com)gi(e)ngly ,grasshopper;	重(变)新(成)组(为)合 , 草蚱蜢;

The comparison of the grammatical remarks about language-games in ST and TT shows the four types of ‘grasshopper’ in unconventional uses are translated into Chinese. A question may arise here: are the effect produced in the TT and the ST equivalent? As mentioned before, once the same language-game is played, the effects can look after themselves, that is, one subject would unsurprisingly respond to the ST and the TT in a similar way. For example, in the two expressions ‘gRrEaPsPhOs’ and ‘十乍廿子虫曰皿虫’, the language-game is representing a picture or a state of affairs, and their effect is thus visual iconicity. In this sense, it could be said that the poem ‘r-p-o-p-h-e-s-s-a-g-r’ is translatable.

B. Example 2: ‘mOOOn Over tOWns mOOOn’

The second example is titled ‘mOOOn Over tOWns mOOOn’ (CP 409; see Table 4). This poem is created primarily by deviating from the rules of capitalisation. In terms of linguistic features, in the first two stanzas, each letter ‘o’ is capitalised, while the remaining letters are lowercase. In the last stanza, in contrast, while each letter ‘o’ is lowercase, the other letters are capitalised. This poem is impossible to translate into Chinese at the level of typography.

To translate this poem, the first two steps are still to identify and describe the language-game in it. The content concerns the moon over the town, which gradually becomes smaller, and the moonlight fades. In terms of the form, Cummings draws a picture of a full moon, which is shown floating over towns, ‘slowly sprouting spirit’ (Friedman, 2019, p. 174). Given this, the language-game is described:

[o/O]

The letter has the shape of roundness and thus symbolises the round moon.

[Capitalised letters (e.g., O)]

Letters are larger than others, which symbolises emphasised objects.

With the goal of playing the same language-game in Chinese, a translation titled ‘日月月高悬于日月月镇上空’ is put forward (see in TABLE 4). The translation substitutes the Chinese character ‘月’ for the letter ‘o’ and employs the

typographic techniques of boldface and large font to distinguish ‘月’ from the other characters. Moreover, in this translation, ‘月’ is frequently used, and some Chinese characters, namely ‘明’ and ‘朗’, are dismantled into ‘日’ and ‘月’ as well as ‘良’ and ‘月’ respectively. As a result, a picture of the fading ‘月’ can be seen in this translation. The language-game in TT is described as:

[月]

The character is the ideograph of the moon (which is almost curved though), and thus symbolises the moon.

[Bolded characters with large font (e.g., 月)]

Characters are bolded and larger than others, which symbolises emphasised objects.

TABLE 4  
‘MOON OVER TOWNS MOON’ AND ITS TRANSLATION

ST	TT
mOOn Over tOWns mOOn whisper less creature huge grO pingness	日月月高悬于日月月镇上空 暗哑熔夜 生物的良月 然探索
whO perfectly whO fIat newly aOne is dreamest	月是无暇如是月 是轻盈的月是崭新孤独的月是 如梦如幻的月
oNLY THE MooN o VER ToWNS SLoWLY SPRoUTING SPIR IT	月唯有是日月月 镇上空的月 慢慢地移涌出精 神

Thus, it is concluded that the same language-game is played in the ST and the TT, and ‘mOOn Over tOWns mOOn’ is translatable. Although the translation fails to completely replicate the picture drawn in the ST (for example, the moon appears in the same position in the two texts), holistically, the two texts have the same theme: the gradual disappearance of the moon. It should be noted that the fact the theme of ST can be kept in TT depends on the fact the same language-game is played in the TT as in the ST.

### C. Example 3: ‘Buffalo Bill’s’

The third example is ‘Buffalo Bill’s’. The untranslatability of condensed words in this poem has been discussed in Section II. To address this problem, the first step is to provide an overview of the use of the condensed words ‘onetwothreefourfive pigeonsjustlikethat’. This poem describes a man called ‘Buffalo Bill’ who now is deceased. In this poem, Cummings reports that Buffalo Bill used to be skilled in marksmanship before his death. Graphically, the poet uses a visual metaphor of the rapidity of gunfire and this is the language-game played in this poem. The language-game is described as:

[onetwothreefourfive pigeonsjustlikethat]:

1. The layout is a straight line, which represents the trajectory of five bullets fired in succession.
2. Words are condensed and occupy less space or length than their conventional versions, which represents the short space between bullets, that is, the speed of the gunfire

To translate it, next, how is the same language-game played in Chinese? Unlike in *example 1* and *example 2*, the language-game played in ‘Buffalo Bill’s’ seems to be impossible to reconstruct with Chinese. It should be clear that it is contingently true that a language-game played in one language is reconstructed with another language. For instance, in *example 2*, because Chinese is a hieroglyphic language, the shape of ‘月’ happens to be similar to the moon, and this character can be used in the language-game to symbolise it; if a language does not share the characteristic, however, it is difficult to reconstruct the same language-game. In Wittgenstein’s terms, a language-game which occurs in one form of life to which a language corresponds (PI 19) may not occur in that of another. In this situation, is the poem deemed untranslatable?

In PI 122, Wittgenstein notes “a surveyable representation produces precisely that kind of understanding which consists in ‘seeing connections’. Hence the importance of finding and inventing *intermediate links*”. This remark could inspire a translator to *invent* the same language-game. There is a precedent for this. In translating the concrete poem ‘孤獨昆蟲學家的早餐桌巾’ (‘Breakfast Tablecloth of a Solitary Entomologist’) into English, Lee and Chan (2018, pp. 196-198) encountered a problem: it is not possible to replicate the idiosyncratic visual aspects of the poem. To solve this,

they have invented a language-game which has never been seen before: they use a non-linguistic material, Microsoft Excel, as the platform for their translation.

Following Lee and Chan, the same language-game played in ‘Buffalo Bill’s’ could be invented in Chinese. Since we need to play the language-game of representing rapid bullets, the technique of the velocity line from comic art is helpful, given that a concrete poem is also a picture. A translation is suggested (see Table 5) in which the strikethrough and double underlines are used as the velocity line to represent the fast movement of an object; italic characters represent the orientation of the object motion, and the Arabic numerals ‘12345’ rather than ‘一三四五’ represent the condensed words because, visually, Arabic numerals are more compact. In this way, a language-game is invented that is the same as the one played in the ST. Although the translation may look weird because the language-game is too new to be played, it reveals that the problem of translatability of ‘Buffalo Bill’s’ is possible to solve.

TABLE 5  
THE TRANSLATION OF ‘BUFFALO BILL’S’

TT	
野牛比尔	
卒	
	他曾
	骑着一匹风中毛发如银波荡漾的
良驹	
	连连击中 <del>12345</del> 只鸽子
	天呐
他曾如此飒爽英姿	
	现在我想
问问你	
你是有多喜欢这个蓝眼珠子的小伙儿	
死神先生	

## VI. CONCLUSION AND IMPLICATIONS

This paper explores the translatability of three of Cummings’s concrete poems, employing Wittgenstein’s conception of translation in his later philosophy of language. The study suggests that three of Cummings’s concrete poems can be translated into Chinese in the sense the language-game in each concrete poem can be played with Chinese by reconstruction or invention.

From the case study, there are three implications. First, a poem is commonly perceived as untranslatable due to the misconception of translation and language. From the perspective of Wittgenstein’s later philosophy of language, there is nothing behind the language to discover, and as he advises, ‘Don’t think, but look!’ (PI 66). Translating any kind of text means observing how the words operate, describing them grammatically and playing the same language-game in the TT as in the ST.

Second, the goal of playing the same language-game in the TT as in the ST affords a translator significant freedom. In other words, a translator is not invisible in Wittgenstein’s conception of translation in his later work. All translations in Section V are tentative. A language-game can be played in multiple ways, resembling the way that the rules governing mah-jong vary from one region to another in China. The translation put forward in this paper for each poem is one of the possibilities. In addition, in this sense of playing the same language-game, a translator cannot be identified as a transport worker of meaning anymore, but a (re)constructor or inventor of a language-game.

Third, the limits of translatability can be explained in a new context. Wittgenstein’s conception of translation in his later philosophy of language itself is not an ad-hoc approach to the untranslatability of Cummings’s concrete poetry. Given that Wittgenstein’s later philosophy is both a reversal and a continuation of his early *Tractatus* (Kuusela, 2019), his conception of language and translation would move beyond the limits of translatability based on the principle of equivalence, which presupposes the theory of correspondence or logical atomism. In the view of Wittgenstein’s later philosophy of language, a genre corresponds to a language-game. Poetry is the ordinary case of language (Robinson, 2010, p. 59), and in terms of language-game, it shares equal status with other genres such as reports, riddles and philosophy. Every language-game is open and public, and as a result, it is possible to be ‘transplanted’ into the form of life which the target language corresponds to through reconstruction or invention. In this sense, no text is untranslatable forever.

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# Factors Affecting Acceptance of Cloud-Based Computer-Assisted Translation Tools Among Translation Students

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**Abstract**—Translation technology is a fundamental aspect of the translation profession. Cloud-based computer-assisted translation (CAT) tools are becoming popular among translators because of their simplicity and usability. However, studies on the factors affecting the use of cloud-based CAT tools by translators and translation students are scarce. Therefore, this study explores the factors that influence the acceptance and use of such tools among translation students using the technology acceptance model (TAM). The hypothesized model is empirically validated using a survey of 181 participants. Using structural equation modeling, data analysis suggests that translation students' intention to use cloud-based CAT tools and their perceived usefulness are key adoption factors, while actual use is less significant. The simplicity of cloud-based CAT tools is also an important consideration, particularly for translation students with limited information technology experience. The implications for tool developers and translation instructors are discussed considering these findings.

**Index Terms**—Cloud-based CAT, TAM, technology acceptance, translation technologies, translation training

## I. INTRODUCTION

Computer-assisted translation (CAT) tools can be defined as “any type of computerized tool that translators use to help them perform their jobs” (Bowker, 2002, p. 6). These tools were developed to aid translators during the translation process. The first commercial CAT software was launched in the early 1980s by a U.S.-based company, Automated Language Processing Systems (ALPS). That system included multilingual word processing, electronic dictionaries, and a terminology tool (Hutchins, 2007). This software was followed by more advanced packages offering sophisticated functions and tools. With new advances, we are witnessing a shift toward cloud-based translation technologies to expedite the translation process and enhance collaboration (Rothwell et al., 2023; Tarasenko et al., 2022).

Although some studies have discussed the potential of cloud-based CAT tools (Malenova, 2019; Alotaibi, 2020; Han, 2020; Tarasenko et al., 2022) and explored attitudes toward their use (e.g., Tian et al., 2023; Lui et al., 2022; Rico & González Pastor, 2022), research exploring the factors influencing translators' acceptance and use of such technologies is limited (Moorkens, 2018; Olohan, 2011). According to Cheung and Vogel (2013), technology acceptance is a prerequisite for integration, particularly in teaching and learning. Hence, we must explore the factors that may influence students' intentions to use cloud-based CAT tools before incorporating them into translation training. Thus, this study aims to identify the factors that influence the acceptance and use of cloud-based CAT tools among translation students by employing the technology acceptance model (TAM) (Davis et al., 1989). The TAM is a well-established model used to predict the intention to adopt and use any new technology. The model is based on reasoned action theory (RAT) to explain computer usage behaviors (Fishbein & Ajzen, 1975) which was developed by Davis (1989). Since then, the model has been used in numerous studies conducted in instructional settings (Jeyaraj, 2022; Kim & Song, 2022; Luo et al., 2022; Şahin et al., 2022; Lu et al., 2019; Rossi & Chevrot, 2019).

For translator training, most TAM studies have focused on machine translation (MT) (e.g., Yang & Wang, 2019; Al-Marouf et al., 2020; Yang & Mustafa, 2022; Robert, 2021). However, few studies have examined cloud-based translation tools from an MT perspective. Thus, this study aimed to answer the following research questions: What factors influence the acceptance of cloud-based CAT tools?

Understanding the factors that influence translation students' acceptance and use of cloud-based CAT tools is essential to enhance their technological skills and prepare them for the demands of the translation industry. By identifying the factors that affect the perceived usefulness (PU) and perceived ease of use (PEU) of training programs, such programs can be developed to address barriers to adoption and more effective use of these tools can be promoted. The findings of this study can inform the development of more user-friendly and effective cloud-based CAT tools to meet the needs of translation students and professionals.

The following section presents a literature review of cloud-based CAT tools, the concept of technology acceptance, and relevant models.

## II. LITERATURE REVIEW

### A. *Cloud-Based CAT Tools*

Recent advances in translation technology have led to the effective integration of cloud-based CAT tools into the translation process, and there has been an increased demand for proficient translators with high-tech skills. Therefore, CAT courses are becoming an essential part of translation training programs at most universities (Bowker, 2002; Olohan, 2011). As cloud technologies gain popularity, there's been a rise in the use of cloud-based CAT tools among translators and translation trainees. These tools are more practical than computer-based systems because they do not require installation or work on multiple platforms. These tools also facilitate greater collaborative opportunities with various flexible licensing options (Tarasenko et al., 2022).

Cloud-based CAT tools typically integrate various features and functionalities designed to make the translation process more efficient and productive (Rothwell et al., 2023). Common features of cloud-based CAT tools include a translation memory (TM), that is, a database of previously translated segments that can be reused to improve consistency and efficiency; a terminology management system for managing and storing terminology to ensure consistency and accuracy in translations; an MT engine to provide suggestions for translations that can be edited and refined by human translators; collaboration tools to manage and share translation projects, including real-time collaboration, communication, and version control; quality assurance tools to ensure the quality and accuracy of translations, including spelling and grammar checkers, a consistency checker, and error detection; project management tools for managing translation projects, including scheduling, budgeting, and resource allocation; and reporting and analytics for tracking project progress, productivity, and quality metrics (Amelina et al., 2018; Alotaibi, 2020; Han, 2020; Mitchell-Schuitevoerder, 2020; Tarasenko et al., 2022).

Cloud-based CAT tools have the following advantages over computer-based tools.

- Accessibility: They can be accessed anywhere through an Internet connection, whereas computer-based CAT tools require software to be installed on a specific computer.
- Collaboration: This allows multiple users to simultaneously work on the same project, making collaboration easier and more efficient.
- Scalability: These tools can be easily scaled up or down based on project needs, whereas computer-based CAT tools are limited by the processing power of the computers on which they are installed.
- Automatic updates: These tools are automatically updated with the latest features and updates, whereas computer-based CAT tools require manual updates to be installed.
- Cost: They typically have a lower upfront cost as they do not require the purchase of hardware or software licenses. In addition, they are often subscription-based, allowing users to pay only for the features and services they require.

However, some of these advantages can be perceived as drawbacks (O'Brien et al., 2017; Gamal, 2020; Malenova, 2019). Cloud-based CAT tools require a stable internet connection to function properly. Slow or unreliable Internet connections can affect translators' performance and productivity. Security and privacy are other issues that might raise concerns, particularly with sensitive data because data are stored on external servers and accessed through the Internet. Another concern is related to cost. While cloud-based CAT tools can be cost-effective for smaller projects or occasional use, they can become more expensive for larger or ongoing projects, as users typically pay for monthly or annual subscriptions. Customizability is another drawback, as users may find cloud-based CAT tools less customizable than computer-based CAT tools because they are typically designed to be used by various users (O'Brien et al., 2017).

These issues must be considered when deciding whether to use cloud- or computer-based CAT tools. When deciding, it is important to weigh the advantages and disadvantages and consider various factors such as project size, budget, and security concerns.

Several recent studies have investigated the adoption of CAT tools by translators, whether computer- or cloud-based. The next section explores these studies to highlight the models used and the main findings.

### B. *Studies on CAT Tools Acceptance and Adoption*

Translators can use several theoretical models to investigate the adoption and use of cloud-based CAT tools. The unified theory of acceptance and use of technology (UTAUT) is one of the models that identify four key factors affecting technology adoption: performance expectancy (PE), effort expectancy, social influence, and facilitating conditions. It has been applied to investigate the adoption of technologies such as e-banking and government services. However, the use of this model to evaluate translation technology adoption is limited. In one of the few studies that addressed this area, Hui and Selamat (2023) investigated the individual adoption of a crowdsourcing translation platform. This study adds variables specific to crowdsourcing translation such as perceived value, individual innovation, network learning adaptability, and perceived risk. The results indicate that both crowdsourcing professionals and nonprofessionals have a strong willingness to use a highly integrated crowdsourcing platform.

Daems (2022) used UTAUT to study 155 Dutch literary translators. A survey was distributed among the participants to collect data on their background, education, and use and awareness of technology for translation, including both general technology and technology specifically developed for translation. This study investigated whether demographic factors such as date of birth, years of experience and education impact translators' use of technology. The findings revealed that, although most translators were aware of common translation technologies, they lacked awareness of



recent advances and the integration of functionalities into translation environment tools. In Daems's 2022 study, while 99% of respondents used general technology, only 18% utilized translation technology for literary translation; those trained in technology were more inclined to use it. Termbases and TM systems were perceived as more useful than MT. Respondents suggested that ideal translation technology should include a database of literary translations, easy access to resources, and ways to move beyond the sentence level. Existing technology limitations can hinder inspiration, and creativity, and relegate translators to a passive role. This study emphasized the need for personalized translation technologies and ongoing education in translation technology.

Estelles and Monzó (2015) argued that translation technologies are often imposed on translators by companies, institutions, agencies, or the market's demand which might, among other factors, explain why CAT tools are unevenly used and appreciated by professionals. The researchers used the UTAUT to evaluate the acceptance of CAT tools among translators and language specialists, measured using behavioral intention (BI) as a dependent variable. They found that the actual use (AU) of CAT tools was the most significant factor influencing translators' acceptance, with PE being the highest predictor of acceptance. Ease of use, academic partnerships, and training programs were significant in determining BI to use CAT tools. Self-determination (SD) is an important construct in this model, with extrinsic motivators being more important than intrinsic motivators. The communication capabilities of CAT tools improve relationships with other agents; however, playfulness was not considered a significant factor. This study suggests that software developers should focus on productivity and ease of use to better cater to the needs and wants of professional translators. The significance of SD for translators also highlights the need for further research into managerial styles and techniques that can improve motivation and autonomous behavior (Estelles & Monzó, 2015).

The TAM (Davis, 1989; Davis et al., 1989) is a popular approach for exploring factors affecting technology adoption to understand user behavior toward a particular technology. The model indicates that, when a user is presented with a new system or tool, several factors influence their decisions regarding the manner and when to use it. The TAM focuses on several factors, such as:

- A PU is a potential user's belief that the use of a certain technology will enhance their performance.
- The PEU is the extent to which a potential user expects the target technology to be easy to use.
- BI, namely, the user's intention or willingness to use technology, is influenced by their attitude (AT) toward use and PU.
- AU, namely, users' actual behavior in using technology, is influenced by their BI and external factors such as the availability of resources and support.

Several studies have used TAM to evaluate translation technologies with a focus on MT (Yang & Wang, 2019; Al-Marouf et al., 2020; Yang & Mustafa, 2022; Robert, 2021). Few studies have examined the adoption of CAT tools from the TAM perspective.

Sam et al. (2015) investigated the adoption of CAT tools by government translators using the TAM with two antecedents: perceived efficiency requirements (PER) and perceived repetition rate (PRR). This study found that PRR had a significant positive impact on the PU of the CAT tools, whereas PER did not. The PEOU of CAT systems was also found to have a significant positive impact on the PU of the systems, which in turn had a significant positive impact on the BI to adopt these tools. However, the BI's adoption of CAT systems has a significantly negative impact on the AU of such systems. The study also found that experience had a significant negative impact on translators' BI in adopting CAT tools. However, because of the study's limited sample size and focus on government translators, it is difficult to generalize these findings.

In the academic context, Sil-Hee (2019) investigated the acceptance of CAT tools by instructors and students in a postgraduate translation and interpreting (T&I) program in Korea. This study involved redesigning a training program to incorporate CAT technology into translation classrooms. The researcher also explored the students' and instructors' perceptions of CAT tools and their technological acceptance. The overall findings indicated positive responses from students; however, their responses to IU and PU were higher than those of PEU and AT toward CAT tools. The researcher linked these findings to students' technical competence and encouraged CAT tool designers to consider varying levels of IT skills among translators and to design tools that are user-friendly and accessible to all users, regardless of their IT proficiency.

Dianati et al. (2022) used TAM to examine the factors contributing to the adoption of T&I technologies by 21 university instructors in Australia. Despite the small sample size, researchers found that the frequency of technology use among instructors has a significant impact on their intention to use such technologies in the future. However, their experience in teaching and using these technologies did not significantly affect their future use. Instructors who held favorable views of T&I technologies tended to recommend them to others because they believed that these tools improved job performance accuracy, job security, and overall employment market advantages. Nonetheless, the instructors in this study encountered certain difficulties when using T&I technologies, such as output accuracy and software lifespan. Despite these challenges, instructors who perceived T&I technologies as useful expressed their intentions to continue using them. Despite these interesting findings, the researchers acknowledged several limitations, including the small sample size, caution in generalizing the results outside Australia, the use of non-uniform ranking scales, and a lack of clear distinction between T&I technologies in the research design.

Few studies have attempted to evaluate the usefulness and usability of cloud-based CAT tools among translators and translation students (e.g., Tarasenko et al., 2022; Alotaibi, 2020; Herget, 2020).

Alotaibi (2020) examined the usability of cloud-based CAT tools among Arab translators using a software usability measurement inventory (SUMI) survey. The elements of efficiency, affect, usefulness, control, and learnability were evaluated by 42 translators. The researcher found that global usability was above average. Affect and efficiency received the highest scores, whereas helpfulness and learnability received the lowest. The researcher advised developers to improve the usability and learnability of cloud-based CAT tools and emphasized the need for enhanced Arabic language support. This study also emphasizes the need to prioritize ease of use and intuitive interfaces with clear instructions and access to support resources. In addition, designers should consider incorporating features that can help bridge the gap between varying IT skill levels, such as interactive tutorials and contextual help features. Designing accessible and user-friendly CAT tools will increase their adoption, ultimately improving the efficiency and quality of the translation process.

Tarasenko et al. (2022) asked 67 translation students to evaluate the usefulness of the individual functions of a cloud-based CAT tool using a 5-point scale. The results indicated highly favorable rates for all functions, such as source text review during translation, display of full matches, display of fuzzy matches, and integration with the MT system. Researchers have recommended the use of these tools as core components of cloud-based environments to enhance translation training. However, this study overlooked the factors affecting the adoption of these tools among students and how these factors affected students' intentions to use them in the future and after graduation.

Herget (2020) also investigated cloud-based CAT tools, and Memsource and MemoQ were utilized among master's students to facilitate collaborative and problem-solving strategies in real-world scenarios. The researcher explored the implementation of these systems in a language classroom, using a problem-based learning (PBL) approach. According to Herget (2020), the project management activities provided by these tools provide students with hands-on experience and an understanding of a translation project's workflow. He suggested that using CAT tools in a language classroom with PBL teaching approaches could improve students' linguistic proficiency and create transversal competencies. However, the factors that affect students' adoption of CAT tools have not yet been discussed.

This review highlights a clear gap in the literature, particularly regarding the acceptance of cloud-based CAT tools. Thus, this study is significant because it aimed to identify the factors that influence the acceptance and use of cloud-based CAT tools among translation students. Understanding these factors is crucial to enhancing students' technological skills and preparing them for the demands of the translation industry. Addressing barriers to the adoption and promoting the effective use of these tools through targeted training programs can help students gain confidence in using CAT tools. The findings of this study can inform the development of effective cloud-based CAT tools that cater to the needs of translation students and professionals.

### III. MATERIALS AND METHODS

#### A. Research Model and Hypotheses

This study analyzed the factors influencing the intention to use and acceptance of cloud-based CAT tools among translation students. The TAM was used as the research model and included the following variables:

- BI is an individual's willingness to use a cloud-based CAT tool.
- PU is the extent to which a cloud-based CAT tool is perceived to be beneficial.
- The PEU is the degree to which a cloud-based CAT tool is perceived as easy to use.
- AU, the extent to which a cloud-based CAT tool is used,
- Subjective norm (SN), namely, the extent to which translation students perceive that others, such as instructors, support the use of cloud-based CAT tools.
- IT skills, namely, translation student expertise in IT.

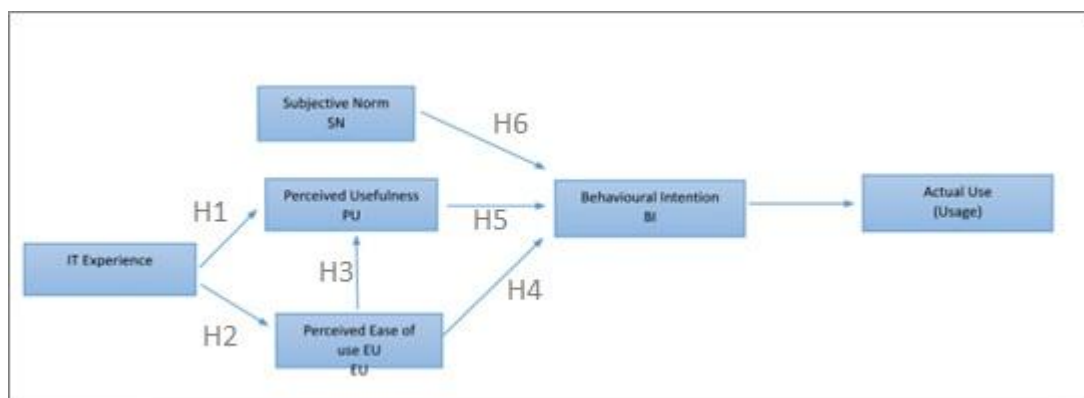


Figure 1. Depicts the Research Model and the Research Hypotheses

- H1: IT experience has a positive and substantial effect on the PU of cloud-based CAT tools.
- H2: IT experience has a positive and substantial effect on the PEU of cloud-based CAT tools.
- H3: PEU has a positive and substantial effect on the PU of cloud-based CAT tools.
- H4: PEU has a positive and significant effect on BI when cloud-based CAT tools are used.
- H5: PU has a positive and significant effect on BI when cloud-based CAT tools are used.
- H6: SN has a positive effect and significant impact on BI when using cloud-based CAT tools.

### B. Data Collection

An online survey was distributed through social media channels to undergraduate students from several Saudi universities (N = 181). The first section of the survey gathered the necessary data on the participants' demographic information such as age, level, and familiarity with cloud-based CAT tools. The second section includes statements related to the constructs of the TAM and hypotheses. The participants were instructed to indicate their agreement using a 5-point Likert scale. The questionnaire was reviewed by an expert with over ten years of experience in a related field. The questionnaire was administered to a group of translation students (20 participants). The clarity and readability of the questions were tested, the time required to complete the survey was assessed, and any potential biases or sources of confusion were eliminated.

## IV. DATA ANALYSIS AND RESULTS

SPSS 19 statistical tool was used to perform a missing value analysis test on the dataset. Table 1 displays the results of the univariate statistics generated, which indicated that there were missing cases among the 181 cases analyzed; with IT experience and AU, however, there were no missing cases. In addition, the dataset was free of outlying responses, which are responses that are either inconsistent or particularly dissimilar to the rest of the dataset and have notably larger or smaller values. A test for detecting univariate outliers was also conducted using the SPSS 19 statistical tool, and Z-scores were derived by interpreting the presence of probable outliers. The Z-scores for all attributes were lower than four, indicating that there were no outlying responses. Consequently, the dataset was approved for the next stage of analysis.

TABLE 1  
UNIVARIATE STATISTICS

	N	Mean	SD	Missing		No. of Extremes	
				Count	Per cent	Low	High
PUS1	177	4.1299	.93545	4	2.2	8	0
PUS2	177	3.9209	.96793	4	2.2	0	0
PUS3	177	4.1638	.97190	4	2.2	8	0
PUS4	177	4.0000	.80482	4	2.2	10	4
PUS5	177	3.7006	.89547	4	2.2	4	0
PUS6	177	3.4859	.88618	4	2.2	3	0
PUS7	177	3.7571	.86127	4	2.2	3	0
PEU1	177	3.6441	1.00729	4	2.2	4	0
PEU2	177	3.3898	1.02830	4	2.2	4	0
PEU3	177	3.8136	.97947	4	2.2	0	0
PEU4	177	3.6271	.90889	4	2.2	2	0
SN1	177	4.1073	.96224	4	2.2	7	0
SN2	177	4.1017	1.01738	4	2.2	7	0
SN3	177	4.1582	.95813	4	2.2	8	0
BI1	177	4.2260	.91998	4	2.2	5	0
BI2	177	4.2260	.91998	4	2.2	5	0
BI3	177	4.0339	.94085	4	2.2	6	0
ITE	181	3.3370	.76899	0	2.2	3	0
AU	181	2.8287	.72146	0	2.2	0	2

### A. Normality Tests of Variables

Table 2 presents the results of testing the dataset for a non-normal distribution, which involved computing the Kolmogorov-Smirnov statistics, kurtosis, and skewness values to interpret the distribution type. The test revealed statistically significant Kolmogorov-Smirnov values for all attribute items.

TABLE 2  
ONE-SAMPLE KOLMOGOROV-SMIRNOV TEST

Items	N	Normal parameters		Most extreme differences			K-S	Sig
		Mean	SD	Absolute	Positive	Negative		
PUS1	177	4.1299	.93545	3.1299		-3.1299	.292	.000
PUS2	177	3.9209	.96793				.278	.000
PUS3	177	4.1638	.97190	2.9209		-2.9209	.257	.000
PUS4	177	4.0000	.80482	3.0000		-3.0000	.308	.000
PUS5	177	3.7006	.89547	2.7006	1.2994	-2.7006	.219	.000
PUS6	177	3.4859	.88618	2.4859		-2.4859	.279	.000
PUS7	177	3.7571	.86127	2.7571		-2.7571	.221	.000
PEU1	177	3.6441	1.00729	2.6441		-2.6441	.231	.000
PEU2	177	3.3898	1.02830	2.3898		-2.3898	.198	.000
PEU3	177	3.8136	.97947				.231	.000
PEU4	177	3.6271	.90889	2.6271		-2.6271	.230	.000
SN1	177	4.1073	.96224	3.1073		-3.1073	.252	.000
SN2	177	4.1017	1.01738	3.1017		-3.1017	.257	.000
SN3	177	4.1582	.95813	3.1582		-3.1582	.254	.000
BII	177	4.2260	.91998	3.2260		-3.2260	.263	.000
BI2	177	4.2260	.91998	3.2260		-3.2260	.263	.000
BI3	177	4.0339	.94085	3.0339		-3.0339	.271	.000
ITE	181	3.3370	.76899	2.3370		-2.3370	.308	.000
AU	181	2.8287	.72146				.310	.000

### B. Descriptive Analysis for Respondent Profile

Table 3 displays the profiles of all the respondents, including their age distributions. The largest number of respondents ( $n = 176$ ) belonged to the 17–24 age group. Table 3 also provides information on the respondents' nationality, experience, and occupation, which vary across various levels. Saudi Arabia had the largest number of respondents ( $n = 175$ ). The most common occupation was translation ( $n = 172$ ). Finally, most respondents had 1–5 years of experience ( $n = 142$ ).

TABLE 3  
RESPONDENT PROFILE

Category	Values	Frequency	Percent
Age	under 17	0	0
	17–24	176	97.2
	25–29	4	2.2
	30–39	1	0.6
	40–49	0	0
	50–59	0	0
	Over 59	0	0
	Total	181	100
Nationality	Saudi	175	96.7
	Non-Saudi	6	3.3
	Total	181	100
Occupation	Translator	9	5.0
	Translation student	172	95.0
	Translation instructor	0	0
	Other	0	0
	Total	181	100
Experience	Less than 1 year	28	15.5
	1–5 years	142	78.5
	6–10 years	10	5.5
	More than 10 years	1	.6
	Total	181	100

### A. Descriptive Analysis for Variables

Table 4 presents the descriptive statistics for each item in the constructs. According to the results, the most highly rated attribute among the variables was BI, with an average mean of 4.19 (standard deviation [SD] = .87633; variance = .768). SN was the next most highly rated, with an average mean of 4.13 (SD = .70004; variance = .856). PU received a slightly lower rating with a mean of 3.9 (SD = 1.379; variance = .490), followed by PEU with a mean of 3.75 (SD = .85085; variance = .724). IT experience came next, with a mean of 3.34 (SD = .76899; variance = .591). AU was the lowest, with a mean of 2.83 (SD = .72146; variance = .521).

TABLE 4  
DESCRIPTIVE STATISTICS

Items	N	Mean	SD	Variance
	Statistic	Statistic	Statistic	Statistic
PUS1	177	4.1299	.93545	.875
PUS2	177	3.9209	.96793	.937
PUS3	177	4.1638	.97190	.945
PUS4	177	4.0000	.80482	.648
PUS5	177	3.7006	.89547	.802
PUS6	177	3.4859	.88618	.785
PUS7	177	3.7571	.86127	.742
Average PUS	181	3.9006	.70004	.490
PEU1	177	3.6441	1.00729	1.015
PEU2	177	3.3898	1.02830	1.057
PEU3	177	3.8136	.97947	.959
PEU4	177	3.6271	.90889	.826
Average PEU	181	3.7459	.85085	.724
SN1	177	4.1073	.96224	.926
SN2	177	4.1017	1.01738	1.035
SN3	177	4.1582	.95813	.918
Average SN	181	4.1271	.92519	.856
BI1	177	4.2260	.91998	.846
BI2	177	4.2260	.91998	.846
BI3	177	4.0339	.94085	.885
Average BI	181	4.1934	.87633	.768
ITE	181	3.3370	.76899	.591
AU	181	2.8287	.72146	.521

### B. Reliability Test

To assess the consistency of the attributes comprising the proposed model, Cronbach's  $\alpha$  was measured as a reliability test for the survey instrument. The model consisted of four constructs. The results of the reliability test, as shown in Table 5, revealed that all four attributes in the model exhibited high reliability, ranging between 0.85 and 0.95. After establishing the reliability of the model, we investigate the impact of PU, PEU, and social approval on BI using SEM.

TABLE 5  
RELIABILITY TEST

Constructs	Sample	Items	Cronbach's $\alpha$	Reliability
Perceived usefulness	181	7	.862	High
Perceived ease of use	181	4	.859	High
Subjective norm	181	3	.937	High
Behavioral intention	181	3	.908	High

### C. Validity and Reliability Analysis for Variables

The open data measurement model's overall construct validity was confirmed by calculating the average variance estimates (AVE) and composite reliability (CR) values for all latent variables, which were above 0.7 (see Table 6). The diagonal of the matrix in Table 6 shows that all AVE values were satisfactory, above 0.5. The squared correlations below this diagonal represent the paired correlations for the corresponding latent variable pairs. The paired correlations were lower than the corresponding AVE values, which is a positive indicator of the model, except for SN and BI. Therefore, the conditions for confirming discriminant and convergent validity were met with PU and PEU, validating the open-data measurement model's overall construct validity.

TABLE 6  
AVE AND CR VALUES

Latent variables	CR values	PUS	PEU	SN	BI
Perceived usefulness	0.841	<b>0.742</b>			
Perceived ease of use	0.864	.310**	<b>0.841</b>		
Subjective norm	0.937	.254**	.240**	<b>0.942</b>	
Behavioral Intention	0.909	.513**	.324**	.180*	<b>0.920</b>

### D. Statistical Estimates for the Structural Model

Next, the hypothesized relationships between the latent variables in the measurement model are introduced, and the fit statistics for the structural model are presented in Table 8. This study established hypotheses to examine the acceptance of cloud-based CAT tools among translation students, supported by collected data. The Chi-square value for the model was significant at 276.680 ( $p = 0.000$ ) with 139 degrees of freedom. However, other fit indices, such as the

comparative fit index (CFI), goodness of fit index (GFI), adjusted goodness of fit index (AGFI), and root mean square error of approximation (RMSEA) were well aligned with their recommended values, and the normed fit index (NFI) value was equal to 0.877. The measurement and structural models both demonstrated a good model fit, and the large sample size (n = 181) used for the SEM made the significant Chi-square value acceptable for this model.

Table 8 indicates that the model has two endogenous and three exogenous latent variables. BI explained 53.7% of the variance (squared multiple correlations (SMC) = 0.537), PU explained 28.6% (SMC = 0.286), PEU explained 12.8% (SMC = 0.128), and AU explained 2.2% (SMC = 0.22). The SMC values reported in this study contributed to an acceptable level of predictability for the structural model used with an adjusted R2 value of 0.40 or was considered acceptable. The only exception was AU, for which the R2 value was < 0.40. The results of the SEM indicate that PU ( $\beta = 0.767, p = 0.00$ ) has a significant effect on BI; in contrast, PEU ( $\beta = 0.017, p = .832$ ) and SN ( $\beta = 0.052, p = .323$ ) are not predictors of BI to use cloud-based CAT tools. PEU is affected by IT experience ( $\beta = 0.387, p = 0.00$ ). IT experience does not affect perceived usefulness ( $\beta = -.066, p = .396$ ). There is a significant relationship between PEU and PU ( $\beta = 0.518, p = 0.00$ ). Finally, there is a significant relationship between BI and AU ( $\beta = 0.131, p = .05$ ).

TABLE 7  
STATISTICAL ESTIMATES FOR THE STRUCTURAL MODEL

Independent and dependent variable relationships	Dependent variables	Estimates		
		B	CR.	P
Perceived ease of use	IT experience	.387	4.702	***
Perceived usefulness	IT experience	-.066	-.849	.396
Perceived usefulness	Perceived ease of use	.518	6.174	***
Behavioral Intention	Subjective norm	.052	.988	.323
Behavioral intention	Perceived usefulness	.767	7.508	***
Behavioral intention	Perceived ease of use	.017	.213	.832
Actual use	Behavioral intention	.131	1.951	.051
R2 for Perceived usefulness		.286		
R2 for Perceived ease of use		.128		
R2 for Behavioral intention		.537		
R2 for Actual use		.022		
Chi-square ( $\chi^2$ )		276.680		
Probability level		.000		
Degrees of freedom		139		
CMIN/df ( $\chi^2$ /pdf)		1.991		
Comparative fit index, CFI		.934		
Goodness of fit, GFI		.859		
Adjusted goodness of fit, AG FI		.808		
Normed fit index, NFI		.877		
Root mean square error of approximation, RMSEA		.074		
Sample size		181		

The SEM model is shown in Figure 2 showing the analysis results.

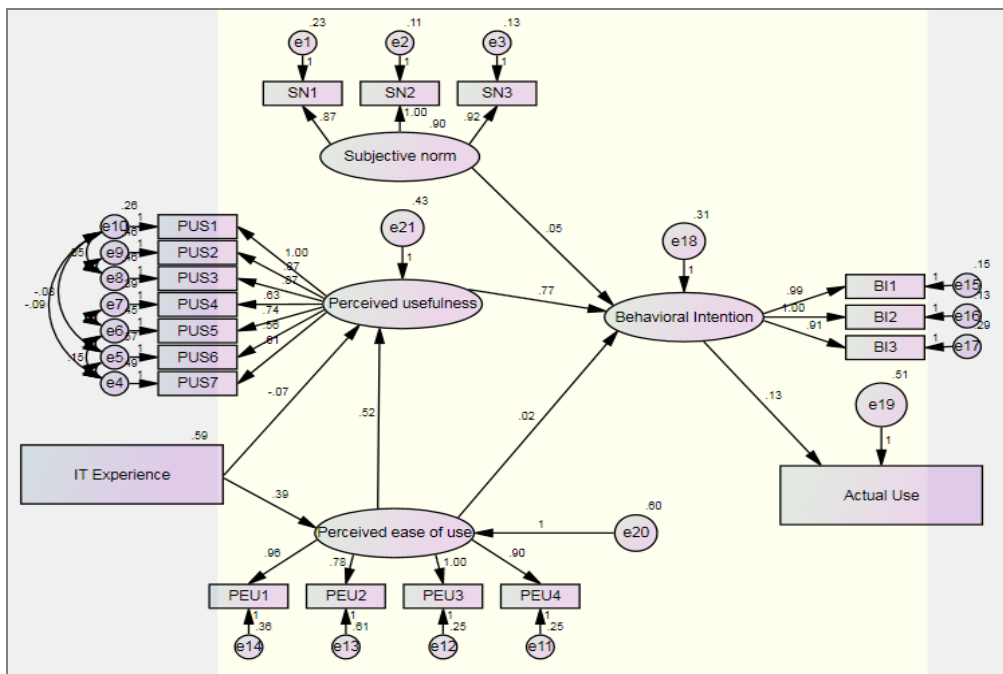


Figure 2. SEM Model

Finally, the hypothesis test results are shown in Table 8.

TABLE 8  
HYPOTHESES TEST RESULTS

Research Hypothesis	Results
H1: IT experience has a positive effect and substantial impact on the PU of cloud-based CAT tools.	Rejected
H2: IT experience has a positive effect and substantial impact on the PEU of cloud-based CAT tools.	Supported
H3: PEU has a positive effect and substantial impact on the PU of cloud-based CAT tools.	Supported
H4: PEU has a positive effect and great impact on the BI to use cloud-based CAT tools.	Rejected
H5: PU has a positive effect and great impact on the BI to use cloud-based CAT tools.	Supported
H6: SN has a positive effect and great impact on the BI to use cloud-based CAT tools.	Rejected

## V. DISCUSSION

This study investigated factors affecting the use of cloud-based CAT tools among translation students. SEM was used to analyze the data and examine the relationships between different variables.

The findings described in the previous section indicate that the BI variable, which refers to an individual's willingness to use cloud-based CAT tools, explains the highest amount of variance (53.7%). This finding suggests that the intention to use cloud-based CAT tools is a crucial factor in determining whether a translation student will adopt the technology. This construct is important because it reflects an individual's motivation and commitment to using technology, which can highly impact actual user behavior. In other words, if students have a positive AT toward using cloud-based CAT tools and are motivated to use them, they are more likely to adopt them. These findings are broadly consistent with those of previous studies that examined the factors that influence technology adoption. Pedagogically, these findings have important implications for translation instructors attempting to promote the adoption of cloud-based CAT tools by translation students. To increase BI, they should focus on demonstrating the benefits of the tools to students and highlight their usefulness in improving translation quality and efficiency. They should also work on creating a positive AT toward the use of these tools among their students through training and education programs that emphasize the value of cloud-based CAT tools in the translation process.

PU, which refers to the extent to which a tool is perceived as beneficial, explained 28.6% of the variance, making it the second-most important factor. Translation students are more likely to use a tool if they believe that it will be useful in their work. This confirms other findings on translation technology adoption (e.g., Al-Marouf et al., 2020; Sam et al., 2015). These findings have important implications not only for tool developers but also for translation instructors who are attempting to promote the adoption of cloud-based CAT tools among translation students. To increase PU, researchers should focus on demonstrating how these tools can improve translation quality and efficiency. This could involve providing training and education programs that show students how to use the tools effectively and highlight the benefits of using these tools in terms of saving time, increased accuracy, and improved translation quality.

PEU, the degree to which a tool is perceived as easy to use, explained 12.8% of the variance. This suggests that the ease of use of cloud-based CAT tools is an important consideration for translation students, although it is less important than the PU or BI. The impact of PEU on translation technologies has also been confirmed in other studies (Yang et al., 2019; Al-Marouf et al., 2020). These findings highlight the importance of user experience and usability in technology adoption and encourage tool developers and providers to prioritize usability and user experience when designing cloud-based CAT tools. By making these tools as intuitive and as easy to use as possible, developers can reduce barriers to adoption and increase the likelihood of translation students using them. However, PEU is less significant than PU and BI in influencing translation students' adoption of cloud-based CAT tools. This suggests that although ease of use is an important consideration, it should not be the only focus of tool development efforts. Rather, developers should focus on demonstrating the benefits of these tools and fostering positive AT toward their use among potential users.

The AU, which refers to the extent to which a tool is used, explained only 2.2% of the variance. This suggests that AU is not a major factor in determining whether translation students will adopt cloud-based CAT tools. In other words, making a tool available to users is insufficient to ensure its adoption, suggesting that translation instructors should not focus solely on increasing the AU of these tools but should rather focus on promoting their PU, BI, and ease of use among potential users. These findings highlight the importance of addressing attitudinal and motivational factors such as PU, BI, and ease of use in promoting technology adoption.

The analysis showed that PU has a significant effect on BI, indicating that translators are more likely to use a tool if they believe it will be useful, which is generally consistent with the findings of other TAM studies. However, these findings also show that PEU and SN were not significant predictors of BI when a specific cloud-based CAT tool was used. These findings are unexpected, as these factors are important predictors of translation technology adoption in previous TAM research (e.g., Rossi & Chevrot, 2019; Estelles & Monzó, 2015). Thus, these findings may be specific to the context of cloud-based CAT tools and may not be generalizable to other types of translation technologies. This finding implies that demonstrating the usefulness of cloud-based CAT tools to potential users should be prioritized over focusing on ease of use or social norms.

The findings revealed that IT experience affects PEU, suggesting that students with more experience in using technology may find cloud-based CAT tools easier to use because they may be more familiar with the technology and

the process of using it. Consequently, translation instructors and curriculum designers must consider providing training and education programs tailored to the level of IT experience of their target audience to ensure that these programs are effective and accessible to all students. Another implication can be linked to Alotaibi's (2020) and Sil-Hee's (2019) recommendations for CAT tool developers to further improve the helpfulness and learnability attributes of these tools and enhance translators' experience and satisfaction levels.

However, the results indicate that IT experience does not affect PU, suggesting that simply having experience with technology may not be sufficient to convince translation students of the value of these tools. Rather, the benefits of cloud-based CAT tools and how they can improve the quality and efficiency of translation work should be emphasized to increase the perceptions of usefulness among translation students.

The results revealed a significant link between PEU and PU, suggesting that if translation students perceived cloud-based CAT tools as easy to use, they were more likely to perceive them as useful for achieving their goals. The finding resonates with findings from previous studies (e.g., Estelles & Monzó 2015; Sam et al., 2015). This finding has important implications for tool developers and providers, as they should focus on improving the usability and user experience of these tools, reducing barriers to adoption, and increasing the likelihood that translation students will perceive them as easy to use (Alotaibi, 2020).

Finally, the findings indicated a significant relationship between BI and AU, highlighting the importance of understanding the factors influencing the adoption of cloud-based CAT tools among translation students. Adoption rates can be increased by focusing on fostering a positive AT toward these tools and increasing BI among potential users, which can enhance the quality and efficiency of translation work among students.

## VI. CONCLUSION

In this study, we explored the factors that influence the acceptance and use of cloud-based CAT tools among translation students, using the TAM as a theoretical framework. This study aimed to identify the factors that affect the adoption of these tools.

The study was conducted using a survey of 181 translation students, and the data were analyzed using SEM. The results showed that the intention to use cloud-based CAT tools and their PU were the most important factors in determining whether translation students would adopt these tools. Ease of use of cloud-based CAT tools is also an important consideration, particularly for translation students with limited IT experience.

The findings of this study have important implications for tool developers and providers attempting to promote the adoption of cloud-based CAT tools among translation students. This study suggests that translation instructors should focus on demonstrating the usefulness of these tools and the manner in which they can improve the quality and efficiency of translation. However, tool developers should focus on improving the usability and user experience of these tools to reduce barriers to adoption and increase the likelihood that translation students will perceive them as easy to use.

Although this study provides valuable insights into the factors that influence the adoption of cloud-based CAT tools among translation students, it has several limitations. First, the sample of 181 participants may not be representative of the entire population of translation students. Larger sample sizes may have provided more robust and generalizable results. Furthermore, this study was conducted in Saudi Arabia, which limits the generalizability of the findings to other countries and regions. Cultural and contextual differences may affect the acceptance and adoption of cloud-based CAT tools differently. Future studies could address these limitations using larger sample sizes, incorporating qualitative data, and longitudinal designs to examine changes in attitudes and behaviors over time.

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# A Visual Analysis of Male Characters in Disney Animated Movies

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**Abstract**—This study investigates the visual features of male characters of nine Disney animated movies taken from the last three decades 1990-1999, 2000-2009 and 2010-2019. Aley and Hahn's (2020) framework of men's portrayal (developed from Goffman, 1976) is applied. The qualitative analysis reveals that the physical appearance of Disney male characters has changed over time. Body image changed from an unrealistic large body with big muscles to a realistic body type with logical body proportions. Heroes started to be seen as powerful gentlemen rather than heroes with physical strength. Moreover, the heroes, especially in third decade, no longer depended on their physical attire to reflect their ranks. This shift may indicate a change of how people tend to see heroes. In term of masculine touch, male characters used to touch their female companions in a controlling manner. However, in the second and third decade, their touch started to change to protection rather than control. Finally, eye withdrawal remained the same over time because men withdrew their eyes for reasons connected to man's nature and feelings.

**Index Terms**—Disney, gender, males' physical appearance, multimodality

## I. INTRODUCTION

The study applies a qualitative analysis to male Disney characters in Disney animated movies. It traces the evolution of male Disney characters' visual features over the last three decades: 1990-1999, 2000-2009 and 2010-2019. Hence, nine Disney animated movies (three movies from each decade) are analyzed qualitatively. It is worth mentioning that in these movies, the main characters are females while the male characters generally have smaller roles.

Aley and Hahn's (2020) framework of men portrayal (based on Goffman, 1979) is adopted to examine the male characters' visual features. Thus, the present study addresses how they are physically portrayed with reference to body shape and other visual aspects.

### A. Animation and Disney

*Animate* as a word came from Latin *animatus*. When English borrowed it, it was given the meaning of 'liveliness' (Spencer, 1973, p. 454). However, the history of *animation* has started much earlier than cinematography which refers to motion photography of pictures where sequential real images are used to produce motion pictures (Spencer, 1973).

McLaughlin (2001) pointed out that 'stroboscopic' (an instrument for studying body motion) was introduced to study modern animation in 1833 and this, in turn, developed the basis of cinematography afterwards. Then, in 1920, several cinematic techniques were developed in animation, e.g. stop-motion and drawn animation (Lenburg, 2009). Perhaps, the most prominent animation technique in the 20<sup>th</sup> century was the *traditional animation* (Lenburg, 2009). However, to cope with the latest developments, Masson (1999) maintains that even cinematography has been digitalized and thus, computer animation gained more popularity as it produces three-dimensional pictures, compared to the traditional two-dimensional motion-picture<sup>1</sup>. On the other hand, animation differs from cartoon in that the latter is often a two-dimensional non-realistic drawing used as a motion-picture, whereas, animation is usually a three-dimensional motion picture (Walasek, 2009).

Gabler (2007) pinpoints that Walt Disney started his drawn animation experiments in his parent's garage in the late 1920s and finally he developed his famous character, Mickey Mouse. Nevertheless, Thomas (1958) stated that it is the movie *Snow White and the Seven Dwarfs* that had revolutionized Disney's animated films in 1937. Accordingly, Disney as a company started producing more feature-length animations. *Alice in Wonderland*, *Cinderella*, *Sleeping Beauty*, *Peter Pan*, *Lady and the Tramp*, were all successful Disney classics that were produced in 1950s. According to Gabler (2007), despite Walt Disney's death in 1966, the production company did not stop producing box-office successful animated movies.

<sup>1</sup> "In traditional 2D animation, everything was hand-drawn, frame by frame. In 3D animation, you animate your characters and objects in a 3D environment using 3D animation software to manipulate these characters and objects. While drawing is an added benefit, it is not a necessity in 3D animation" (Jones, The differences between 2D and 3D animation). Where can oe find this reference?

While some production companies kept producing movies with certain themes that targeted certain audiences, Disney responded to audiences' desires. Thus, Disney animations became suitable for all age groups, not just children (Wasko, 2013, p. 212).

Having provided a good account of Disney and Animation, we now address *multimodality* due to its importance in any analytical study of animation movies.

### B. Research Questions

The study provides a visual analysis of characters in Disney animated movies throughout 1990-2020. The study also reveals the changes in the visual features of these characters over time. Thus, the study seeks answers to the following research questions:

1. What visual features do male characters in Disney animated movies have?
2. Have these visual features changed over time? If yes, how?

## II. LITERATURE REVIEW

Recent gender and language studies have adopted multimodal analyses. Tsakona (2008) examined the multimodal theory of humor in language and image interaction of cartoons. The study aimed to show that cartoon's humor is not easy to be fully understandable all the time, so the audience should notice all verbal and visual details of every cartoon. The general theory of verbal humor (GTVH) framework of analysis was used. Special attention was given to contradictions, exaggerations, and metaphors such as humorous mechanisms and the hyper-determination of humor which seemed to be the result of verbal and visual interactions. The analysis showed that the visual mode's non-linearity<sup>2</sup> and its inherent potential resulted more in complex messages which were not that easy or possible to deliver the verbal mode without missing the joke's meaning. Certain verbal mechanisms were usually combined with specific visual mechanisms, such as the puns that were usually applied to the literal and metaphorical meaning of a word/phrase.

Hibbeler (2009) shed light onto the representations of male characters and representations of masculinity in Disney animated feature films. She suggested that Disney films did not appear to be making progress toward more accurate and positive representations of male characters. Male heroes and major characters were presented as youthful, skinny, sexually and romantically involved, assertive, and with family patterns not frequently seen in society. These male character depictions are quite stereotypical in nature, and they may not offer young males with healthy role models for gender development. It is worth mentioning here that Hibbeler's study was based on 22 films that covered a very broad period (1930-2007). In spite of the fact that some of the selected films cover the first and second periods of our study, it is important to include films from the last decade (2010-2020) since the technological and social revolutions that the world has witnessed changed a lot of people's perceptions of many things including gender roles (cf. Etzkowitz et al., 2010).

Wahyuningsih (2018) conducted a study on students at Stain Kudus, Indonesia (age not mentioned). The results revealed that women were politer and used expressive gestures in their speech by moving their faces, hands, and other parts of bodies, while men used fewer gestures.

Gendered power depictions in movie posters were addressed by Aley and Hahn (2020). The researchers stated that mass media were often explicit in their portrayal of society's gender expectations. For instance, when it comes to portraying social weight, males were shown as more confident and authoritative while women were more commonly shown as naive and quiet. The researchers carried out a content analysis of the gendered power depictions in movie posters of 152 popular American animated children's feature films which covered a period of 80 years. The study revealed that main characters were mostly males who were portrayed as more powerful. When it comes to the portrayal of gender roles in popular cultures, Goffman (1976, 1979; cited in Aley & Hahn, 2020) stated that media portrayals of men and women are not based on reality, but on what society wants us to believe they are. Among Goffman's concern was the media's depiction of gender interactions, particularly those in which males were shown as having authority over females. Goffman (1979) classified the nonverbal portrayals of power of both genders as follows: *body height, use of hands, eye stare, facial expressions, head posture, and body positioning*. Accordingly, Goffman analyzed how male and female characters were shown in ads. (Goffman, 1979). Goffman found that males were portrayed as taller and stronger than females since physical height was believed to correlate with social weight such as power and authority. By contrast, female Disney characters' language was characterized by hypercorrect grammar, super polite forms and hedges.

Al-Yasin (2020) studied the physical and visual features of female Disney characters. She pointed out that the typical image of a Disney princess has been perfect body, beautiful face and flawless hair. Al-Yasin studied only two visual features: *Body image* and *dress*. She found that body image changed from an unrealistic body type with large breasts and tiny waist to a realistic body type with logical body proportions. Moreover, over the years, their hair started to look more realistic and it goes through factors that may lead into its messiness. In a nutshell, change was mainly present in female Disney characters' visual image. The characters evolved from a fantasy-like image into a realistic image the audience can relate to in real life. It is worth mentioning that the portrayal of male characters was totally missing in Al-Yasin's study.

<sup>2</sup> Non-Linearity means that multiple factors could be responsible for the humorous situation. For instance, a humorous situation could be created by the actor's *costume, his/her stuttering, diction, gestures* inter alia.

In conclusion, it is noted that previous literature has investigated different issues in relation to women and men's visual image which are portrayed as stereotypical to men and women. This study focuses only on men's visual image in terms of relative size, masculine touch, function ranking and licensed withdrawal.

### III. METHODOLOGY

#### A. Corpus and Data Collection

The corpus of the present study consists of nine Disney animated movies from the last three decades (three movies released from 1990-1999, three from 2000-2009 and three from 2010-2019). The average length of each movie is 80-100 minutes. The movies were selected on the basis of their popularity according to Netflix<sup>3</sup>. Table 1 provides information on the selected movies with their release date and duration:

TABLE 1  
OVERVIEW OF THE SELECTED DISNEY ANIMATED MOVIES

Title	Release Date	Duration	Title	Release Date	Duration	Title	Release Date	Duration
<b>Beauty and the Beast</b>	1991	1h/ 24 min	<b>The Emperor's New Groove</b>	2000	1h/18 min	<b>Tangled</b>	2010	1h/40min
<b>Pocahontas</b>	1995	1h/21 min	<b>Mulan 2</b>	2004	1h/18 min	<b>Frozen</b>	2013	1h/42 min
<b>Mulan</b>	1998	1h/28 min	<b>The Princess and the Frog</b>	2009	1h/37 min	<b>Moana</b>	2016	1h/43 min

The researchers collected the data from Netflix database and watched several films. They found certain films fit selection criteria and selected nine films. All these films physically incorporate important and clear male roles. By contrast, the study excluded other Disney movies, like Cinderella, because the male characters have minor roles. Only scenes relevant to male visual features were examined.

#### B. Data Analysis

Aley and Hahn's (2020) which was informed Goffman's (1979) multimodal framework of men's portrayal is adopted to study the male characters' visual features. Table 2 presents an overview of this framework.

TABLE 2  
OVERVIEW OF ALEY AND HAHN'S FRAMEWORK OF MEN'S PORTRAYAL

No.	Categories	Description
1.	Gender presence	The male or female main character is present in the movie poster
2.	Gender balance	The balance of gender across characters in the movie poster
3.	Relative size	The male's height compared to that of the female
4.	Function ranking	This involves the hierarchy of function. Men are usually shown to be leaders or knowledgeable giving instructions to women.
5.	Masculine touch	Men often use their hands or fingers to grasp, hold, or manipulate an object in a different way than women.
6.	Ritualization of subordination	When an individual (a) lowers their physical body while another individual remains standing, (b) lays in a prone position on a bed, couch or floor, (c) bends legs, arms, back, or head in "cute" or "innocent" manner, (d) plays, skips, jumps, runs, or performs any childish activity, or (e) when another individual holds the elbow, shoulder, or hand in a possessive manner.
7.	Licensed withdrawal: (a character appears to be mentally removed from the scene) (p. 503)	When the character: (a) looks sentimentally overwhelmed. (b) does not make eye contact or stares off in a different direction. (c) covers fully or partially their face or any part of their body.

It is worth mentioning here that Aley and Hahn (2020) developed this framework for both men and women.

### IV. RESULTS AND DISCUSSION

This section answers the two research questions: 'What visual features do male characters in Disney animated movies have?' and 'Have these visual features changed over time? If yes, how?' The first question is answered by providing visual examples from the data of the present study and discussing them in light of Aley and Hahn's (2020) framework of man portrayal (based on Goffman, 1979). The second question is answered by providing a comparison/contrast between how these male visual features are portrayed in Disney movies over the three decades of the study. The analysis is solely qualitative, i.e. the quantitative analysis of relevant pictures in each movie of the three decades may be the focus of further research.

The study investigates four visual features: relative size, function ranking, masculine touch and licensed withdrawal. The other three features have been excluded (gender presence, gender balance, and ritualization of subordination)

<sup>3</sup> **Netflix, Inc.** "is an American subscription streaming service and production company based in Los Gatos, California. Launched on August 29, 1997, it offers a film and television series library through distribution deals as well as its own productions, known as Netflix Originals".

because they are either irrelevant (related to posters) or inapplicable to Disney animated movies that are targeted at children as is the case here. Thus, the features that are studied are presented in Table 3 below, taken from Table 2 above.

TABLE 3  
TARGET MALE PHYSICAL FEATURES (TAKEN FROM ALEY AND HAHN, 2020)

Categories	Description
<i>Relative size</i>	The male's height compared to that of the female
<i>Function ranking</i>	This category involves the hierarchy of function. Men are usually shown to be leaders or knowledgeable giving instructions to women.
<i>Masculine touch</i>	Men often use their hands or fingers to grasp, hold, or manipulate an object in a different way that women.
<i>Licensed withdrawal:</i> (a character appears to be mentally removed from the scene) (p. 503)	When the character does not make eye contact or stares off in a different direction.

#### A. Relative Size

This section mainly studies how male characters are portrayed in the movies in terms of their body size in comparison to their female counterparts in those movies. In specific, male's height and their shoulder's width will be looked at. In this context, Aley and Hahn (2020, p. 503) posited the following:

Relative size is determined by examining the physical height of the individuals depicted in relation to each other. Because physical height is believed to correlate with social weight (i.e., power, authority, office), the tallest individual portrayed is assumed to have *the most* power.

##### (a). Relative Size in Movies of the First Decade 1990-1999

Figures 1-3 below display how male characters are presented in Disney animated movies from the first decade. These figures show the relative size of male characters in comparison with their female counterparts.



Figure 1. Gaston From *The Beauty and the Beast* (1991)



Figure 2. John Smith From *Pocahontas* (1995)



Figure 3. Li Shang From *Mulan* (1998)

It can be noted from these Figures that the three Disney male characters from the decade 1990-1999 have a few things in common regarding their relative size. For instance, all three characters are obviously taller than their female

counterparts. In terms of their shoulder width, it is also obvious that their shoulder width is almost twice as that of the female characters in those movies. Recall that Aley and Hahn (2020) associated the characters' size with their social status. In the three movies, the male characters have socially high ranks: Gaston in Figure 1 was a professional hunter. And people used to fear him. So, he led people to get rid of the beast. In Figure 2, John Smith was a prince, explorer and English soldier, while Li Shang, in Figure 3 was a Chinese army leader. It seems that Disney Studios at that time attempted to display an unrealistic masculine body image of male characters (tall, muscular with wide shoulders), an implication of an ideology of what a man should look like.

(b). *Relative Size in Movies of the Second Decade 2000-2009*

Figures 4-6 show male characters in the second decade in terms of size.



Figure 4. The Emperor and Kronk From *The Emperor's New Groove* (2000)



Figure 5. Li Shang From *Mulan* (2004)



Figure 6. The Prince Naveen From *The Princess and the Frog* (2009)

As shown in Figure 4, the Emperor, who is the main character, is neither tall nor muscular. Rather, the witch (Yuzma) is taller than him. Moreover, Kronk, the bad guy, Yuzma's assistant is shown to have a huge body with big muscles. In other words, the main character is associated with power and intellects rather than with physical strength which is started to be associated with bad characters who depend on their bodies rather than on their minds. As for Figure 5, Li Shang has the same big body with great muscles as in *Mulan* (1) as it is hard to change the main character. Finally, Prince Naveen in Figure 6 has the normal male height, i.e. his body is not a presumably typical hero body with wide shoulders and big muscles. This indicates that in the 2000s scriptwriters started to show their male heroes as witty or attractive regardless of height and muscles.

(c). *Relative Size in Movies of the Third Decade 2010-2019*

The figures from the third decade show that the male heroes do not have as big bodies as heroes used to have in the first decade.





Figure 7. Flynn Rider From *Tangled* (2010)



Figure 8. Kristoff From *Frozen* (2013)



Figure 9. Maui From *Moana* (2016)

Except for the demigod Maui, the other two heroes have handsome bodies rather than fully muscular ones. In other words, heroism started to be defined in terms of power, gentleness and other good traits rather than with physical strength. As for Maui, he is portrayed as a physically strong man. He is large, excessively muscular, with a dark complexion, and tattoos imprinted throughout his skin. However, by the end of the movie, Moana turned him into a gentle man rather than a strong savage man.

### B. Function Ranking

Aley and Hahn (2020) state that function ranking refers to the behaviors of the characters. It assesses the roles of the characters based on the task they are performing, e.g. a doctor examining a patient. “Social weight, or power, is given to the individual whose task relates to the most important rank of the scene” (p. 504). Under this category, men are usually shown to be leaders or knowledgeable giving instructions to women.

#### (a). Function Ranking in Movies of the First Decade 1990-1999

The heroes in the first decade all have a socially high rank position. The Beast in *The Beauty and the Beast* is a prince, John Smith in *Pocahontas* is an English leader who fights the Red Indians, whereas Li Shang in *Mulan I* is the Chinese commander.



Figure 10. The Beast From *The Beauty and the Beast* (1991)





Figure 11. John Smith From *Pocahontas* (1995)



Figure 12. Li Shang From *Mulan I* (1998)

It is worth mentioning here that the three movies depict past events: *The Beauty and the Beast* was set in the 19<sup>th</sup> century France, *Pocahontas* in the 17<sup>th</sup> century America, and *Mulan I* sometime between 4<sup>th</sup>-6<sup>th</sup> AD<sup>4</sup>. Below are three pictures from those three different eras that show how people in such ranks looked like.



Figure 13. A Comparison Between The Beast and a 19<sup>th</sup> Century Prince



Figure 14. A Comparison Between John Smith and a 17<sup>th</sup> English Warrior



Figure 15. A Comparison Between Li Shang and an Ancient Chinese Warrior 3-D Model

<sup>4</sup> Wikipedia.

(b). *Function Ranking in Movies of the Second Decade 2000-2009*

Figures 16-18 show the high ranks that male characters had in the 2000s Disney animated movies.



Figure 16. Kuzco the Emperor From *The New Emperor's Groove* (2000)



Figure 17. Li Shang From *Mulan II* (2004)



Figure 18. Prince Naveen From *The Princess and the Frog* (2009)

Figure 16 represents a 15<sup>th</sup> century Peru emperor, whereas Figure 17 embodies a 4<sup>th</sup>-6<sup>th</sup> AD Chinese commander (as mentioned earlier), and Figure 18 embodies prince Naveen once as a handsome prince wearing a prince's suit and once as a common person who is wearing nicely and youthfully to attract women. Below are comparable pictures of these heroes and what people of similar ranks used to wear.



Figure 19. A Comparison Between Kuzco, the Emperor, and a Peruvian Emperor



Figure 20. A Comparison Between Prince Naveen and Prince of Wales Fashion Icon 1920s

Figure 19 shows that Peru emperors used to wear extravagant scarlet fringe long gown. The emperor also wears a wreathed turban helmet-like cap. His coat was covered with jewels and pieces of turquoise. He also wears heavy earrings and his shoes were made of leather and fur<sup>5</sup>.

Figure 20 shows that princes, after 2000s, started to wear like common people, i.e. a cap, a tie, a sweater or a vest and a shirt with high waist pants. Royal clothing was confined only to special occasions such as weddings.

(c). *Function Ranking in Movies of the Third Decade 2010-2019*

In the third decade, it became hard to distinguish people's rank depending on what they wear. Figures 21-23 show the main male characters of the third decade Disney animated movies.

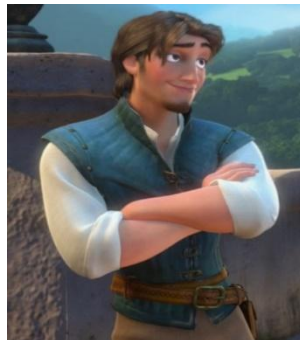


Figure 21. Flynn Rider From *Tangled* (2010)

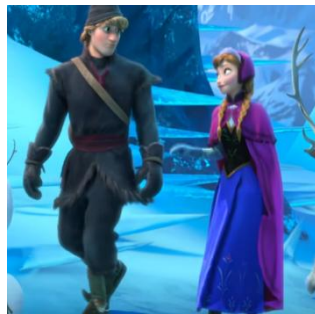


Figure 22. Kristoff From *Frozen* (2013)



Figure 23. Maui From *Moana* (2016)

In Figure 21, Flynn, a thief and adventurer, wears like a handsome young man. The movie is set in the 1700s, and the main character is an ordinary person instead of being a prince. In *Frozen* (2013), a movie set in 1843, Kristoff is also an ordinary person, ice harvester, who wears normal clothes. By contrast, Maui, in Figure 23 has a body full of tattoos.

<sup>5</sup> [www.tierravivas.com](http://www.tierravivas.com)

Since the movie is set 2000 years ago, he is wearing like a man from the stone age. He wears a necklace and a banana leaf skirt. Thus, it is hard to tell that this person is a demigod.

In general, the scriptwriters in the 2010s no longer depended on the people's physical appearance or attire to tell their ranks. This shift perhaps made a remarkable change of how people need to see heroes. In other words, an implicit message may read as follows: since these ordinary people were heroes, anyone of the audience can become a hero.

### C. Masculine Touch

Aley and Hahn (2020) and Goffman (1979) found that men often use their hands or fingers to grasp, hold, or manipulate an object in a different way than women. The researchers maintained that the feminine/masculine touch is measured by observing how individuals use their hands. Goffman (1979) observed that when somebody touches others' bodies lightly, it may convey the idea that the 'toucher' is fragile or precious, while firm grips show an obsessive use of the object or the other individual. Women, by contrast, use their hands or fingers to cradle or caress. "Lightly touching or stroking oneself is also considered to be a display of feminine touch. In contrast, masculine touch involves firmly holding, grasping, or manipulating an object or another person and is seen to be used more by male characters" (Aley & Hahn, 2020, p. 503). The researchers added that these features (relative size, function ranking, masculine touch and licensed withdrawal) reflect gendered power as men use them to exercise their power over women (Aley & Hahn, 2020, pp. 504-506).

#### (a). Masculine Touch in Movies of the First Decade 1990-1999



Figure 24. Masculine Touch in the 1990s

As can be seen, the 1990s Disney animated movies all show men as having power over women through the way they touch them. For instance, Gaston in *the Beauty and the Beast* is gripping Belle's hand so tightly that she is terrified. The same applies to the 3<sup>rd</sup> picture where Li Shang is grabbing Mulan from her chest in front of everybody in a humiliating way. This is perhaps Li Shang, the army leader, who thinks he can overpower anyone else under his command. However, in the middle picture John Smith is gently holding Pocahontas. Nonetheless, he is still in a power position as it is him who is taking Pocahontas out of the boat.

#### (b). Masculine Touch in Movies of the Second Decade 2000-2009



Figure 25. Masculine Touch in the 2000s

In the second decade, it is very evident that the masculine touch turned into a gentle one though still showing the male's power. For example, Pacha in *the Emperor's New Groove* is reassuring his wife that he will come back soon. He touches her shoulder in a gentle way to calm her down as she is pregnant and worried about his journey to the Emperor. Li Shang in the 2<sup>nd</sup> picture is holding Mulan's hand in a loving way as he is asking for her hand. Similarly, Prince Naveen is leading the dance by holding his date's hand. In general, in the three pictures, it is the male character who gives reassurance, proposes or leads through touch.

#### (c). Masculine Touch in Movies of the Third Decade 2010-2019





Figure 26. Masculine Touch in the 2010s

The third decade is similar to the second in that the males touch shows affection. In the 1<sup>st</sup> picture, Flynn Rider is gripping Rapunzel to protect her from the other gangsters who are trying to catch them. In the second picture, Kristoff is holding Anna in his arms as she is as cold as ice, while in the 3<sup>rd</sup> picture Maui is embracing Moana very tightly as they say goodbye to each other.

However, the third decade shows protection in addition to affection. In other words, the men's power over women changed from controlling to protecting. Nevertheless, controlling and protecting are both ways of exercising power upon others.

#### D. Licensed Withdrawal

Aley and Hahn (2020) state that "licensed withdrawal is depicted when a character appears to be mentally removed from the scene. It is also seen when a character appears to withdraw from situations or others in the scene" (p. 503). The present study focuses on licensed withdrawal related to making eye contact with other characters or staring off into the distance. However, it does not consider licensed withdrawal related to 'appearing emotionally overwhelmed', or 'covering or partially covering their face or body as if hiding' because these two apply more to female characters.

The following sub-sections address eye withdrawal in the three decades:

##### (a). Eye Withdrawal in Movies of the First Decade 1990-1999



Figure 27. Eye Withdrawal in the 1990s

In the left side picture, Gaston plops down in the chair and raises his mud-covered feet and puts them on Belle's book. He stares away and starts bragging about his hunting skills. In the middle picture, John Smith was alone with Pocahontas on the hill and after they started feeling love towards each other, John Smith started telling her about his plans and dreams. In the last picture, Li Shang was preparing himself and his army to a battle. Mulan interrupted him but he stared off as a sign that he has more important things to do than listening to her.

##### (b). Eye Withdrawal in Movies of the Second Decade 2000-2009



Figure 28. Eye Withdrawal in the 2000s

In the picture on the left, the emperor looked away from the old man out of anger because he threw off the emperor's groove (sneaked into the palace). Therefore, the guard grabs him and kicks him off the palace. In the middle picture, Li Shang was worried about the war and about his people. So he turned his face away to hide his feelings from his wife (Mulan). In the third picture, Lawrence, one of Naveen's servants, told him to find himself some work as dancing will not make him any good. Naveen looked away mockingly as a sign of disrespect or negligence to the servant.

##### (c). Eye Withdrawal in Movies of the Third Decade 2010-2019



Figure 29. Eye Withdrawal in the 2010s

In the left side picture, Flynn Rider was telling Rapunzel a story about a rich man and an orphan (himself). He felt desperate about his poverty and so he stared off and looked thoughtful. In the middle picture, Kristoff was telling Olaf (the snowman) and Anna about the summer. Then, he happily opened his arms and looked up to tell them how lovely summer will be. In the last picture, Maui was bragging about his powers to Moana. So, he stared off and told Moana that she did not get a chance every day to meet a hero.

## V. DISCUSSION

### A. Visual Change Over Time

First, comparing the relative size in the three decades, it can be noticed that the three main characters in the first decade Gaston (*Beauty and the Beast*, 1991), John Smith (*Pocahontas*, 1995) and Li Shang (*Mulan I*, 1998) are remarkably huge in size and shoulder's width. This image has changed in the second decade as the Emperor is skinny and Prince Naveen is a person of average size. As for the third decade, there is some sort of a compromise as Flynn Rider in *Tangled* (2010) and Kristoff in *Frozen* (2013) relatively have an above average body size, whereas Maui in *Moana* (2016) has a very huge body due to him being a demi-god.

In sum, the stereotypical image of the huge hero in the 1990s has changed into an average person in the 2000s (except for Li Shang (*Mulan*, 1998, 2004) who remained the same). The third decade is not different from the second in that the hero does not need to be remarkably huge (except for Maui, the demi-god). As a result, heroes no longer have much huger bodies than their female companions. In the late movies, heroes have average height and size in comparison to average heroines.

Second, function ranking has also changed over time. Comparing the three decades, it is evident that the 1990s show the typical hero with typical clothes that show their ranks (princes and war leaders). In the second decade, the heroes maintain function ranking, but we start to witness a shift in their attire (e.g. Naveen in the *Prince and the Frog*, 2009). By contrast, in the 2010s movies, the main male characters do not have any function ranking (whether royalties or war leaders). Rather, they were common people with heroic acts.

Third, the masculine touch has showed some change as well. In specific, the third decade shows protection in addition to affection. In other words, the men's power over women has changed from controlling to protecting. Nevertheless, controlling and protecting are both ways of exercising power upon others.

The last visual feature is eye withdrawal. It seems that this is the only feature that has not shown a consistent change over time since in the three decades' men withdraw their eyes for reasons (e.g. bragging, hoping, feeling desperate, anger, etc...) that are connected to man's nature and feelings.

### B. Visual Comparisons With Previous Studies

The subject of males' portrayal in movies in general has barely gained attention. In specific, the four categories applied in this study (relative size, function ranking, masculine touch, and eye withdrawal) were only handled in two studies (Goffman, 1979; Aley & Hahn, 2020), while other studies touched on other minor physical/ visual aspects as shown below.

First, Goffman (1976, 1979) finds that media portrayals of men and women are not based on reality, but on what society wants us to believe they are. Goffman (1979) classifies the nonverbal portrayals of power of both genders as follows: *body height, use of hands, eye stare, facial expressions, head posture, and body positioning*. He reports that males are portrayed as taller and stronger than females since physical height is believed to correlate with social weight such as power and authority. This study agrees with Goffman's to some extent since, as shown above, body size appeared to play part in showing authority especially in the first decade.

On the other hand, Al-Yasin (2020) studied the evolution of female Disney characters' linguistic and visual features of the last three decades. Unfortunately, Al-Yasin did not make any physical comparison with male's physical appearance. Tsakona's (2008) study, on the other hand, examined the multimodal theory of humor in language and image interactions of cartoons. The researcher found that verbal and visual interactions can both play part in conveying humor. Hibbeler (2009) found that male heroes were usually presented as youthful, skinny, sexually and romantically involved and assertive. Wahyuningsih (2018) found that men used fewer gestures. Scharer and Blackburn (2018) concluded that male characters were often portrayed as unemotional, aggressive, dominant, and/ or tough. The current study cannot be compared to any of the previous studies as the factors/ variables under study are different.

Finally, Aley and Hahn (2020) studied movie posters of 152 popular American animated children's feature films which covered a period of 80 years. The researchers found that mass media depicted both genders according to the society's gender expectations. For instance, in terms of social weight, males were shown as more confident, powerful and authoritative while women were more commonly shown as naive and quiet. Furthermore, "when prominent female characters were present, they were portrayed as smaller, less socially important, and less powerful than male characters" (p. 503). Aley and Hahn did not find evidence that gendered power dynamics depicted in movie posters had changed over time. By contrast, the current study did find that the depiction of males' physical appearance had changed in terms of their relative size, function ranking and masculine touch.

## VI. CONCLUSIONS AND RECOMMENDATIONS

The main aim of the present study was to study male Disney characters' visual features from 1990-2020. Body image of Disney male characters has changed over time. It changed from an unrealistic large body with big muscles to a realistic body type with logical body proportions. Heroes started to be seen as powerful gentlemen rather than heroes with physical strength. Moreover, the heroes, especially in third decade, no longer depended on their physical attire to reflect their ranks. For example, Prince Naveen used to wear very casual clothes like ordinary people at that time. This shift may indicate a change of how people need to see heroes. In terms of masculine touch, male characters used to touch their female companions in a controlling way. However, in the second and third decade, their touch started to change to protection rather than controlling. Nevertheless, controlling and protection are both ways of exercising power over others. Finally, men's eye-withdrawal did not seem to have changed over time because in the three decades, men withdrew their eyes for reasons that are connected to man's nature and feelings.

To sum up, visual features of male's Disney animated characters have generally changed in the second and third decade, i.e. after 2000s. This change was triggered by the fact that these characters started to have bigger roles since then. Heroes started to show up as people of average size with informal clothes with no function ranking. Furthermore, men started to touch their female companion in affectionate protecting way.

As the present study investigated the evolution of male Disney characters' visual features over the last three decades, future research may address the same features categories in Arab movies.

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# The Dignity of Women in Marriage: Comparative Study of Indonesian and Malaysian Folk Tales

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**Abstract**—The dignity of Indonesian and Malaysian women is reflected in various sources, including oral and written literary works. The purpose of this study is to identify the position of women in marriage in folktales. The object of the research is the dignity of women reflected in Indonesian and Malaysian folktales. Data collection was conducted by studying four folktales from both countries. Data analysis was done by comparing and interpreting the folktales to obtain meanings. The findings of this study indicate the values of women's protection and the right to vote for women idealized by society, both in Indonesian and Malaysian folktales. This study confirms that women's dignity needs to be empowered through self-determination and representation to build confidence and the ability to make decisions in their marriage.

**Index Terms**—the dignity of women, marriage, folktale, comparative study

## I. INTRODUCTION

Women have noble positions in various folktales. The noble position cannot be separated from their role in both the family and society. Dewi Sekar Nitra, a son of the king, was appointed King of Daha in the Lombok folktale *Cupak Gerentang*. Likewise, *Putri Purbasari* (West Javanese folklore) became a queen in the Land of Pasundan (Rempong, 2021) and *Putri Kemang* (Bengkulu folklore) fought for herself and became a queen in her father's kingdom (Islahuddin et al., 2021). Even, in the *Tawaddud* saga, women are represented as intelligent, brave, and educated people (Maymunah, 2021). Reinforced in the Sundanese script, *Wawacan Ratu Dewi Maleka*, the king's daughter became a queen replacing her father (Raja Erum) named Maharaja Salalim (Rohmawati, 2013). Women, both in folktales, sagas, and old manuscripts, are described as having noble dignity (rights and positions) as leaders (Ojha et al., 2019). Therefore, this issue needs to be brought to the surface as a criticism of the notion that women have been considered weak and inferior (Begiato, 2022; Vijay & Vijayakumar, 2022).

Studies on the dignity (rights and position) of women in folktales have been carried out by several experts. However, the results show that these studies are generally more focused on four aspects. *First*, studies that discuss the position of women are limited to the scope of the family and their domestic roles (Amri, 2021; Husna, 2020; Rahmawati, 2020; Zhou, 2022). The *second* is research that focuses on the image of women who are patient, kind, respected, and loyal to their husbands (Harjito, 2021; Masuku, 2020; Qur'ani, 2021). The *third* is research that discusses the position of women in the public sphere and their role in the realm of politics and power (Balint, 2021; Ojaruega, 2022). The *fourth* is research that emphasizes the condition of women who are subordinated, objectified, oppressed, sex objects, and objects of arbitrariness (Hapsarani, 2018; Wijanarko, 2018). Meanwhile, studies that look at the dignity (rights and position) of women, especially in marriage, are rare.

Several studies have shown that women are allowed to choose a life partner and are not forced to choose a mate by their parents (Islahuddin et al., 2021; Nasiru, 2017). Some studies show that women dare to leave partners who are considered to have broken commitments (Aswar et al., 2019; Rohim, 2013; Yulianto, 2016) However, some of these studies did not explore the dignity of women, especially in their marriage. The corpus of folklore data shows that this is available, including *Putri Mandalika* and *Putri Gading Cempaka* from Indonesia (Ratih, 2021, 2022) and *Puteri Zuleha* and *Puteri Gunung Ledang* from Malaysia (GoDaddy, 2020). Therefore, this study aims to complement such studies. In addition to mapping the dignity of women in marriage, this study also aims to analyze (a) the values of protecting women's rights and dignity, (b) women's ideals of voting rights in society, and (c) the value of women's empowerment in folktales.

This study is based on the argument that the dignity of women in various countries cannot be separated from the

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social and cultural character of their society (West & Shearer, 2018). Harassment or violence against women undermines the understanding of public awareness of women's rights and dignity so the objective of public education about women's rights and dignity in marriage is not achieved. Meanwhile, sexual harassment in public spaces and forced marriages of women occur due to the narrow space for community participation. This happens because, in education, the government often does not involve the lower class of society. In addition, the dominance of patriarchal culture and gender bias relations still strengthen the position of men in the family and society (Kurvinen et al., 2022).

## II. LITERATURE REVIEW

### A. Folklore

UNESCO defines *folklore* as a creation based on the tradition of a cultural community, expressed by individuals in a group and recognized as a reflection of expectations that indicate cultural identity, social standards, and values transmitted orally by imitation or by other means (Kittilä 2020). Folklore is also a literary genre transmitted either orally or in writing. It can be said that literature is an organic product of a community, which creates, receives, interprets, adorns, and transmits stories from generation to generation (Kim, 2013). Folklore becomes entertainment and a means to reduce moral values in society such as gratitude, love for the environment, and good main characters to serve as examples (Schmitt et al., 2016). Hidayati (2019) states that folklore has several functions, which are (1) as a projection system; (2) as a means to ratify cultural institutions; (3) as children's educational tools; (4) as a tool to coerce and supervise so that community norms are always obeyed by collective members. Therefore, in folklore, there are many depictions or images of various female or male characters. However, in the depiction/image of the characters, there are extreme inequalities between male and female characters.

Most female characters in folklore are always portrayed in domestic roles, as helpless, self-sacrificing, and beautiful princess who depends on the existence of a prince (Zahro et al., 2020). Given the patriarchal culture that dominates folklore, the stories of rebellious, strong and heroic women will be less than the stories of women who are portrayed as beautiful, gentle, self-sacrificing and obedient. This is in line with Kim (2013) research revealing that out of 500 entries in four volumes of folklore, only 30 stories of women who are opposed, hard, warrior, and strong can be found. The image of dominant women can still be seen through folklore in Korea and India. For example, the story of a woman who ends an unsatisfactory marriage to "manage herself". In this case, the author emphasizes the progress of a woman in positioning herself in society and opposing patriarchy (Kim, 2013). Then, there is Indian folklore that raises the stories of women who are brave and strong. They are given equal social rights to their male counterparts. In some cases, they are granted more privileges than men, for example, Kaikeyee, the second wife of King Dashrath from the Ramayana story who fought alone in several battles (Ojha et al., 2019).

### B. Gender Relation

Recent research tends to see literary works as a space where the construction and gender relations are formed and perpetuated. Sugiarti (2021) states that gender relations are inherent relationships between men and women that have been constructed by society, both socially and culturally, which differ from time to time and from place to place, so that character formation between men and women is considered natural. The division of roles that associate female and male characters is a manifestation of the gender ideology that exists in society (Takovski, 2019). The ideology is then illustrated in the form of fiction or literary works that will be accepted by readers. Furthermore, Magnúsdóttir (2018) asserts that gender relations depicted through characters in folklore show the tendency of women who be dominated by feminine, beautiful, and obedient traits, while men are always characterized by power, toughness and courage. In addition, gender relations in folklore are depicted through issues of social life regarding problems of marriage, domestic violence, gender construction and gender discrimination which tend to weaken the position of women (Rice, 2000).

Gender relations in folklore or literature can be seen through the use of words, characters or symbols which tend to lead to the division of roles between men and women (Saraç 2016). In Indonesia, gender relations depicted through folklore or literature are still strongly characterized by patriarchal culture. In his article, Sugiarti (2021) mentioned that gender relations in folklore still do not show balanced roles. In 13 stories from East Java, there are 3 stories where female characters have an important role, while the other 10 stories are dominated by male characters. This is in line with what Magnúsdóttir (2018) mentioned, that gender relations represented through folklore are still dominated by female leadership which is feminine, while male leadership is always characterized by strength and therefore their behaviour sometimes cannot reflect the assigned role. Nurhayati (2019) argues that gender relations that have been constructed through folklore and literature are a reflection of the culture or values of the community in which the story develops.

### C. Women in Literature

Literature reflects people's perceptions and attitudes. The literature describes human life through characters, with their words and deeds to convey messages, information and entertainment. Literature is also said to be the witness to the evolution of women over centuries. The changing role of women in literature from the past to the present shows the evolution and empowerment of women (Awuzie, 2019). Some depict women as symbols of power and unity, but some use women as objects of pleasure (Singh, 2019). The characterization of women in literature is often influenced by the

author's personal experience or societal stereotypes in defining the position of women. Stereotypes about women in literature are perpetuated by a patriarchal culture that ignores women's rights and prioritizes male domination and privilege. The patriarchal culture in literature shapes men to be rational, strong, and assertive, while women are placed in an image of being weak, nurturing, and submissive (Alvira et al., 2021).

Women in literary works are represented in a relational framework which is equivalent to a set of marginalization systems and subordinated values such as sentimentalism, emotion and spirituality (Roberts, 2017). In this case, literature positions women as emotional subjects who have spiritual sensitivity. Furthermore, the gender relation between men and women is a symbolic and patriarchal problem (Roberts, 2017). Men are identified as masculine individuals while women are identified as feminine individuals. Women are considered beautiful, gentle, and delicate creatures while men are considered dignified, strong, and aggressive. Men are considered smarter, stronger, and braver than women in many literary works. Accordingly, in his long essay, Virginia Woolf argues that female characters featured in early literary works such as Sophocles, Shakespeare, Tolstoy, and Flaubert have portrayed women as lacking in character. This gives the impression that male writers have never accurately portrayed women and tried to make men superior to female characters (Saraswati, 2014). However, recently the image of women in literature has continued to develop to the stage of modern literature which has begun to elevate female figures with characters that go against patriarchal norms and culture.

### III. METHODS

The selection of folktales as the object of study is based on several reasons. *First*, the selected folktales contain stories about how women get protection. *Second*, in the folktales, women are represented as the strong ones, in contrast to the narratives shown in other sources where women are depicted as the weak ones. *Third*, folktales are a medium where the noble values of life are presented straightforwardly so that they can become a channel for the community to look back at the context of life in the past more broadly. The data sources of this research are 4 folktales (2 from Indonesia and 2 from Malaysia). The folktales from Malaysia are *Puteri Zuleha* from Kedah and *Puteri Gunung Ledang* (GoDaddy, 2020) and the folktales from Indonesia are *Putri Mandalika* from Lombok Regency (Ratih, 2021) and *Putri Gading Cempaka* from Bengkulu Regency (Ratih, 2022). These four folktales have similarities between the main characters (noble women), similarities in the problems faced by the characters, the protection obtained from the family, and the existence of antagonists who commit violence.

The data collection was carried out through the selection of several Indonesian and Malaysian folklore documents. The folktales selected contain a story that raises the problem of women's position in marriage or women's problems in facing proposals. This is following the aim of the research, to be able to map the dignity of women in folklore in both countries. The selection of folklore documents was done by classifying and identifying problems related to women's dignity. The data collected is in the form of structural relationships of male figures such as fathers and brothers with female figures so that data on the values of protection given by their fathers or brothers, data on women who have the right to vote and reject applications, and data on women's empowerment is identified.

Data analysis was done in three stages, namely data reduction by selecting and focusing on the attitudes and actions of female characters in dealing with marital problems in each story; presentation of data in tabular form and then description; and finally, conclusions are drawn and verification is carried out by looking for the overall meaning. Data analysis used comparison and interpretation methods. Four folktales were analyzed and then compared, especially in terms of the attitudes and actions of women in maintaining their dignity as women. The interpretation was carried out through a process of restatement of four folk tales that raise the issues of women's rights and dignity.

### IV. RESULT

#### A. Value of Protection of Women's Rights and Dignity

In Indonesian and Malaysian folklore, there are values of protection of women's rights and dignity which include: how to protect, the process of protecting, and the implications of protection, as shown in the following table.

TABLE 1  
VALUES OF PROTECTION OF WOMEN'S RIGHT AND DIGNITY

Protection value	<i>Putri</i> (Indonesia)	<i>Mandalika</i>	<i>Putri Gading Cempaka</i> (Indonesia)	<i>Puteri Zaleha</i> (Malaysia)	<i>Puteri Gunung Ledang</i> (Malaysia)
How to protect	King Tonjang Beru called his daughter and conveyed the proposal of the princes. If the proposal was rejected, the princes would commit war. The princess also did a meditation to get <i>wangsit</i> so that there would be no war (pp. 94, 96).		Raja Anak Dalam and his six brothers protecting Putri Gading Cempaka ran towards Mount Humpback when the Young King of Aceh attacked (p. 43).	Sultan Kedah protected Princess Zaleha and took her to the forest so that the Aceh prince who carried out the attack would not find her (p. 4).	Putri Peri protects herself from being forced to marry Sultan Mansor Shah by filing a lawsuit (p. 2).
Protecting process	The princess meditated until she received instructions to invite all the princes to a meeting on the 20th of the 10th month of the Sasak calendar on Seger Kuta beach (pp. 96, 97).		Raja Anak Dalam always kept Putri Gading Cempaka in his hiding place until the war with Raja Muda Aceh was over (pp. 44, 45).	The Sultan of Kedah protects Princess Zaleha from the Prince of Aceh and sends Princess Mariam as her successor (p. 4).	Putri Peri oversees the fulfilment of 7 requirements that are required before the wedding (p. 2).
Protection implications	The efforts made by Princess Mandalika were successful so there were no wars between princes. Putri Mandalika has decided and has made up her mind to find the best way for her people (p. 97).		The efforts made by Raja Anak Dalam succeeded until the Young King of Aceh returned to Aceh and did not marry Putri Gading Cempaka (p. 44).	The efforts made by the Sultan of Kedah succeeded in keeping Princess Zaleha away from the Prince of Aceh so that there was no forced marriage (p. 5).	Princess Peri's efforts succeeded so that Sultan Mansor Shah failed to marry her (p. 4).

Table 1 shows the ways that have been done to protect women, especially in the case of forced marriages, such as going away or being hidden. Like what Putri Gading Cempaka did, she ran and hid in the mountains; Princess Zaleha hid in the forest; Princess Mandalika sought refuge by surrendering herself to the Almighty for guidance, and the Fairy Princess protected herself by making demands on conditions that are impossible to meet. The three women in the folklore have been given protection by their families, while one woman can protect herself.

The process of protecting women in these stories is carried out for a long time. Putri Mandalika meditated and waited patiently for instructions on what to do. Putri Gading Cempaka was guarded by her family on Mount Bungbuk until the Raja Muda Aceh's attack ended. The Sultan of Kedah hid Princess Zaleha in the forest and sent Princess Mariam to the Prince of Aceh. Princess Zaleha hid until the Prince of Aceh never found her. Putri Peri protects herself with conditions that are impossible for the Sultan to fulfil. So, during the protection process, the princess tries to make sure she is safe. Considering the efforts of the princesses, it appears that they have earned their right to be protected, one of which is by their close family.

As a result of their resistance, some acts of violence were avoided. Princess Mandalika managed to quell the wars of the princes who proposed to her. Princess Gading Cempaka managed not to be taken by the Young King of Aceh, and Princess Zaleha was not forcibly taken by the Prince of Aceh. Princess Peri managed not to become the second wife of the sultan. The success of the protection in these three stories was achieved with the assistance of the family, while one story carried out independent protection. The right of protection is obtained by women so that there is no forced marriage.

In Indonesian and Malaysian folklore, protection is given to women who are facing problems with marriage proposals. For example, when Princess Gading Cempaka and Princess Zuleha rejected the proposal of the Prince of Aceh, they needed to be protected. The rejection of the figure of the Prince of Aceh in these two Indonesian and Malaysian folktales occurred because the prince was arrogant. The refusal was not immediately carried out, but before that, Putri Mandalika meditated to get peace of mind and guidance. Putri Peri protects herself from the intention of a man to do polygamy. This shows that the values of protection have been given to women following their respective social conditions.

### B. The Right to Choose Idealized in Society

Indonesian and Malaysian folklore shows that women have the right to choose as idealized by society, such as (1) women's rights to accept or reject proposals, (2) women's rights to choose a partner, and (3) parents who do not impose their will, as shown in the following table.

TABLE 2  
THE RIGHT TO CHOOSE IDEALIZED IN SOCIETY

The right to choose idealized in society	<i>Putri Mandalika</i> (Indonesia)	<i>Putri Gading Cempaka</i> (Indonesia)	<i>Puteri Zaleha</i> (Malaysia)	<i>Puteri Gunung Ledang</i> (Malaysia)
Women have the right to accept or reject a proposal	Princess Mandalika was given the opportunity by her father to answer the proposal from the princes (p. 96).	Putri Gading Cempaka was given the right by Raja Anak Dalam to answer the proposal of Raja Muda Aceh (pp. 37-39).	Princess Zaleha rejects the wishes of the prince of Aceh (p. 4).	Princess Peri rejects the proposal of Sultan Mansor Shah of Melaka (p. 2).
Women can choose a partner	At first, the princess intended to choose one of the dozens of princes, but her intention was cancelled after knowing the risks (p. 96).	Putri Gading Cempaka accepts Maharaja Sakti's proposal according to her father's will (p. 44).	Putri Zaleha remains alone until the end of the story (p. 6).	Puteri Peri remains alone until the end of the story (p. 4).
Parents do not force	King Tonjang Beru did not force Princess Mandalika to choose one of the princes (p. 94).	The king of Anak Dalam does not want to make his own decisions. He invites his brothers to talk about the problem (p. 41).	The Sultan of Kedah did not hand over Princess Zaleha to the Acehnese prince despite the risk that the Kedah nation was attacked (p. 4).	There is no role of parents in this story.

In Table 2, female characters are faced with the problem of marriage proposals and forced marriages, but they refuse. The reason for the refusal has also been known to his family, both the parents and eldest brothers. This right is what women want. The refusal is shown in four Indonesian and Malaysian folktales, namely Putri Mandalika and Putri Gading, Putri Zaleha and Putri Peri. The right of rejection or acceptance of the application has been obtained by women. Even though this refusal might result in violence, women feel that they have their rights and dignity as human beings.

In the folklore above, women are shown to have the right to choose and determine their partners. Putri Mandalika exercised her right not to choose one of the princes. Putri Gading Cempaka chose her partner and became the consort of Maharaja Sakti. Meanwhile, Princess Zaleha and Princess Fairy chose to remain alone until the end of the story. So, refusal of marriage proposals for women does not always mean that there are proposals from other men. Parents do not force their daughters to accept the proposal so that no marriage occurs, like Putri Mandalika's father who was confused by the number of princes who proposed to his daughter. It was Princess Mandalika who insisted that she would solve the problem. Likewise, Raja Anak Dalam did not force his sister Putri Gading Cempaka to accept the proposal of Tuan Raja Muda Aceh. The Sultan of Kedah did not force Princess Zaleha to surrender herself to the Prince of Aceh, while in the story of Putri Gunung Ledang, parents were not mentioned. The roles of father and brother in the three stories appear as wise parents. Forced marriage to daughters does not occur because of the role of wise parents.

### C. The Value of Women's Empowerment

The four folktales show the value of women's empowerment which includes the level of women's autonomy, self-determination, and representation, as shown in the following table.

TABLE 3  
VALUE OF WOMEN'S EMPOWERMENT

The Value of Women's Empowerment	<i>Putri Mandalika</i> (Indonesia)	<i>Putri Gading Cempaka</i> (Indonesia)	<i>Puteri Zaleha</i> (Malaysia)	<i>Puteri Gunung Ledang</i> (Malaysia)
Women's autonomy	Putri Mandalika did not accept and rejected the prince who proposed (pp. 94, 95).	Putri Gading Cempaka accepts Maharaja Sakti's proposal (p. 44).	Putri Mariam agreed to replace Putri Zaleha, brought and married the Prince (p. 5).	Putri Ledang dared to reject the Sultan's proposal indirectly (p. 2).
Self-determination	Putri Mandalika has her own decisions that have been considered (p. 98).	Putri Gading Cempaka decided to become the consort of King Maharaja Sakti who led the Sungai Lemau Kingdom (p. 44).	Putri Zaleha decided to hide in the forest away from the Aceh prince (p. 6).	Putri Peri can control herself and is not willing to be made a wife by the Sultan who is already married (p. 3).
Representation	Putri Mandalika is known for her beauty and demeanour, she is polite, friendly, and soft-spoken (p. 92).	Putri Gading cempaka is known for her beauty (p. 37).	Putri Zaleha is known to be very beautiful and is said to have white blood, not the usual red, attracting the attention of the Prince of Aceh (p. 3).	Putri Peri in the magical palace at the top of Mount Ledang is known for her beauty and magical power (p. 2).

The level of women's autonomy is found in Indonesian and Malaysian folklore. The power or authority to regulate oneself is shown by Princess Mandalika by not rejecting the princes who propose to her. She made her own decision without interference from her parents. Putri Gading Cempaka refused the proposal in front of the Young King of Aceh. Princess Mariam is willing to replace Princess Zaleha to be brought by the Prince of Aceh. Meanwhile, the Fairy

Princess decided to put forward a very impossible requirement. The female figures in the four folklores have proven that they have a high level of authority.

Women have been able to control themselves and actively participate in making decisions. This is shown by Princess Mandalika who chose to give up her soul for the prosperity of her country. Putri Gading Cempaka decided to accept the proposal of King Maharaja Sakti. Putri Zaleha decided to stay away from the Prince of Aceh and hid in the forest. Meanwhile, the Putri Peri can control herself. The four women in the story show that they can make decisions for their future. The representation of women in the folktales is described as beautiful women. Putri Mandalika is famous for her beauty and is very kind. Putri Gading Cempaka is represented as a beautiful woman and a symbol of women who give birth to descendants of kings. Putri Zaleha is represented as a beautiful woman who has white blood, while Princess Fairy is represented as a beautiful woman who has magical powers.

## V. DISCUSSION

### A. *Value of Protection of Women's Rights and Dignity*

Protection values are given to women to maintain their dignity (Kashirkina & Morozov, 2020). Individuals who protect her are family members who love her and are responsible. These protection values are very much needed because the position of women is under the dominative power of the patriarchy (Sen, 2021). The right to protection from the family is one way to maintain the dignity of women so that they do not become victims of violence or become 'commodities' that can be traded.

There are two forms of protection found in folklore, namely being hidden in the forest or being taken away to flee to a safe place. At that time, both methods were considered effective in avoiding violence and forced marriage of women. Over time, forms of protection for women have been organized. Currently, in Indonesia, there is a National Commission for Women which was established in October 1998 after the May 1998 riots (STH-Indonesia-Jentera, 2022). Data on violence against women until 2019 shows that there were 406,178 cases, increasing 16.5% from the previous year. In Malaysia, there is the Malaysian Women's Aid Organization (WAO). Data from WAO shows that the number of women experiencing domestic violence in February-March 2020 has increased by 44.4% (Gunadha & Pramesti, 2020). Based on the data, women need protection from acts of violence and forced marriage, both in the past and present, both Indonesian and Malaysian women, according to their respective socio-political conditions.

Comparing the social conditions of Indonesian and Malaysian women, Ningsih and Andalas (2021) state that both are influenced by developing cultural problems and family upbringing patterns that affect life and life principles. So, the similarities between Ningsih's research and this research are related to women's decisions in dealing with proposals and marriages which are influenced by their respective socio-cultural contexts. The occurrence of forced marriages through Vidianingrum the lenses of social science is closely related to cultural factors, education, and a narrow understanding of religion (Adityo, 2020). Not only in folklore but in real life, Indonesian and Malaysian women also object. According to Pratiwi (2021), so far there has been a rejection by women of sexual harassment that occurs in public spaces. The refusal is carried out by women to maintain their dignity, both in folklore and in real life.

### B. *The Right to Choose Idealized in Society*

Indonesian and Malaysian folklore shows that there is an idealized right to vote in society, not something that usually happens by being forced or elected. Women are not chosen or forced to choose a partner, but they are given the freedom to choose. Women are also given the right to answer, whether to accept or reject the application. The reason for women's refusal is more about the dislike of the character of the potential partner and disapproval of polygamy (Gharala, 2022). Behind women's refusal, there are efforts to create peace and avoid violence (McKenzie et al., 2022), and polygamy does not occur.

Women have the right to choose a life partner. A princess accepted Maharaja Sakti's proposal because he was a wise king. Putri Mandalika, Putri Zaleha, and Putri Fairy exercised their right to refuse the proposal because it was not following their wishes. Women's rights to choose and refuse partners are influenced by the presence of parents, especially fathers as protectors for daughters. Wise fathers do not use coercion either physically or through religious reasons. Positive law and fiqh provide space for women to choose a life partner regardless of coercion from any party (Adityo, 2020; Mattalattang & Nasir, 2021). Women cannot be called disobedient if they do not obey their parents' wishes to marry a man they do not love because devotion to their parents is based on love and affection. Thus, folklore has shown the ideal of women's rights, namely the right to choose a life partner.

### C. *The Value of Women's Empowerment*

Indonesian and Malaysian folklore displays the value of women's empowerment in the form of authority, self-determination, and representation (Peroni & Rodak, 2020). Women have shown power or authority and decide to choose a partner. Putri Mandalika has authority over her. Likewise, Putri Gading Cempaka and Putri Zaleha chose to stay away because they felt they were not ready for age and did not like the character of the Raja Muda of Aceh. Princess Mariam did not refuse to replace the position of Princess Zuleha to be brought by the Prince of Aceh to her country. Princess Peri rejected Sultan Mansor Shah's proposal indirectly. So, women facing marital problems have shown their courage to make decisions and can control themselves (Rens, 2021).

Women in stories are often represented as beautiful, elegant, graceful, or noble-blooded women. Some are even represented as women who have magical powers. Magic is considered a symbol of power and mystery. The beauty of women cannot be separated from the face and body. The standard of female beauty is a slim body and white skin (Laendra & Vardiansyah, 2017). Women are not only associated with beauty and mystery, but they also need to improve their skills and confidence. As Nur (2019) states, it is important to empower women to increase their capacity and have confidence so that they can participate in the development of the nation.

## VI. CONCLUSION

Through a comparative study, this research on Indonesian and Malaysian folklore found that the dignity (rights and position) of women in marriage, apart from being determined by their strength, also depends on the protection of the family and society. Women as individuals who have high authority and self-determination display strong personalities so that every decision shows their dignity as women. Families who respect each other are obliged to protect their sisters, especially in dealing with problems of violence and forced marriage. Families provide protection rights to maintain the dignity of their daughters. The community is also responsible for maintaining security and not encouraging forced marriages for women.

This research is a criticism of the assumption that women are weak, powerless, unable to make decisions and do not dare to make choices. Such an assumption still exists even though efforts to dismantle hierarchical-patriarchal gender relations are constantly being encouraged. This research confirms that women are personal figures with character and courage to make decisions even though the actions they take contain many risks.

This study only looked at four folktales from two countries in Southeast Asia. Therefore, the samples used are limited so the results are relatively limited. For this fact about the dignity of women in marriage, especially in folklore, to become a broader discourse supporting gender justice, it is necessary to support other, more comprehensive studies on women in folklore from various countries. However, this research has illustrated the idealized rights for women in dealing with marriage so that they can motivate women, provide insight, and elevate women's dignity.

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# Saudi Female's Arabic Requests: A Comparative Study of Face-to-Face and Text-Based Communications

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**Abstract**—This mix-method study aimed to investigate the influence of communication media on the realization of the speech act of request in Arabic. Thus, it examined the number of words and the type of modification devices in the request of 40 Saudi female postgraduate students in equal power situations across two communication channels: face-to-face and WhatsApp text-based interactions. The data is collected using a discourse completion task with four situations that varied in the degree of imposition and social distance. The collected data was analyzed quantitatively and qualitatively. Two samples t-test was used to analyze the collected data along with a modified version of Blum-Kulka and Olshtain's (1984) coding scheme for categorizing the modification devices. The study found that participants produced more words in WhatsApp text-based communication than face-to-face communication, but no significant difference was found except in the context of (+I, +D). External modifiers were produced more than internal ones, especially grounders. Social distance influenced modifier frequency, while imposition only affected disarmers. The study implies modification devices are obligatory rather than optional in Saudi culture.

**Index Terms**—speech act, Arabic request, modification devices, face-to-face, WhatsApp

## I. INTRODUCTION

People live in communities and interact with each other through languages. It is through language that people can communicate and convey their messages in different forms of utterances. According to Luhmann (1992) communication is the result of the combination of three different selections, which are the selection of information, its utterance, and the understanding or misunderstanding of this information and its utterance. However, communication is no longer as it used to be. Today, with the continuous development of technology, people no longer need to see each other face-to-face (FTF) to talk and interact. Without a doubt, our communication practices are impacted in some way by the amazing technological advancement, particularly in computer-mediated communication (CMC).

According to Sadock (2006) pragmatics was initiated as a field of linguistic inquiry by Morris, Carnap, and Peirce in the 1930s. The field of pragmatics, the study of language use in communication has gained a lot of attention in the last few years (Leech, 1983). Yule (2010) defines pragmatics as the study of what is meant when it is not said or written explicitly. According to Al-Ageel (2016), the field of pragmatics has significantly contributed to uncovering the relationship between language and culture. Some of the influential frameworks in pragmatics are the speech act theory by Austin (1962) and the politeness theory by Brown and Levinson (1987). Many studies investigated different speech acts in different languages in FTF communication (Kwon, 2004; Alrefai, 2012; Alqahtani, 2015). In CMC interactions, a few studies examined the speech acts of native and non-native speakers of a single language (Duthler, 2006; Flores-Salgado & Castineira-Benitez, 2018).

## II. LITERATURE REVIEW

### A. Background on the Arabic Language

Arabic is part of the Semitic languages' family along with Amharic and Hebrew. It is considered one of the most widely used languages in the world. According to Fabri et al. (2014), it is the official language of the Arab World and several other countries such as Chad, Eritrea, and Israel. There are two main varieties of Arabic; Classical Arabic, the language found in the Holy Qur'an, and Modern Standard Arabic (MSA). By the seventh century, the Classical Arabic started to change gradually in many linguistic aspects such as style, vocabulary, and even mood of inflection resulting in the Modern Standardized Arabic (MSA) (Ryding, 2005). According to Fabri et al. (2014), the term Arabic language is usually used to refer to both MSA and its dialects. The MSA is the variety that is used in formal writing and education, while dialects are the informal spoken varieties of the MSA and used in daily life communication. However,

they are not taught in schools nor standardized. The Arabic language is an example of a diglossic situation where the MSA is the H variety, while its dialects are the L variety. The present study focuses on informal variety of Saudi Arabic without focusing on a specific dialect.

### *B. Speech Act and Politeness Theory*

John Austin introduced speech act theory in his book entitled *How to Do Things with Words* (1962), dividing sentences into two categories: constatives and performatives. Austin also categorized speech acts into locutionary, illocutionary, and perlocutionary acts. The locutionary act involves producing a recognizable and grammatical utterance, while the illocutionary act focuses on the message transmitted. The perlocutionary act refers to the effect of the utterance on a specific context. Austin (1962) highlights constatives focus on locutionary aspect, while performatives focus on illocutionary aspect. Searle (1976) categorizes illocutionary acts into verdictives, expositives, exercitives, behabitives, and commissives. Criticizing Austin's speech act theory, Searle (1976) reclassified speech acts into five acts: representatives, directives, commissives, expressives, and declarations. The study focused on directives, which are used by speakers to encourage action, such as the speech act of request. The study adopted Searle's taxonomy for its clarity and coherence.

The speech act theory and the politeness theory are intertwined. Most, if not all, linguistic theories of politeness revolve around Goffman's (1955) notion of face. Goffman (1955) defines the notion of face as "an image of self, delineated in terms of approved social attributes - albeit an image that others may share, as when a person makes a good showing for his profession or religion by making a good showing for himself" (p. 222). According to Goffman (1967) and Mead (1962) (as cited in Alrefai, 2012) in social interactions, people do not only communicate, but also present a desirable self-image. Brown and Levinson (1987) argued that the notion face is universal but subjected to cultural elaboration in any society. It is classified into positive face i.e., having a positive image in the eyes of others by giving compliments, showing interest, and using in-group identity markers; and negative face i.e., one's freedom of action expressed by strategies such as hedging and indirectness. They introduced the notion of face-threatening acts (FTAs), the acts that threaten the positive or negative face of the addressee and/or the speaker. According to Brown and Levinson (1987) the speaker evaluates the seriousness of an FTA on three crucial sociological factors that determine the level of politeness. These factors are social power (P), social distance (D), and degree of imposition (I).

The prominent speech act of request consists of two parts: the head act, the main part of the utterance that can stand by itself, and the peripheral elements, following and/or preceding the head act. The peripheral elements can either mitigate or aggravate the force of the head act, such as hedges and address forms (Reiter, 2000). According to Brown & Levinson (1978) (as cited in Blum-Kulka & Olshtain, 1984) request is regarded as an FTA since it pressures and affects the addresser's freedom of action. Therefore, the interlocutors need to mitigate their requests by using modification devices, i.e., internal modifiers and external ones. Faerch and Kasper (1989) (as cited in Halupka-Rešetar, 2014) explained that internal modifiers are the modification devices that are realized within the head act, while external modifiers are the ones localized in the immediate context of the head act. These modifiers do not affect the degree of the directness of the act, nor alter its propositional content.

### *C. CMC and WhatsApp*

According to Herring (1996), CMC is the communication between people using computers as a channel for this communication. The interaction can be either synchronous interaction or asynchronous interaction. Bodomo (2009) defines CMC as the process of coding and decoding linguistic and other symbolic messages in multiple formats through the computer and allied technologies, including laptops, smartphones, and palmtops. Moreover, Flores-Salgado and Castineira-Benitez (2018) affirmed that CMC allows the users to plan and edit their messages before sending them. Herring (1996) and Yus (2011) argue that text-based CMCs are typed, similar to writing, but fast, informal, and more like spoken conversations, with creative typography and punctuation replacing paralinguistic cues for emotional expressions, i.e., volume, proxemics, and facial expression.

One of the most used CMC applications is WhatsApp, launched almost a decade ago. It has become popular in more than 180 countries due to different features it provides to its users that facilitate their communications. The interactions can be synchronous or asynchronous. Users can interact by sending text messages, voice notes or even call each other by audio or video calls. In addition, users can send pictures, stickers, audios, videos, and even documents. Moreover, it allows the users to create chat groups with family members, friends, co-workers, classmates and so on. These features made the interaction natural and spontaneous. Nevertheless, WhatsApp allows its user to plan and check the message before sending it.

### *D. The Realization of Requests in CMC by Arabic Native Speakers*

The realization of the speech act of request by natives of different languages was the focus of different studies, such as Peruvian (García, 1993), English (Beltran & Martinez-Flor, 2008), Americans (Duthler, 2006), Persian (Nodoushan & Allami, 2011), and Mexicans (Flores-Salgado & Castineira-Benitez, 2018). As for requests in Arabic, there has been little up to date investigation of it, especially on the cultures and dialects of the Gulf region in CMC. Aldhulaee (2011) compared the use of internal and external modifiers in requests by Australian English native speakers and Iraqi Arabic native speakers. He concluded that Australians used more internal modifiers, such as questions and politeness markers,

while Iraqis used subjunctive and consultative devices. Iraqis also used more modifications with a higher social distance and equal power interlocutors, indicating a significant influence of social distance on request mitigation. Al-Ageel's study (2016) examined the impact of age, social power, distance, and imposition on politeness strategies in Arabic requests among Saudi women. The study involved 50 participants from two generations, 20-39 and 40-60 years old. He stated that both age groups preferred direct strategies, with grounders, imposition minimizers, preparators, and politeness markers being the most common modifiers. Social variables also influenced women's requesting behavior. Alqahtani (2015) studied favor asking among 60 Saudi women. He found that they used both direct and indirect strategies, with a preference for direct ones. He also concluded that social variables influence modification devices. Alrefai's (2012) study on Kuwaitis Arabic favor asking revealed indirect strategies preferred over direct ones, with modifiers like grounders, appreciation, and alerters more common in equal power scenarios. Finally, Sattar et al. (2014) found Iraqis and Malaysians share similar external modifications in requests, with grounders being the most common, while Iraqis use greeting, addressee, detail, and thanking forms.

As this review of literature shows, most of the research have focused their investigation on the head act strategies i.e., level of directness and have given scarce attention to the modifiers used to mitigate or aggravate requests. In addition, only few studies have explored requests strategies and modifications of native speakers in CMC, especially in the Arabic dialects of the Gulf region. Additionally, no research has investigated native Arabic speakers' requests in CMC, particularly in WhatsApp text messages, and its impact on the modification devices in situations of equal power. Therefore, this study aims to fill gaps in speech act literature by examining Saudi women's Arabic requests in WhatsApp messages and comparing them to FTF interactions. It focuses on the impact of CMC interaction on modification devices used to mitigate or aggravate requests in equal power situations. The study attempted to answer the following two questions:

- 1- Do Saudi female postgraduate students' requests differ in FTF interactions from WhatsApp text-based requests in terms of the number of words produced in equal power situations?
- 2- What kind of modification devices do Saudi female postgraduate students use in FTF and WhatsApp text-based interactions?

### III. METHODOLOGY

#### A. *Research Design*

A mix-method design was employed by collecting quantitative and qualitative data to get deeper insights into how Saudi female postgraduate students request in Arabic. The quantitative analysis examined the number of words that the Saudi females produced in both FTF and WhatsApp text-based interactions and see if there was any statistically significant difference between them. Whereas the qualitative analysis investigated the interactions at the discourse level by categorizing the modification devices that the participants used in their Arabic requests into two main subcategories: internal and external modification devices.

The present study investigated equal power (=P) situations with variations across the degree of imposition i.e., low imposition (-I) and high imposition (+I), and social distance i.e., low distance (-D) with familiar interlocutors and high distance (+D) with unfamiliar interlocutors. Equal power situations were chosen to be the focus of this investigation to ensure that communication media is the dependent variable on the modifications of the request.

#### B. *Participants*

The study examined the requests of 40 Saudi female postgraduate students who were studying at a Saudi University. The study only investigated monolingual speakers of Arabic since being a bilingual with an excessive exposure to another language and culture may affect their way of requesting in Arabic. The participants' age ranged from 24 to 30 years old.

#### C. *Instruments*

A DCT, which consisted of four situations, was used to collect data. According to Rasekh and Alijanian (2012) DCTs are written or spoken scenarios in which the participants are asked to produce what they think to be appropriate for a particular situation. A DCT was employed as an instrument for collecting data as it helps to control social variables such as social status (Kwon, 2004) and to easily collect data from a large number of respondents in different situations. Furthermore, to elicit more spontaneous and accurate results, different modes of interactions were used to mimic real-life situations. Therefore, an oral DCT was employed in FTF communication, while a written DCT was used in WhatsApp text-based messages. A recorder was used to record the participants' requests in the FTF communication, while WhatsApp text-based messages were used to send the situations to the participants and receive their responses.

#### D. *Material*

In order to ensure that the FTF and WhatsApp text-based interactions' conditions were comparable in all respects aside from the communication medium, four situations were adopted from Alqahtani (2015) which were equal power situations with variations across the degree of imposition and social distance level. These situations were adopted

because they were administrated in Saudi Arabic, rather than MSA, allowing the elicitation of more natural responses. A brief description of the four situations is provided in Table 1.

TABLE 1  
DCT SCENARIOS DESCRIPTION

Situation	Imposition & distance	Description
1	+I, -D	A woman asks her friend to borrow money although she did borrow before.
2	-I, -D	A woman asks her friend to look after her kids for some time, while she attends a wedding.
3	+I, +D	A teacher asks her colleague for help in invigilating her subject exam.
4	-I, +D	A student asks her classmate to borrow her laptop to do her presentation.

### E. Data Collection Procedures

Forty participants were randomly selected and divided them into two equal groups, one for the FTF communication and the other was for the WhatsApp communication. A consent form was obtained before data collection for voluntary participation and are assured that all information collected were kept confidential. After that, the situations were read to the FTF participants individually and then the participants gave their responses. The participants were given only one minute to provide their requests to ensure the spontaneity of their responses. Moreover, the situations were texted via WhatsApp to the CMC group and screenshots of their requests were taken. Then, all responses were transcribed and translated in a word file. For Arabic transcription, the International Phonetic Alphabet (IPA) was adopted from Brierley et al. (2016).

### F. Data Analysis

The collected data consisted of 160 requests, 80 requests per channel. To check if there was any statistically significant difference between the two communication channels in terms of the number of words produced, a two-samples i.e., independent samples, t-test was conducted through the Statistical Package for Social Sciences (SPSS). Regarding the qualitative data, the data was analyzed according to Blum-Kulka and Olshtain's (1984) Cross-Cultural Speech Act Realization Project's (CCSARP) coding manual which contained a classification scheme for internal and external request modifications. According to Rue and Zhang (2008) an internal modifier is a modifier that is part of the head act, whereas an external modifier is a modifier that is not part of the head act, but rather within its immediate context and is called supportive move.

*Internal modifications.* In CCSAPP coding scheme, internal modifications are devices that are used to modulate the illocutionary force of the request. They are classified into downgraders and upgraders. Downgraders are modifiers that function to soften the imposition of a request and they can be subcategorized into lexical/phrasal and syntactic downgraders, while upgraders are modifiers that increase the force of a request. Additional modifiers from Blum-Kulka et al. (1989) (as cited in Alqahtani, 2015; Halupka-Rešetar, 2014) were added to this taxonomy, which are conditional clauses, politeness markers, time intensifiers, and repetition of requests. In addition, the in-group identity markers modifier was added to the taxonomy since it was found in the findings of Al-Ageel (2016) who investigated the speech act of request in Saudi Arabic. The final taxonomy of internal modifications used in the present study is presented in Table 2, 3 and 4 below.

TABLE 2  
SYNTACTIC DOWNGRADERS

Modifier	Example
Interrogative	Could you do the cleaning up?
Negation	Look, excuse me. I wonder if you wouldn't mind dropping me home?
Past tense	I wanted to ask for a postponement.
Embedded 'if' clause	I would appreciate it if you left me alone.
Conditional clause	If you are not using the car, can I take it?

TABLE 3  
LEXICAL DOWNGRADERS

Modifier	Definition	Example
Politeness markers	Expression to bid for cooperative behavior.	Please
Consultative devices	"Elements by means of which the speaker seeks to involve the hearer and bids for his/her cooperation, in addition to other strategy types." (Blum-Kulka & Olshtain, 1984, p. 204)	Do you think I could borrow your lecture notes from yesterday?
Understaters	"Elements by means of which the speaker minimizes parts of the proposition" (Blum-Kulka & Olshtain, 1984, p. 204)	Could you tidy up a bit before I start?
Hedges	"Elements by means of which the speaker avoids specification in making a commitment to the illocutionary point of the utterance, in naming the required action, in describing the manner in which it is to be performed, or in referring to any other contextual aspect involved in its performance" (Blum-Kulka & Olshtain, 1984, p. 204)	It would really help if you did something about the kitchen.
Downtoner	"Elements by means of which the speaker modulates the impact his/her utterance is likely to have on the hearer, achieving the modulation via devices signaling the possibility of non-compliance" (Blum-Kulka & Olshtain, 1984, p. 204)	Will you be able perhaps to drive me?
In-group identity markers	Elements that are used to show that the speaker and the hearer belong to the same group	My sister, my brother

TABLE 4  
UPGRADERS

Modifier	Definition	Example
Intensifiers	“Elements by means of which the speaker over-represents the reality denoted in the propositions.” (Blum-Kulka & Olshtain, 1984, p. 204)	Clean up this mess, it's disgusting.
Time intensifiers	Lexical items used to express time.	Right now, immediately
Expletives	“Lexical intensifiers by means of which the speaker explicitly expresses negative emotional attitudes” (Blum-Kulka & Olshtain, 1984, p. 204)	You still haven't cleaned up that bloody mess!
Repetition of request	A request can be paraphrased or repeated literally.	Get lost! Leave me alone!

*External modifications.* External modifications or supportive moves are the modifiers that either precede or follow the head acts to mitigate or aggravate the force of requests. The researcher added some external modifiers to the taxonomy from Blum-Kulka et al. (1989) (as cited in Alqahtani, 2015; Flores-Salgado & Castineira-Benitez, 2018). These include alerters, preparators, rewards, and imposition minimizers. Moreover, some external modifiers were added from other studies that have investigated the speech act of request in similar cultures. These include religious expressions, appreciation, small talk, apology, and affective appeal, from Alqahtani (2015) who investigated requests in Saudi Arabic, and oath-taking from Alrefai (2012) who investigated the speech act of request in Kuwaiti Arabic. Table 5 and 6 below gives the final taxonomy of external modifications used in this study.

TABLE 5  
ALERTERS

Modifier	Example
Greeting alerter	Good morning, Hi
First name alerter	Sara, Noura
Title alerter	Professor, teacher
Endearment term	Honey, dear
Attention getter	Hey, excuse me, listen

TABLE 6  
EXTERNAL MODIFICATIONS

Modifier	Definition	Example
Checking on availability	“The speaker prefaces his/her main speech act with an utterance intended to check if the precondition necessary for compliance holds true” (Blum-Kulka & Olshtain, 1984, p. 204)	Are you going in the direction of the town? And if so, is it possible to join you?
Preparator	A phrase used to prepare the hearer for the coming request.	I'd like to ask you something ...
Getting a precommitment	“The speaker precedes the act by an utterance that can count as an attempt to obtain a precommitment” (Blum-Kulka & Olshtain, 1984, p. 205)	Will you do me a favor?
Grounder	“The speaker indicates the reasons for the request. (Grounders may precede or follow the Head act)” (Blum-Kulka & Olshtain, 1984, p. 205)	I missed class yesterday, could I borrow your notes?
Sweetener	“By expressing exaggerated appreciation of the hearer's ability to comply with the request, the speaker lowers the imposition involved” (Blum-Kulka & Olshtain, 1984, p. 205)	You have beautiful handwriting, would it be possible to borrow your notes for a few days?
Disarmer	“The speaker indicates his/her awareness of a potential offense, thereby attempting to anticipate possible refusal” (Blum-Kulka & Olshtain, 1984, p. 205)	I hope you don't think I'm being forward, but is there any chance of a lift home?
Cost minimizer	“The speaker indicates consideration of the 'cost' to the hearer involved in compliance with the request” (Blum-Kulka & Olshtain, 1984, p. 205)	Pardon me, but could you give me a lift, if you're going my way.
Imposition minimizer	Reduce the requests imposition on the hearer	I will return them as soon as possible.
Religious expressions	Expressions that are used to wish and pray for the hearer that invoking the compliance with the request.	May Allah give you strength/ health
Appreciation	“Expresses gratitude for potential compliance” (Alrefai, 2012, p. 31)	I would be grateful
Small talk	“Informal discourse that reinforces social bond” (Alrefai, 2012, p. 31)	How are you?
Apology	“Expression of regret for imposing on the hearer” (Alrefai, 2012, p. 32)	I apologize for coming to your office without an appointment
Affective Appeal	“Invokes the hearer's emotion” (Alrefai, 2012, p. 32)	I have no one to help me, but you
Oath-taking	“Offering an oath as to the truthfulness of an utterance” (Alrefai, 2012, p. 33)	I swear I will bring it back
Reward	Giving a reward for fulfilling the request.	I'll buy you dinner.

With the FTF group, the researcher read the situations to the participants and asked them to perform a request after giving them a minute to understand the situation. The researcher used a recorder to record the participants' responses. For the WhatsApp group, the researcher messaged the participants first to check if they were available to do the written DCT before sending them the situations. The situations were sent separately. After receiving the response for the first situation, the second situation was sent and so on. The data was transcribed and translated before analyzing it.

#### IV. RESULTS

To investigate the influence of communication channels on the realization of the speech act of request, the data was analyzed, and the findings showed that the participants of the WhatsApp group consistently produced more words than their FTF counterparts when requesting in equal power situations as shown in Table 7 below.

TABLE 7  
NUMBER OF PRODUCED WORDS

Situation	FTF	WhatsApp text-based
Situation 1	700	836
Situation 2	610	724
Situation 3	538	765
Situation 4	412	558

In order to see if this difference is statistically significant, an independent-samples t-test was conducted to compare the number of words produced in FTF and WhatsApp text-based interactions. As shown in Table 7, in the first situation (+I, =P, -D) which was requesting money from a friend, the FTF group ( $M = 35$ ,  $SD = 20.69$ ,  $n = 20$ ) produced 700 words, whereas the WhatsApp text-based group ( $M = 41.80$ ,  $SD = 17.73$ ,  $n = 20$ ) produced 836 words. However, this difference was statistically insignificant,  $t(38) = -1.12$ ,  $p = 0.27$ . With regards to the second situation (-I, =P, -D), asking a friend to watch over the kids for a while, the FTF group ( $M = 30.50$ ,  $SD = 13.73$ ,  $n = 20$ ) also produced less words than the WhatsApp text-based group ( $M = 36.20$ ,  $SD = 18.27$ ,  $n = 20$ ) as shown in Table 7. The t-test showed that this difference was also statistically insignificant at the alpha level 0.05,  $t(38) = -1.12$ ,  $p = 0.27$ . In the third situation (+I, =P, +D) that is asking a colleague to help in invigilating an exam, the difference was more pronounced as the FTF group ( $M = 26.90$ ,  $SD = 14.63$ ,  $n = 20$ ) produced 538 words while the WhatsApp text-based group ( $M = 38.25$ ,  $SD = 19.07$ ,  $n = 20$ ) produced 765 words. The independent-samples t-test showed that there was a statistically significant difference in the number of words produced by the two communication channels,  $t(38) = -2.11$ ,  $p = 0.04$ . Thus, this finding supports the hypothesis that the type of communication channel affects the number of words produced. In the case of the fourth situation (-I, =P, +D) which was about borrowing a classmate's laptop, as shown in Table 7 the FTF group ( $M = 20.60$ ,  $SD = 10.35$ ,  $n = 20$ ) produced a smaller number of words compared to the WhatsApp text-based group ( $M = 27.90$ ,  $SD = 13.27$ ,  $n = 20$ ). Nevertheless, this difference was statistically insignificant,  $t(38) = -1.94$ ,  $p = 0.06$ .

Regarding the types of modification devices Saudi female postgraduate students use in both modes of interactions, the responses were first analyzed and classified in a vertical bar chart according to modifier (x-axis) and frequency (y-axis). The data analysis showed that both communication channels used more external modifiers than internal modifiers. In addition, interrogatives and politeness markers were more common in +D situations, while imposition minimizers, small talk, preparators, and affective appealers were more common in -D situations. Moreover, disarmers were more common in +I situations than in -I situations. Furthermore, the analysis revealed that rewards were more common in the third situation.

As Figure 1 below shows, the participants of this study used different kinds of modifiers in the first situation (+I, =P, -D), especially when using external modifiers.

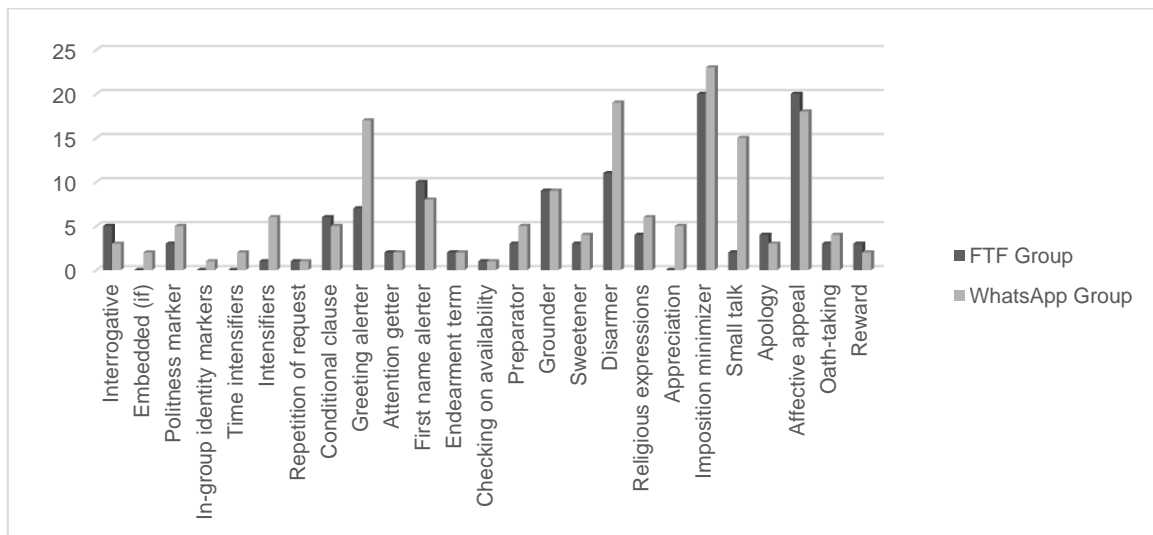


Figure 1. First Situation Modifiers

Imposition minimizers, affective appealers, disarmers, grounders, small talk, and alerters, especially greeting and first name alerters were the most commonly used modifiers by both groups. While checking for availability, repetition of request, attention getters, and endearment terms were the least used modifiers. Some modifiers were only found in the WhatsApp interaction such as embedded (if), in-group identity marker, time intensifiers, and appreciation. The data analysis illustrated that the most commonly used modification devices were external modifiers. A few internal modifiers were used, and the most frequent modifiers were conditional clauses, intensifier, politeness marker, and interrogative.



However, the analysis showed that the WhatsApp group used more greeting alerters, small talk, and imposition minimizers than the FTF group, while the FTF group used more first name alerters and affective appealers than the WhatsApp group. Both groups used alerters to initiate an interaction. The small talk modifier, which was used to reinforce social bonds before requesting, was mostly preceded by one or more alerters.

*Example response 4.2 (+I, -D), FTF group*

احتاج مبلغ خمس الاف ممكن تعطيني اياه؟ وارجه لك بعدين.

ʔahta:dʒ mablax xams ʔa:la:f mumkin taʔʔi:ni: ʔi:a:h waʔaradzifuh lik baʔdajan

I need 5000 Riyals. Is it possible (politeness marker) to give it to me? (interrogative) And I will pay you back later (imposition minimizer).

*Example response 4.3, from situation 1 (+I, -D), WhatsApp group*

السلام عليكم كيف حالكم يا ساره؟ والله منخرجه منك اني اطلب منك مره ثانيه لكن انا فعلا محتاجه هالمبلغ. احتاج 5000 واوعدك ارجعه مع اقرب راتب واسفه جدا على از عاجك.

ʔassala:mu ʕalajkum kajf ha:lik ja: sa:rah walla:h minhardʒh mink ʔini: ʔatʔlab mink marrh ʔa:ni:h la:kin ʔana: fiʕlan mihta:dʒah haʔalmablax ʔahta:dʒ xams ʔa:la:f waʔawʕidik ʔaradzifuh maʕ ʔaqrab ra:tib waʔasfah dʒidan ʕala: ʔazʕa:dʒik

Peace be upon you (greeting alerter), how are you (small talk) Sarah (first name alerter)? I swear (oath-taking) I am really embarrassed for asking you again (disarmer), but I really need some money (grounder). I need 5000 Riyals and I promise I will repay you as soon as I receive my salary (imposition minimizer). I am really sorry for bothering you (apology).

In the second situation (-I, =P, -D) the participants' responses included less variation in terms of the modification devices used than in the first situation as shown in Figure 2.

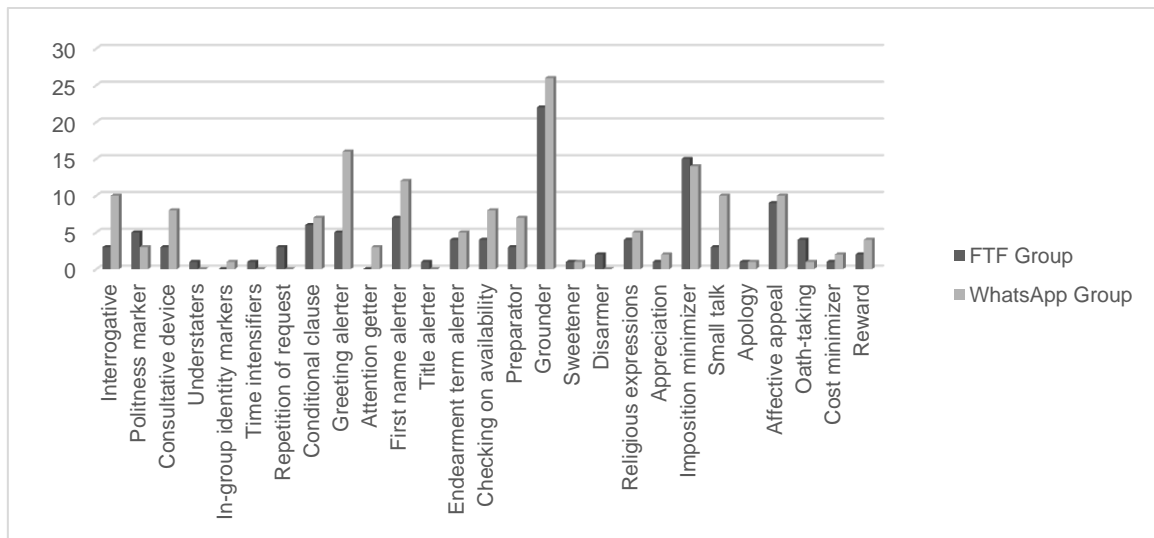


Figure 2. Second Situation Modifiers

Modifiers such as grounders, imposition minimizers, greeting alerters, first name alerters, and affective appealers were the most commonly used modifiers by both groups, which is quite similar to the modifiers used in the first situation. As we can see from Figure 2, the least used modifiers by both groups were cost minimizers, sweeteners, apology, and appreciation. As in the first situation, the most used modifiers were external modifiers. While internal modifiers were not often used, especially by the FTF group, the most commonly used modifiers were conditional clauses, consultative devices, and interrogatives. Moreover, there were some modifiers that were used in only one communication channel. For example, the FTF group used time intensifiers, understaters, repetition of requests, title alerters, and disarmers. However, the WhatsApp group used modifiers such as in-group identity markers and attention getters.

Nevertheless, the in-group identity marker was used only once, and attention getters were used only three times. Similar to the first situation, small talk, greeting alerters, and first name alerters were used more by the WhatsApp group.

*Example response 4.6 (-I, -D), FTF group*

الله يعافيك ممكن احط عندك اطفالي؟ وتقريبا ثلاث ساعات وارجع لك.

ʔalla:h juʕa:fi:k mumkin ʔaʔatʕ ʕindik ʔatʔfa:li: wataqri:ban ʔala:ʔ sa:ʕa:t waʔardʒaʕ lik

May Allah give you health (religious expression), is it possible (politeness marker) to leave my kids with you? (interrogative) I will pick them up in about three hours (imposition minimizer).

*Example response 4.8 (-I, -D), WhatsApp group*

مساء الخير كيف حالكم؟ عادي اترك العيال عندكم؟ بروح زواج وما في مكان اخليهم فيه.

masa:ʔ ʔalxajr kajf ha:lik ʕa:di: ʔatrik ʔalʕja:l ʕindak baru:h zawa:dʒ wama: fi: maka:n ʔaxali:hum fi:h

Good evening (greeting alerter), how are you? (small talk) Is it okay (consultative device) to leave the kids with you? (*interrogative*) I have to attend a wedding and I do not have anyone to look after them (*grounder*).

Figure 3 below shows that in +I, =P, +D situation, the most commonly used modifiers were interrogatives, first name alerters, politeness markers, grounders, disarmers, and rewards, with greeting alerters being mostly used by the WhatsApp group, while repetition of requests, appreciation, imposition minimizers, and oath-taking being the least commonly used modifiers by both communication channels.

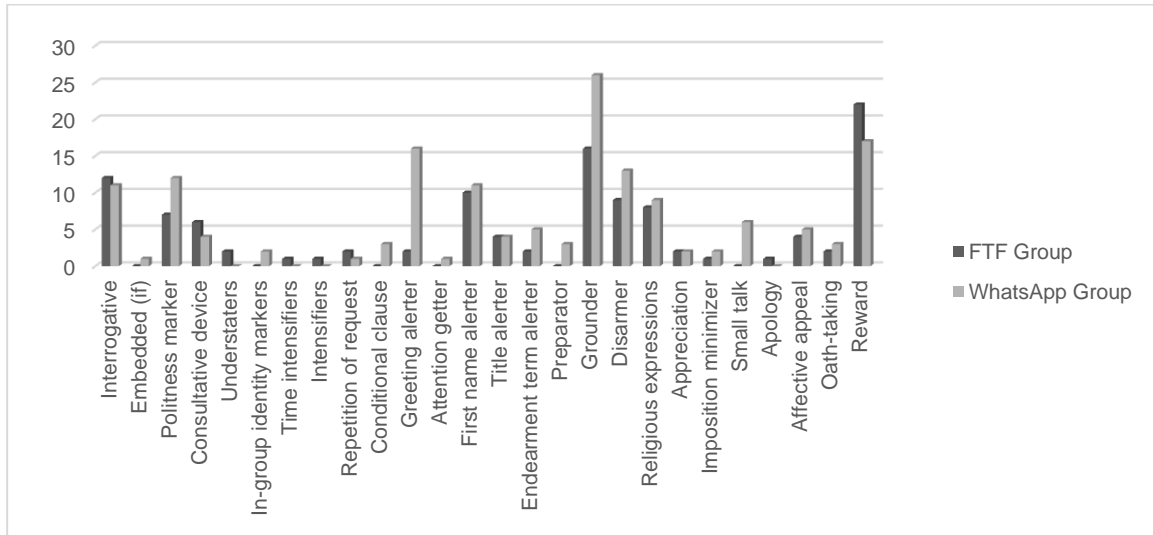


Figure 3. Third Situation Modifiers

As shown in Figure 3, modifiers such as understaters, time intensifiers, intensifiers, and apology were rarely used, and they were only used by the FTF group. On the other hand, only the WhatsApp group used embedded (if), in-group identity markers, conditional clauses, attention getters, preparators, and small talk. In addition, the analysis showed an increase in the frequency of internal modifiers compared to the previous situations, especially interrogatives and politeness markers. Moreover, the data analysis revealed that there was an increase in the frequent use of the reward modifier compared to the three other situations.

*Example response 4.10 (+I, +D), FTF group*

عزيزتي عادي تجين توقفين معي شوي لحد ما اخلص اختباري؟ ثم نرجع انا وانت ونكمل مع بعض تصحيح.

ʕazi:zati: ʕa:di: tidʒin tu:qifi:n maʕi: ʕiwaj lahd ma: ʔaxalasʕ ʔixti:ba:ri: ʕumm nardʒiʕ ʔana: waʔanti wanikamil maʕ baʕdʕ tasʕhi:h

Dear (endearment term), is it okay with you (consultative device) to invigilate my students' exam with me for a little bit (understater)? (interrogative) And after we finish, we can continue grading your students' exam together (reward).

*Example response 4.12 (+I, +D), WhatsApp group*

صباح الخير عندي اختبار واحتاج مساعدتك في المراقبة إذا سمحتي. أدري إنك مضغوطة بالتصحيح بس لعلني إذا خلاصنا مراقبه اساعدك في إنجازة.

sʕaba:h ʔalxajr ʕinnadi: ʔixti:ba:r waʔahta:dʒ musa:ʕadatik fi: ʔalmura:qabah ʔiða: samʕati: ʔadri: ʔanaki madʕyu:tʕah biʔattasʕhi:h bass laʕalaj ʔiða: xallasʕana: mura:qabah ʔasa:ʕidik fi: ʔindʒi:h

Good morning (greeting alerter) today is my students' exam (grounder) and I need your help to invigilate the exam, please (politeness marker). I know that you are stuck with a pile of papers to grade (disarmer), but hopefully, when we finish, I can help you with that (reward).

In the last situation, Figure 4 below shows that modifiers such as interrogative, politeness markers and grounder were the most used modifiers, with Embedded (if), repetition of requests, preparator, getting precommitment, and reward being the least used modifiers by both communication channels.

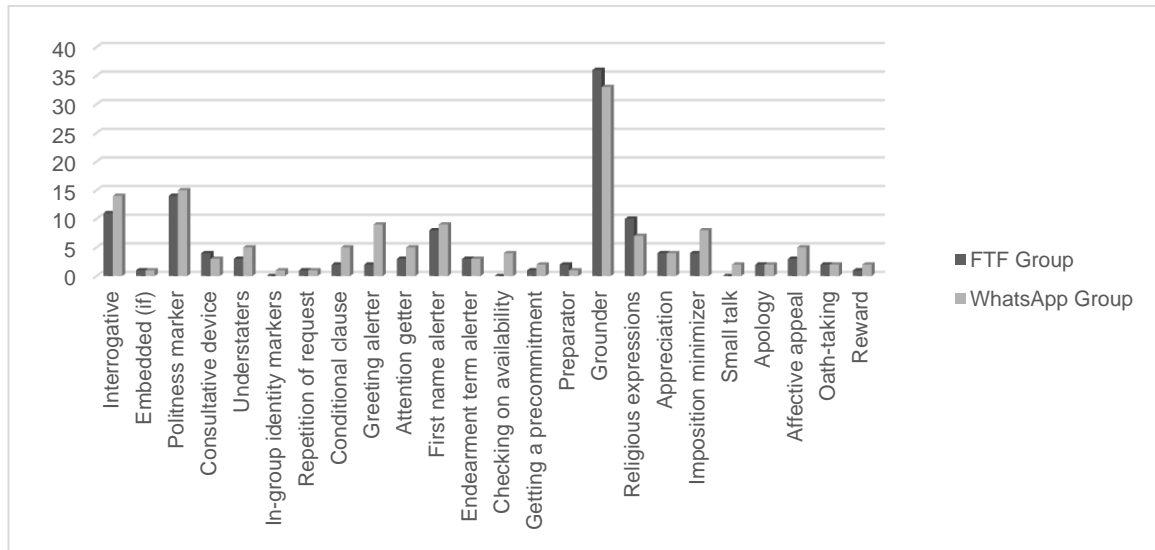


Figure 4. Fourth Situation Modifiers

Some modifiers were rarely used such as in-group identity markers, checking on availability, and small talk; and they were only used by the WhatsApp group.

*Example response 4.13, from situation 4 (-I, +D), FTF group*

الله يسعدك أنا مضطرة استعمل لابتوب الأبل لأن ما يشتغل عرضي الا على اللابتوب وانا نسيت اللابتوب في البيت.

ʔalla:h jasʔidk ʔana: mudʔʔarraḥ ʔastaʕmal la:btu:b ʔalʔabl liʔan ma: jaʔstaxil ʕardʔi: ʔilla: ʕala: ʔala:btu:b waʔana: nasijat ʔala:btu:b fi: ʔalbajt

May Allah grant you happiness (religious expression), I have to use the Apple MacBook because my PowerPoint file can only run on a MacBook (grounder) and I forgot mine at home (grounder).

*Example response 4.15, from situation 4 (-I, +D), WhatsApp group*

لو سمحتي انا نسيت لابي، ممكن استخدم لابلك شوي في العرض؟

law samḥati: ʔana: nasijat la:bi: mumkin ʔastaxdim la:bik fīwaj fi: ʔalʕardʔ

Excuse me (attention getter), I forgot my laptop (grounder), is it possible (politeness marker) to use your laptop for my presentation for a bit (understate)? (interrogative)

## V. DISCUSSION

As was previously mentioned in the literature review, few studies have investigated the pattern of requests in CMC. Therefore, for the purpose of discussion, the results of the studies that employed voicemail or role-play were compared to those of the FTF group, and the results of the studies that employed written DCT were compared to those of the WhatsApp group.

With respect to the first research question, the findings of this study showed that the WhatsApp group produced more words than their FTF group counterpart. Although the difference in the number of words was insignificant, except for situation three (+I, =P, +D), this finding coincides with the findings of Duthler (2006) who found that e-mails produced more words than voicemails. According to Flores-Salgado and Castineira-Benitez (2018) online communication allows interlocutors to plan, organize, and edit their messages before sending them. Hence, the verbosity that characterizes the WhatsApp text-based interaction is most likely due to these advantages that the interlocutors have in CMC. Furthermore, it appears that high-imposing scenarios and high distance ones generated more words because of the notable difference in word count between the two communication channels in the third scenario (+I, =P, +D) and fourth scenario (-I, +D) respectively. This is consistent with Duthler's (2006) research, which demonstrated that more words were produced in response to demanding requests than in response to less demanding requests. High imposition degree scenarios, however, did not yield results that were similar.

Additionally, the findings evidently revealed that both groups used more external modifiers than internal modifiers. Such a finding is consistent with the findings of previous research (Al-Ageel, 2016; Alqahtani, 2015; Alrefai, 2012; Nodoushan & Allami, 2011). The most commonly used modifier by both groups was grounder. Aldhulaee (2011) explained that giving reasons is a way to achieve a smooth interaction that signifies the speaker's expectation of the hearer's understanding and cooperation. This finding was also reported in different Arabic studies (Aldhulaee, 2011; Al-Ageel, 2016; Alqahtani, 2015; Alrefai, 2012; Sattar et al., 2014). According to Al-Ageel's (2016) and Aldhulaee's (2011) studies, interrogatives and politeness markers were the most commonly used internal modifiers by Saudi women and Australians.

An additional discovery highlighted is the use of alerters, and sometime small talk, to open a conversation or interaction and draw the addressee's attention, especially in the WhatsApp messages. This finding is consistent with

Flores-Salgado and Castineira-Benitez's (2018) results, who concluded that native Spanish speakers in Mexico used alerters as an opening strategy for their WhatsApp messages. Likewise, Nodoushan and Allami (2011) found that Persian women used a lot of alerters to draw the addressee's attention to the request. Many requests begin with one or more alerters such as greeting alerter, first name alerter and, in some cases, followed by small talk. This finding implies that establishing a social encounter with the addressee paves the way to perform the request.

The analysis also revealed that there was an increase in the frequency of interrogatives and politeness markers in +D situations, and an increase in the frequency of imposition minimizers, small talk, preparators and affective appealers in -D situations. This finding was also reported in Alrefai's (2012) study, who found that greeting alerters and politeness markers were more common in +D situations, whereas imposition minimizers, softeners, preparators, and small talk were commonly used in -D situations. Likewise, Garca (1993) found that female participants intensified their request by employing emotional appealers and repeating their requests in different ways. Moreover, Aldhulaae (2011) found that Iraqis used less internal modifiers in -D situations. Aldhulaae (2011) explained that the low frequency of internal modifiers in -D situations is associated with the interlocutor's anticipations of the addressee to cooperate as part of his/her moral obligation towards the interlocutor. In addition, Al-Ageel (2016) stated that social distance has a significant impact on Saudi women's requesting behavior.

In terms of the degree of imposition, the data analysis indicated that there was an increase in the frequency of disarmers in +I situations. Beltran and Martinez-Flor (2008) found that grounders and disarmers were the most commonly used modifiers in all situations. However, this finding contrasts Alqahtani's (2015) observation that some modifiers (i.e., alerters are one of them) disarmers were not significantly affected by the degree of imposition. Blum-Kulka and Olshtain (1984) explained that disarmers are what the interlocutor use to show his/her awareness of possible refusal. This definition of disarmers may explain why the participants used them to mitigate +I situations since +I requests can correspond to a high possibility of refusal.

The results indicated an increase in the use of rewards in the third situation, (+I, +D). In this situation, the interlocutor is requesting a high imposing favor from a distant hearer, which may make the interlocutor feel uncomfortable with this request. Thus, the interlocutor may feel the need to return the favor. Goldschmidt (1988) explained that requesting a favor implies the notion of reciprocity. This finding coincides with Alqahtani's (2015) findings, in which Saudi women used the modifier reward a lot in (+I, +D) situation. Similarly, Alrefai (2012) found that Kuwaitis used a lot of rewards in =P situations compared to +P and -P situations. Alrefai (2012) justified that such increase in the use of rewards is because the Kuwait culture is a reciprocity culture.

In the literature, modification devices are considered optional elements to the head act of the request. However, the findings of this study showed that across all situations, every participant's response included at least one modification device to the head act. This finding suggests that modification devices seem to be obligatory in the Saudi culture. The high tendency towards accompanying modification devices to the head act was also reported in previous Arabic studies (Alqahtani, 2015; Alrefai, 2012). Moreover, in almost all the participants' requests, the participants employed more than one modifier to mitigate or aggravate the head act. This finding is in line with Nodoushan and Allami's (2012) observation that it is quite possible to find more than one internal modifier or external modifier or even both in the same request.

## VI. CONCLUSION AND IMPLICATIONS

Considering the aforementioned results, WhatsApp text-based group tends to produce more words than the FTF group. However, this tendency for verbosity was only significant in the third situation (+I, +D). The study also implied that social distance may play a role in the participants' verbosity in WhatsApp text-based interaction. In addition, the study revealed that both communication media used more external modifiers than internal ones, especially grounders, which supports previous studies findings. The study also showed that the most frequently used internal modifiers were interrogatives and politeness markers. Moreover, the study pointed out that alerters and sometimes small talk were used as opening strategies, especially by the WhatsApp group.

Furthermore, the findings also indicated that social distance influences the frequency of some modification devices such as politeness markers, imposition minimizers, small talk, and affective appealers, while the degree of imposition influences the frequency of disarmers only. The study also revealed that rewards were more commonly used in the third situation when asking high imposing requests to a distant addressee than the other situations. Interestingly, the study revealed that Saudi females' requests were always accompanied by modification devices to the head act.

The findings of this study imply that the realization of requests in WhatsApp text-based interactions is quite similar to the realization of requests in FTF interactions in terms of modification devices. Moreover, the findings imply that the use of modification devices, is not optional in the Saudi culture, especially supportive moves. These findings offer insight into how Saudi females request in Arabic in FTF and WhatsApp text-based interactions. In addition, the findings of the study would help linguists to understand some of the socio-pragmatic knowledge of native speakers of Saudi dialect. From a pedagogical perspective, the findings of the present study would help Arabic learners learn and understand the cultural aspect of how to request in Arabic. Moreover, this study attempted to bridge a gap in the literature since not many up to date studies in the Saudi context have compared the speech act of Arabic requests in FTF

interactions to WhatsApp text-based interactions. Furthermore, it helps multilingual societies researchers in their studies, especially when comparing their findings to monolingual societies.

For future research, it is recommended that other speech acts should be investigated in CMC. It is also recommended that another instrument should be used along with a DCT such as a follow-up interview with the participants to provide deeper insights into the participants' decision in choosing these modification devices and their perceptions of the contextual factors that influenced their decision. Moreover, future studies should examine the motives for using CMC and FTF interactions. In addition, since one of the main limitations of the present study is that it only investigated interactions between female interlocutors and addressees, it is highly recommended that the current study could be replicated to investigate Saudi male interlocutors and addresses requests in FTF and WhatsApp text-based interactions. Moreover, future research should investigate mixed-gender interactions in FTF and WhatsApp text-based interactions. Furthermore, the present study did not investigate paralinguistic cues in FTF interactions nor emojis in WhatsApp text-based interactions. Therefore, it is important to investigate the paralinguistic cues in FTF interactions and how are they represented in WhatsApp text-based interactions through emojis. Moreover, differentiation between regional and tribal dialects in investigating and analyzing the participants' requests could be explored in future research.

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# An Instructional Model Based on Mobile Microlearning for Teaching English Idioms Through Songs to EFL Learners

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**Abstract**—This study investigates the effectiveness of adopting the ADDIE model in teaching idioms by utilising idioms in songs through using a mobile microlearning strategy in the classroom. It is impossible to infer an idiomatic expression's meaning from the words themselves. Therefore, both understanding and using them pose difficulties for EFL students. But using them effectively in conversation is a good indicator of a high level of English proficiency. The sample consisted of 15 students in one of the Jordanian high schools. The researcher carefully selected these idioms in songs to ensure they did not already know them. Another crucial factor while choosing these songs was the ability to guess either the idioms' literal translation or the symbolic meaning. After the experiment, the researcher administered one post-test to measure how idioms in songs affect the retention rate of these idioms. The experiment results show that using idioms in songs through a mobile microlearning strategy had a better short- and long-term retention rate. Therefore, the results of this study indicate that using idioms in songs with a mobile microlearning strategy while teaching idioms should have much attention from teachers because idioms are potent tools to enhance students' retention of remembering and using these idioms. Also, teachers must give more opportunities for students to interact using these idiomatic expressions to improve their speaking skills.

**Index Terms**—idioms in songs, mobile microlearning strategy, foreign language learners, Arab learners

## I. INTRODUCTION

Because of the global pandemic of the Covid-19 virus, many educational institutions shifted to online courses. One of the biggest online teaching challenges was maintaining students' concentration and interests. Keeping students' attention and focus during study time is just one of many obstacles to successfully implementing online learning. Surprisingly, using the same textbook to complete the assignments is a requirement for traditional and online learning, which shares a similar condition with conventional education. Students must master the same material and keep the subject matter in mind regardless of whether they read an electronic or paper book. Online learning is generally identical to traditional education, with the only difference being that one takes place online and the other in a classroom setting. Surprisingly, online learning time was the same as face-to-face learning, and students' attention decreased due to tiredness and boredom, affecting the learning process improvement and failure to achieve the goals of the lessons.

Another significant online learning difficulty for many students is their inability to maintain their attention for extended periods. Many parents are worried about the health risks of letting their kids spend much time staring at screens. According to Fitria (2022), students can learn new skills and gain new knowledge without committing to a long formal education program.

According to Burton (2022), some students can quickly become side-tracked by the constant notifications from their social media accounts and other non-academic sources in an online learning system. He adds that once students are distracted by these regular notifications, they unconsciously start scrolling through these non-academic and social platforms. As a result, finding a way to present suitable, engaging, and easy-to-understand material or content in e-learning in a context where students are distracted by various factors is challenging. Accordingly, teachers and educators have been trying to figure out how to fix the issue of students' dwindling and reducing the periods of their attention.

To solve this challenge, some European academics and educators have recently highlighted microlearning and made connections between it and online education. Because scholars and educators believe that microlearning helps students retain information more quickly and thoroughly, it has become essential since the introduction of online education.

After ten years of research, Lindner (2007) proposed micro-learning as an innovative method of teaching that prioritises bite-sized learning modules and quick-fire exercises. Microlearning is online learning that concentrates on brief but closely related learning units. Students can study whenever they want, anywhere, with this teaching strategy. Moreover, this modern and practical learning strategy improves information retention, the size of the information keeps learners more focused, and students can repeat the data at different periods to increase their memory. Finally, this micro-learning strategy is an innovative, adaptable, and time-efficient learning strategy.

Although microlearning techniques fit a wide variety of devices, it is essential to note that mobile phones, tablets, and similar devices are the most convenient for implementing this new strategy. If we define mobile learning as any learning that takes place, the learner is not at a fixed location or uses the learning opportunities offered by mobile technologies. Then it is easy to deduce that mobile and microlearning go hand in hand. Mobiles have become very popular among students since mobiles are portable, convenient, and of relatively small size. Also, mobile devices have quickly become essential to students' lives. So, new learning modes occurred with the integration of microlearning and mobile. Interestingly, one of the examples of applying microlearning is using YouTube videos.

## II. USING MICROLEARNING STRATEGY

In 1963, Hector Correa introduced the term microlearning strategy, yet it receives less attention from educators and researchers. Lately, some European educators and scientists (Bruck et al., 2012; Gassler et al., 2004; Hug, 2007) have drawn attention to microlearning and linked it to online learning. Consequently, microlearning has become necessary since the advent of online education can be attributed to the widespread belief that it facilitates quicker and more thorough knowledge retention in students. In other words, it is a relatively new strategy to e-learning that has the potential to significantly improve students' chances of completing course objectives. Also, microlearning refers to organising educational materials into bite-sized chunks presented as e-learning objects Sozmen (2022). When dividing an essential topic into small learning parts, microlearning as a technique manages this short attention span and avoids boredom while learning. Microlearning presents a new way for teaching English at all levels to meet the modern e-learner's needs and overcome boredom and memory retention limitations. Also, microlearning allows users to practice autonomy during learning, increasing their motivation to learn on their mobiles. Badrul et al. (2021) state that microlearning is an innovative technology-enabled strategy. It becomes more common to deliver focused, brief content to learners and control when and what they learn.

Similarly, Palmer and Blake (2018) and Sozmen (2022) claim that microlearning is one of the newest trends in the e-learning sector. They add that microlearning is a small amount of learning that usually only takes a few minutes and is easy to access on a mobile device. The reinforcement comes in a type such as videos and other types of media. Omer (2017) confirms that e-learning deals with multiple learning objectives which cannot achieve and remember. While microlearning addresses one aim at a time, and students take each one slowly and thoroughly understand it, they move on to the next objective. Omer adds that the microlearning strategy is short and takes only 5-8 minutes; sometimes, it is less, making it suitable and ideal for learners with short attention. Other researchers (Fitria, 2022; Khong & Kabilan, 2020; Leong et al., 2020) consider microlearning a powerful tool and a promising area to explore in teaching-based and work-based learning. Furthermore, microlearning has a variety of formats, including online courses, training, seminars, and workshops. People with busy schedules who still want to increase their knowledge can benefit from microlearning, as its presentation of material facilitates its retention and subsequent application in real-world situations.

According to Rafli and Adri (2022), micro-learning is an efficient instruction strategy and refers to a short-term study strategy. Microlearning content can take the form of a text using digestible, bite-sized chunks to help students better grasp the material. It allows instructors to collaborate with students to develop digestible content in various formats, such as text, photos, and video. Images, on the other hand, can serve as a substitute for written words. The final form is a video with some lessons and a quick rundown of the material's step-by-step approach.

According to Hug (2007), microlearning is a mini course comprising a succession of brief learning exercises and learning content to avoid cognitive overload and work within the attention span limitations of the human brain. Because it uses short and well-planned modules or activities, it is also known as bite-sized learning.

## III. MOBILES IN THE EDUCATION SETTINGS

Some educational researchers, teachers, and learners support using mobile integration in educational settings (Ally, 2009; Pollara & Broussard, 2011). According to Pachler et al. (2010), mobile phones, among the various technological tools, are a source of motivation and inspiration for students because of their attachment to mobiles. Also, mobiles are the most convenient and straightforward technology for students to use and the preferable device for them (Stockwell, 2010). Mindog (2016) asserts that mobile apps can aid language learning due to their affordability and accessibility. He adds that mobile phones work best because students are familiar with them. In addition, UNESCO (2023) affirms that there are many positive aspects to using a smartphone for educational purposes, such as the freedom to study when and where it is most convenient for students and the ability to design their study plan and curriculum. Usually, the classroom is just one setting where learning can occur, whereas individuals can use their mobile to use any scholarly sources and create content outside of school. UNESCO (2023) claims that mobiles provide extensive help and aid learning. Meng and Wang (2016) argue that mobile learning can be viewed as a part of e-learning since it contains the same learning content. They add that mobile learning refers to a broad category of educational practices in which students access course materials via mobile devices and wireless networks. Extensive adaptability, rich interactivity, and situated learning also go a long way toward meeting students' demands for personalisation and flexibility.

Gautam (2018) claims that though mobile learning has proven to be an effective method for learning English compared to traditional methods, the problem of retention and recall of the material is not proven to be highly effective.



The use of the microlearning strategy in educational institutions increased in recent years as a response to the challenges of information retention. Using the microlearning strategy results in an increase of 22% in the retained material (Kapp et al., 2015).

#### Mobile micro-learning strategy

Microlearning and the technology of mobile phones are closely related. Mobile learning is like e-learning because both have similar e-learning content. Additionally, from a technological standpoint, mobile learning can be viewed as the educational application of mobile computing. The advantage of microlearning is that it's easy to make it work on multiple devices, and it will look good and easy to read, such as a laptop, mobile phone, or tablet. More specifically, micro-learning emphasises learning content division and a compressed amount of time.

Because of their flexibility and individuality, mobile devices are perfect for implementing microlearning, as argued by Winterford (2016). He claimed that breaking one's education into more manageable, smaller segments is very effective for academic study. In contrast, mobile learning focuses more on the ability to learn anywhere and at any time. Users learn more quickly and retain the information for extended periods when presented on a mobile device because they can complete a lesson in chunks while waiting for a meal or commuting. As a result, Mobile micro-learning makes the most of the benefits that mobile learning and micro-learning offer, specifically the ability to receive micro-content through mobile terminals to study whenever and wherever is most convenient for the learner.

According to Habitzel et al. (2006), mobile learning can improve the innovative and helpful educational approach known as micro-learning. He adds that students can continue lessons on their mobile devices and finish tasks anytime because they always carry their mobiles and feel comfortable with their phones. Because mobiles are flexible and unique, they are ideal to use in microlearning by pairing mobiles with education; the result is the best knowledge retention because breaking up information makes it easier to remember.

According to Omer (2017), the short duration of microlearning makes it possible to access it on any mobile device, including smartphones, iPads, laptops, and tablets. Additionally, she adds that a microlearning module is not always required to take the shape of a conventional eLearning course. Yet, it may be a podcast, quiz, scenario, quick video, or any other independent learning unit. Similarly, Tan (2017) asserts that microlearning's main characteristics are that the size and subject of the teaching materials are small, used by many students and practical with solid teacher-student interactions and lesson contents. By doing so, learners' interest levels increase and reduce lesson monotony.

#### IV. USING MOBILE MICROLEARNING IN TEACHING ENGLISH IDIOMS

Mobile micro-learning refers to a relatively new strategy that combines elements of both micro-learning and mobile learning, where the focus of micro-learning is on learning through frequent and brief experiences. Specifically, it allows students to study with their mobiles anywhere and wherever they go. Yet, students are not always in a suitable learning environment free of distraction, so teaching materials for students engaging in mobile micro-learning should be concise and valuable. A student majoring in English should be able to read, write, and speak the language fluently and demonstrate competence in oral and aural communication.

English is the most spoken language in the modern world by people of various cultures, ethnicities, and backgrounds. According to Mukattash (1983), teaching English in Arab countries has its challenges, and it is essential to note that Arab students of English face two challenges: first, they often make fundamental errors in linguistics, such as syntax, grammar, spelling, vocabulary, morphology, and pronunciation. Second, they often struggle to use English in academic and everyday contexts effectively.

One of the severe challenges for Jordanian EFL learners is becoming fluent in idioms. Even if they are fluent in English, they may have trouble with idioms commonly used and understood by native speakers. Idioms are one of a kind because the meaning they convey is distinct from the senses of their parts. Even if a student knows the purpose of each component, that does not mean it is reasonable to expect them to use the idiom correctly. This ambiguity makes this part of the English language's lexicon particularly difficult for non-native speakers to grasp.

Using idioms, proverbs, and phrases in everyday conversation is integral to English. Idiomatic expressions are essential to developing the English language because they are frequently used in everyday speech at work and at home. These expressions are common in both spoken and written English. Native English speakers frequently use them in conversation, and students often encounter them in popular media. Acquiring a firm grasp of the distinctions between idioms and their uses is crucial if foreign language learners want to reach their full potential as English speakers. Students should learn the meaning and context of each phrase since they do not always make literal sense.

Surprisingly, the method teachers of English as a foreign language used to teach these idioms in English is often unclear to students. If teachers give students sufficient practice, they may develop greater confidence in their linguistic abilities. Another possible explanation is that students are not exposed to idioms in the classroom because teachers are not using an effective strategy to teach them how to use them appropriately. Suppose students of English as a foreign language want to be able to communicate effectively in English. In that case, they must be exposed to idioms early to help them learn the language more efficiently. Most importantly, they should pick up on expressions and techniques that make dealing with difficulties easier.

Alhaysoni (2017) and Pimenova (2011) assert that Arab learners may also face difficulties due to the absence of equivalent idiomatic expressions in Arabic. They add that idioms with exact equivalents in the student's mother

language are the easiest to learn. In contrast, the most difficult are idioms that do not match in students' first language, and the meaning unable to infer by taking the idiom's components in isolation. In addition, students frequently attempt to use idiomatic expressions from their language, which usually results in inaccuracies as idioms lack grammatical rules.

#### V. SIGNIFICANCE OF THE STUDY

Idioms are an essential concept in language classes because of their wealth of meaning and the fact that they are employed frequently. Because of their importance as lexical components, they are often given special attention in EFL classrooms. Students often have difficulty with these concepts because of their symbolic nature. They are crucial but challenging to learn. Therefore, they need to be presented and prioritised in the classroom. The traditional approach to teaching idioms at the school was teachers providing a list of them in a textbook and expecting pupils to memorise them for use on tests. Students forget all these idioms the day after the exam. The researcher proposes a new way of teaching idioms to give further insight into solving this problem.

#### VI. METHODOLOGY

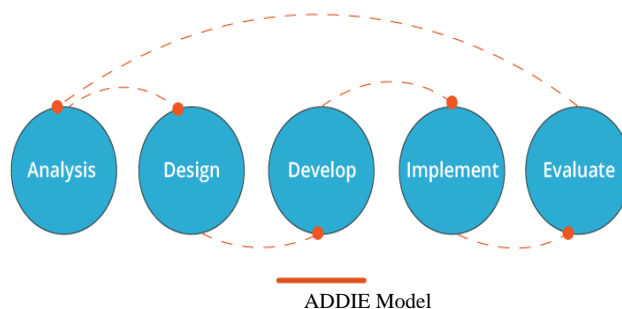
The study sample consisted of 15 female Jordanian students studying English language and literature in their last semester before graduation. The participants' age ranges from 21-22 years old, and they acquire some of the idioms through their academic years at the university. In the experiment, the researcher selected three idioms in every learning cycle and regularly used idiom expressions in songs since students come across these idioms regularly in watching English films, songs, and conversations. These idioms in songs were the following:

1- Justin Timberlake – cry me a river <https://youtu.be/DksSPZTZESQ>

2- Lady Gaga- Poker Face <https://youtu.be/bESGLojNYSo>

3- Sam Hunt – Water Under the Bridge [https://youtu.be/7UQ\\_8Fuivj0](https://youtu.be/7UQ_8Fuivj0)

The researcher adopted the ADDIE instructional design to create a model for learning English idioms effectively. This model consists of five steps, namely, analysis (A), design (D), development (D), implementation (I), and evaluation (E). The following is a design of this model.



#### **Step one: Analysis (A): The researcher analyses the participant's characters, educational materials, and media.**

- The participants (14) are all in their last semester studying English language and literature. All of them are Jordanian female students from the same age range between 21-22 years old, and they acquire some of the idioms through their academic years at the university.

- The material is from the oral skills course, and students must practice idioms chosen according to different topics and students' preferences.

- Mobile and headsets.

#### **Step two: Design(D): In this step, the researcher defines educational objectives, idioms and songs, lesson strategy, educational activities, and evaluation method.**

- This model aims to teach the students a new strategy for using idioms correctly. In each class, the students will learn a group of three idioms. Also, students must practice using these idioms when speaking to native or non-native speakers.

- To achieve the objectives, the researcher used a mobile microlearning strategy by using their mobiles and headsets.

- Students will listen to every song separately using their mobiles, followed by questions.

- The experiment will last one month, with three lectures weekly.

- The process takes from 8-9 minutes. So, every song's average time is the same.

#### **Step three: Development (D): In this step, the researcher developed teaching plans and activities and arranged the idioms and the song,**

- The researcher prepares idioms in song and groups them into many groups. Each group consists of three idiom expressions in the songs. Since the class is 45 minutes, the researcher selected only three pieces of music.

- The researcher put the plans for how to apply the strategy as follows:

- The researcher will create a WhatsApp group to share the songs at the beginning of the session.
  - The researcher will explain the strategy and how they process the procedure.
  - Students must practice these idioms in songs in the lecture hall using their headsets to avoid distractions.
  - After each song, students must give an example of a different situation to use the idiom, followed by a teacher and whole class discussion.
- The researcher tries to avoid any shortages that could appear during the process.
  - An Expert in educational technology reviewed the content of the model. The researcher modified all the notes.

**Step four: Implementation (I): In this step, the researcher applies the strategy:**

- The researcher shares with the students practising one example of one of the idioms in songs to familiarise them with the whole process.
- During the practice, the researcher tries to find any obstacles or shortages to avoid them during implementation.
- The instructor writes the idiom in the first learning cycle on the whiteboard. Then the instructor tells the students to play the song, trying to guess the idiom's meaning.
- After listening to the idiom in the song, the researcher discusses with the students when, where, and how to use it.
- After discussing the meaning and when to use the idiom, students finish the first learning cycle.
- In the second learning cycle, students should play the second song to guess the meaning and use the idiom. As in the previous idiom, a discussion followed this step.
- When students learn the three selected songs as a first group (cycle one), they can move to the second group (cycle two), followed by other cycles.

**Step five: Evaluation (E): the researcher evaluated the student and the strategy to determine if the researcher achieved the objectives.**

- In the final learning cycle, students played the last song for the previous idiom, followed by the discussion.
- To have full feedback, students, individually and in pairs, create the dialogues for the three idioms.

## VII. DISCUSSION

The mobile microlearning strategy fits the ADDIE model because it provides students with easy-to-use, appropriate, and interactive learning tools that they use immediately and independently on their mobiles. Also, this model displays one complete learning cycle with several learning outcomes and student interactions. Therefore, using this model often provides many learning outcomes and enhances students speaking, listening, writing, and reading abilities, supports class instruction and enhances English language learning effectiveness. According to the students, the preparation step before the exam was beneficial because it provided them with adequate information on the processes of the model steps. They added that practising an example with them was helpful because it cleared up any ambiguous issues.

Interestingly, the discussion following the song was active and enhanced the interaction between the students and the teacher. The multiple microlearning cycles give them the feeling of successfully practising idioms correctly while preparing conversations for these idioms in a short time. Most of them added that they used to memorise idioms for completing the exam only, and practising using idioms was neglected and passive. Mobile microlearning creates a unique learning channel for each student, which meets the specific requirements of each student's foundations and helps them improve their learning effectiveness and efficiency. They assert that their progress is more evident compared to their previous experience in idioms. Students felt confident using their mobiles instead of accessing computers or laptops because mobile microlearning is self-paced, allowing them to return at any time, review their performance, and continue where they stopped. They assert they can control and return to their microlessons and quickly complete their lessons. One of the challenges teachers may face in preparing mobile microlearning is designing the content to allow students to acquire multiple types of knowledge quickly and connect to the whole system of the language. In addition, teachers must consider students' characteristics and interests to select activities to meet the needs of various learners. Another challenge teachers face in preparing mobile microlearning: some subjects require many details and comprehensive explanations.

## VIII. CONCLUSION

Most foreign language learners suffer from using idioms in their speaking skills and comprehending the meaning of these idioms while using English, watching films, or listening to music. Logically, foreign language learners aim to acquire the English language and communicate with native speakers of English naturally and fluently. In English, idioms are essential in developing English because they are employed frequently in daily conversation. There is no everyday English without its idioms, proverbs, and expressions. The English language often uses them, both in writing and conversation. Students should not take idioms at face value but rather learn the meaning and context of each idiom. Students' ability to express themselves in novel and exciting ways is one of the many reasons idioms are so valuable.

The use of mobile microlearning has proven to be a very effective learning method, which is very helpful for improving students' self-learning ability and encouraging English learning fun. Today's society is already an era of

online learning, and the voice of personalised learning is getting higher and higher. As an emerging learning model, mobile microlearning has shown enormous potential.

The goal of creating mobile microlearning was to fill the gap between conventional teaching and learning and the increasingly popular mobile platform, where students spend a long time getting the information and easily miss it. In microlearning, the knowledge is divided into chunks and learned using mobiles, which are implanted quickly in students' memories. Since mobile learning is ongoing, education doesn't have to happen at a particular time or place. Also, students can communicate with their classmates and teachers as well. Most participants suffer from using idioms in their speaking skills and in comprehending the meaning of these idioms while watching English films or listening to songs. The researcher aims to help them understand and use these idioms while speaking. In this experiment, the researcher used the mobile microlearning strategy to teach songs idioms to solve the problem of acquiring these idioms. The participants in the experiment assert that this strategy is very effective and improves the development of these idioms. They added that this strategy motivates them to use mobile microlearning effectiveness of this strategy.

Microlearning via mobile devices is an efficient and engaging teaching method, especially for boosting students' capacity for independent study and making English lessons more enjoyable. Online education is commonplace today, and calls for more individualised instruction are growing louder. There is great promise in the developing learning model of mobile microlearning. With the deepening of practice and the continuous improvement of understanding, mobile microlearning will play a more significant role in future university teaching activities. However, higher education is still investigating the microlearning strategy.

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# A Cognitive Stylistics Approach to Translation

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**Abstract**—The paper aims to consider the translation process by drawing light on the use of language from a cognitive stylistic perspective. It looks at translators' performance as a cognitive process to understand the stylistic devices of texts. The paper clarifies the multiple stylistic devices, their applications, and how they are used to attract the receiver's attention to a specific element more than others by analyzing twenty-four Arabic translations according to stylistic functions, effects, and cognitive interpretations of twelve texts from the book "A Brief History of Time" by Hawking (1988). It demonstrates that using cognitive stylistic devices enhances cognitive operations and interpretation, and produces a creative and motivated text with more emotional effects.

**Index Terms**—cognitive stylistics, translation, motivation, attention

## I. INTRODUCTION

Cognitive stylistics is a multidisciplinary theoretical approach that aims to provide a stylistic framework to obtain greater explanatory power for texts. It provides an essential means to infer a clear view of text, beliefs, context, and knowledge. Also, it helps to understand how a literary style is formed. Cognitive stylistics explores how certain types of metaphorical constructions can be understood only by using the participants' knowledge, beliefs, and inferences. Furthermore, it reflects on the cognitive mechanisms by which receptors respond to specific aspects of texts. It aims to capture how receptors interpret literary texts by employing their real-life schematic knowledge. The literary text contains triggers that stimulate aspects of receptors' prior knowledge to aid them in constructing a mental representation of the world of the text. Many scholars in the discipline of cognitive stylistics expand the border of linguistic analysis of the literature by using different theories such as schema, text-world, and foregrounding. These theories produce frameworks for the analysis of literature and concentrate on reading and cognition (Pini  , 2005; Kristiansen et al., 2006; Areef, 2016).

### A. Schema Theory

Schema is "a data structure for representing the genetic concepts stored in memory" (Rumelhart, 1980, p. 34). It is an abstract knowledge structure. Cognitive linguists use the term schema to describe how people process, organize, and store information in their minds (An, 2013). Schema reflects attitudes, conceptual understanding, experience, skills, and strategies towards a particular situation within a text. It aids people to make sense of events, specific stimuli, and situations and make use of them later. Furthermore, it does not carry the meaning by itself, but the reader conjures up culture, emotion, information, and knowledge. The understanding of a text relies on how much-related schema the reader has, i.e., reading is a visual process, and more information is added by the reader via his schemata. Schemata matches the contents of the text to what the reader cognizes about people, culture, world, and the universe. It shows how inferences by using general knowledge are made to interpret particular parts of a text (Zaghlool, 2019).

### B. Text-World Theory

Human communicative processes are the main interest of text-world theory (TWT). TWT is a model of human language processing that is found on the notion of mental representation. It is the mental representation that participants form to comprehend linguistic communication. TWT is a conceptual space that is constructed through the combination of linguistic cues and the participant's knowledge and inferences. It is interested not only in how a certain text is built, but also how the context surrounding that text impacts its production and reception (Werth, 1999; Gavins, 2007; Whiteley, 2011). Relevant general or specific knowledge upon which a further inference with regard to the elements of the text world space may be established, is activated by linguistic cues. Propositions of world-building within a text provide deictic and referential information which establish partially the situational variables of the text-world such as space, time, entities, and interrelationships. The text-world is a total construct that requires an understanding of memory and imagination rather than direct perception (Simpson, 2004).

### C. Foregrounding Theory

Foregrounding is the bringing of effective and essential features of a text to the receivers' attention. Foregrounding refers to the property of perceptual prominence that a particular thing has against the backdrop of other, less noticeable

things. It is seen as a cognitive effect that draws the viewer's attention by generating certain facets of emotions (Burke, 2014; Jones, 2016). The foregrounding model refers to the special act of interpretation to figure out what otherwise would seem unmotivated. Foregrounding asks implicitly the question of what should have prompted the author to express himself in such an exceptional manner? Like stylistic variants and parallelism, foregrounded features are spotted on various levels of the code: tropes, such as a metaphor which refers to an implied and indirect comparison between two dissimilar objects, a simile which is a direct comparison between two dissimilar objects (Abu Libdeh, 2015), and Synecdoche is the use of a part to represent the whole, or it may use a whole to represent a part (Ali, 2015), chiefly being related to category violations (on the levels of syntax and semantics). Therefore, tropes are matters of content and matters of expression. Foregrounding, then, is how certain aspects of a text can be made to stand out or appear eminent through forms of textual patterning (Leech, 2013; Leech & Short, 2013; Burke, 2014; Gibbons & Whiteley, 2018).

#### (a). *Parallelism*

Parallelism presents foregrounding in a text by drawing the reader to seek meaningful connections among parallel structures. It is "the use of the same pattern of words for two or more ideas having the same degree of importance arranged in successive lines and in a balanced manner" (Almehmdawi, 2018, p. 272). It is "the use of words, phrases, clauses, or sentences that are similar in structure, sound, or meaning" (Almehmdawi, 2018, p. 277). The meaning repetition is known as semantic parallelism, and the repetition of actual words is described as lexical parallelism (Burke, 2014). Semantic parallelism occurs when pairings or groupings of elements "can be interpreted to have parallel meanings" (Fabb, 1997, p. 139). Parallel meaning involves a field of possibilities. The most common varieties are similarity and opposition of meaning (Abdulameer, 2020). Such meanings can be summarized in the following two categories:

1. *Synonymy*: it covers the juxtaposition of paralleled synonyms, i.e., words that have related senses (Synonyms).
2. *Antithesis*: it refers to the repetition of paralleled antonyms, i.e., words that have opposite senses (Opposites).

#### (b). *Deviation*

Any divergence from the familiar and acceptable norms of language is called deviation. It refers to a sentence, phrase, or other unit that deviates from the usual use of language and appears grammatically, phonologically, or even semantically. As an attempt to draw the readers and emphasize particular ideas by violating the usual rules, such as placing verbs in subject positions, using elliptical subjects, and misplacing adverbial phrases (Khawaldeh & Neimneh, 2017; Mansoor & Salman, 2020).

## II. METHODOLOGY

A procedure whereby two translations of twelve cases are taken from the book "A Brief History of Time" by Hawking (1988) is adopted in the study. The first translation is for "Mustafa Ibrahim Fahmi", while the second one is for "Mohammed Basil Al-Hadithi". The study follows the application of the model of Gutt (2000). Gutt distinguishes between direct (interpretive) and indirect (descriptive) translation. The direct translation "attempts to preserve not just what the source text said but also how it said it" (Ghazala, 2018, p. 20). Contrary to the indirect one, which does not actually resemble the original text, in which "the translator gathers the source text (ST) communicative intentions by means of extracting relevant information" and making the necessary justifications so that the produced text obtains the receiver's expectations (Mart ínez, 1998, p. 176). The resulting translations were analyzed aiming the following:

1. How theories and devices are exploited in the field of cognitive stylistics and their impacts.
2. Observing the performance of the translators and their tackling of the text-world and the schemata they have for what they are recognized.
3. Are using cognitive stylistic devices facilitate and enhance the interpretation.

## III. DATA ANALYSIS

Source language (SL) Text (1): "No one has ever seen a giant tortoise with the earth on its back, but then, no one has seen a superstring either" (Hawking, 1988, p. 189).

Target language (TL) Texts:

-1 Fahmi: "فلم ير أحد قط سلحفاة ضخمة والأرض على ظهرها، إلا أن أحدًا كذلك لم ير أيضًا وترًا فائقًا" (Fahmi, 2016, p. 293).  
 -2 Al-Hadithi: "فلم يشهد أي واحد منا سلحفاة ضخمة وهي تحمل الأرض على ظهرها ولم يشهد أي واحد منا الاوتار العظمى أيضًا" (Al-Hadithi, 1990, p. 257).

Discussion and Analysis:

In numbers 1 and 2, a direct translation is pursued. Whereas a parallelism, which is a property of perceptual prominence that something has against the backdrop of another which is a less noticeable thing, is adopted in the conceptual structures "فلم ير أحد قط سلحفاة ضخمة والأرض على ظهرها، إلا أن أحدًا كذلك لم ير أيضًا وترًا فائقًا" and "فلم يشهد أي واحد منا سلحفاة ضخمة وهي تحمل الأرض على ظهرها ولم يشهد أي واحد منا الاوتار العظمى أيضًا" for "No one has ever seen a giant tortoise with the earth on its back, but then, no one has seen a superstring either", in order to preserve attracting the receiver attention.

SL Text (2): “None of this would have been possible without the support for my research and medical expenses that has been supplied by Gonville and Caius College, the Science and Engineering Research Council” (Hawking, 1988, p. xi).

#### TL Texts:

- 1- Fahmi: "وما كان سيمكن إنجاز أي شيء من هذا دون الدعم المقدم لبحثي ولنفتاتي العلاجية التي تكفل بها كل من كلية جونفيل وكايوس، ومجلس البحوث العلمية والهندسية" (Fahmi, 2016, p. 12).
- 2- Al-Hadithi: "على ان هذا الجهد لم يكن ممكناً لولا العون المقدم لي لاجراء البحوث وتسديد نفقات العلاج الطبي من كلية جونفيل وكايوس ومجلس البحث العلمي والهندسي" (Al-Hadithi, 1990, p. 12).

#### Discussion and Analysis:

The translator in number 1 resembles the original text, and a direct translation is followed. The conceptual structure (None of this would have been possible) is interpreted as (وما كان سيمكن إنجاز أي شيء من هذا)، here, the translator follows the author's steps by producing the referential information (هذا).

The translator in number 2 reproduces the original text using an indirect way. The construction (None of this would have been possible) triggers the text-producer's schemata to build a mental representation of the text-world as (على ان هذا)، in which the text-producer responds to the referential function by using the lexical item (الجهد) employing the real-life schematic knowledge in the interpretation process.

SL Text (3): “It was at the conference in the Vatican mentioned earlier that I first put forward the suggestion that maybe time and space together formed a surface that was finite in size but did not have any boundary or edge” (Hawking, 1988, pp. 151-152).

#### TL Texts:

- 1- Fahmi: "في مؤتمر الفاتيكان السابق ذكره طرحت لأول مرة اقتراح أن الزمان والمكان ربما يشكلان معا سطحًا متناهيًا في حجمه ولكن ليس له أي حد أو حرف" (Fahmi, 2016, p. 208).
- 2- Al-Hadithi: "في المؤتمر الذي عقد في الفاتيكان والذي اشترت اليه انفا، قدمت لأول مرة الافتراض القائل إنه من المحتمل أن يكون الزمان والمكان قد كونا معا سطح محددًا من حيث الحجم وأنه ليس له أي حد أو حافة" (Al-Hadithi, 1990, p. 208).

#### Discussion and Analysis:

In number 1, the translator resembles the same linguistic, semantic, and stylistic layout of the SL text, and a direct translation is adopted. He interprets directly the concept of “maybe time and space together formed a surface that was finite in size” as it is said as “ربما يشكلان معا سطحًا متناهيًا في حجمه”.

An indirect translation is adopted in number 2, where the translator describes the concept of “time and space together formed a surface that was finite in size” as “كونا معا سطح محددًا من حيث الحجم” to clarify it to the reader.

SL Text (4): “On the other hand, the people whose business it is to ask why, the philosophers, have not been able to keep up with the advance of scientific theories” (Hawking, 1988, p. 193).

#### TL Texts:

- 1- Fahmi: "وعلى الجانب الآخر، فإن الأفراد الذين كانت مهمتهم أن يسألوا «لماذا»، أي الفلاسفة لم يتمكنوا من ملاحقة تقدم النظريات العلمية" (Fahmi, 2016, p. 298).
- 2- Al-Hadithi: "وعجز الناس الذين لا هم لهم سوى التساؤل عن ماهية الكون ولماذا، وعجز الفلاسفة معهم عن مواكبة تقدم النظريات العلمية" (Al-Hadithi, 1990, p. 261).

#### Discussion and Analysis:

The translator in number 1 focuses on resembling the original text, and a direct translation is chosen. He preserves the construction “On the other hand” and reproduces it as “وعلى الجانب الآخر”. He recognizes the conceptual structure “the people whose business it is to ask why, the philosophers” as “فإن الأفراد الذين كانت مهمتهم أن يسألوا «لماذا»، أي الفلاسفة”.

In number 2, the translator adopts an indirect method of translation. He deviates from resembling the original text by transcending the pattern condition (On the other hand) in an alert to the translator's intentionality to draw attention to a particular communicative clue in the conceptual structure وعجز الناس الذين لا هم لهم سوى التساؤل عن ماهية الكون ولماذا، وعجز الفلاسفة معهم عن مواكبة تقدم النظريات العلمية” where the translator uses the parallelism in (عجز) and turns over between thoughts by focusing on strengthening certain points in order not to distract the receiver's attention.

The relativity in thinking between the two translators appeared obviously in producing the original text, whereas each one of them differs in interpretation. This is because each one of them has his comprehension phase, schemata, experience, reasoning, and problem-solving, moreover, how to make sense of the world. In number 1, the construction “the people whose business it is to ask why, the philosophers, have not been able to keep up with the advance of scientific theories”, is rendered as “فإن الأفراد الذين كانت مهمتهم أن يسألوا «لماذا»، أي الفلاسفة لم يتمكنوا من ملاحقة تقدم النظريات العلمية” contrary to number 2 where it is cognized as “وعجز الناس الذين لا هم لهم سوى التساؤل عن ماهية الكون ولماذا، وعجز الفلاسفة معهم عن مواكبة تقدم النظريات العلمية”. The first translator conceives of those people as philosophers, while the second translator comprehends those people as “الناس الذين لا هم لهم سوى التساؤل” added to them, the philosophers. This difference in interpretation occurs because each one of the two translators has his schema and experience, moreover, his way to make sense of the world.

SL Text (5): “What is it that breathes fire into the equations and makes a universe for them to describe?” (Hawking, 1988, p. 192).

#### TL Texts:



- 1- Fahmi: "ما الذي ينفث النيران داخل المعادلات ويجعل لها كونا توصفه؟" (Fahmi, 2016, p. 298).  
 2- Al-Hadithi: "فما الذي ينفخ الحياة في هذه المعادلات ويكون لها كونا لكي نصفه" (Al-Hadithi, 1990, p. 261).

#### Discussion and Analysis:

In number 1, the translator produces the metaphor "breathes fire" directly as "ينفث النيران", here, the translator establishes a conceptual mapping between the two entities "النيران" and "ينفث", by preserving the same semantic and linguistic layout, which is "fire", in an attempt to resemble the SL text.

In number 2, the translator deviates from resembling the SL text, and an indirect translation is embraced. The translator presents the metaphor in a unique way where he links between "ينفخ" and "الحياة". This metaphor is poured into the lexical item "المعادلات". This choice reflects the religious background of the translator.

The metaphorical constructions "breathes fire", "ينفث النيران" and "ينفخ الحياة", reflect each of the transmitters' beliefs, knowledge, and inferences within the exploration of cognitive stylistics.

SL Text (6): "This has not been found to agree with experience, unless that turns out to be the explanation for the people who are supposed to have disappeared in the Bermuda Triangle" (Hawking, 1988, p. 189).

#### TL Texts:

- 1- Fahmi: "وهذا أمر لم يجد أحد أنه يتفق مع الخبرة، إلا إذا ثبت في النهاية أن هذا تفسير لغموض اختفاء الأفراد في مثلث برمودا" (Fahmi, 2016, p. 293).  
 2- Al-Hadithi: "وهذا لا يتفق مع الخبرة المتوفرة، اللهم إلا إذا اخذناها على أنها تفسير لاختفاء الناس في مثلث برمودا" (Al-Hadithi, 1990, p. 257).

#### Discussion and Analysis:

A direct translation is pursued in number 1. The translator reproduces the construction "agree with experience" directly as it is said as "يتفق مع الخبرة".

In number 2, the translator adopts the descriptive way in the transferring process, and an indirect translation is opted. He reproduces the construction "agree with experience" as "يتفق مع الخبرة المتوفرة" by adding new contextual effects. Also, he adds the lexical item "اللهم" that uncovers his religious background.

SL Text (7): "I'm very grateful to my assistants, Colin Williams, David Thomas and Raymond Laflamme; my secretaries Judy Fella, Ann Ralph, Cheryl Billington and Sue Masey; and my team of nurse" (Hawking, 1988, p. xi).

#### TL Texts:

- 1- Fahmi: "كما أنني ممتن جدا لمساعدتي كولن وليامز، ودافيد توماس، وريموند لافلام ولسكرتيراتي جودي فيلا، وأن رالف وشيريل بلنجتون، وسو ماسي، وفريق ممرضاتي" (Fahmi, 2016, p. 12).  
 2- Al-Hadithi: "ولابد لي أن أزجي الشكر خالصاً إلى كل من اعانني على اخراج هذا الكتاب وأخص منهم بالذكر المساعدين كولن وليامز وديفيد توماس ورايموند لافلام والسكرتيرات جودي فيلا وأن رالف وچيرل بيلنجتون وسوماسي وفريق من الممرضات" (Al-Hadithi, 1990, pp. 11-12).

#### Discussion and Analysis:

The translator in number 1 resembles the SL text and follows a direct translation. The referential information (my assistants and my team of nurses) is rendered as (لمساعدتي... وفريق ممرضاتي) by preserving the referent items.

The translator in number 2 reproduces the SL using an indirect way. He transcends the referent items in (my assistants and my team of nurses) as (المساعدين... وفريق من الممرضات).

SL Text (8): "It is an interesting reflection on the general climate of thought before the twentieth century that no one had suggested that the universe was expanding or contracting" (Hawking, 1988, p. 10).

#### TL Texts:

- 1- Fahmi: "إنه لانعكاس شيق للمناخ العام للفكر قبل القرن العشرين، أن أحدا لم يقترح أن الكون يتمدد أو ينكمش" (Fahmi, 2016, p. 28).  
 2- Al-Hadithi: "مما يثير الدهشة في ميدان الفكر العام، ان أحداً لم يفكر في تمدد الكون أو تقلصه إلا بعد ان حلّ القرن العشرين" (Al-Hadithi, 1990, p. 23).

#### Discussion and Analysis:

A direct translation is selected in numbers 1 and 2, whereas the translators resemble the original text-producer thoughts, as well as the stylistic, semantic, and linguistic layout. They reproduce the paralleled antonyms to keep attracting the attention of the receivers and facilitate the understanding process. The underlined cases represent the juxtaposition of paralleled antonyms.

SL Text (9): "In part this may have been due to people's tendency to believe in eternal truths, as well as the comfort they found in the thought that even though they may grow old and die, the universe is eternal and unchanging" (Hawking, 1988, p. 10).

#### TL Texts:

- 1- Fahmi: "ولعل هذا يرجع في جزء منه إلى نزعة الناس إلى الاعتقاد في حقائق أبدية، كما قد يرجع إلى ما يلقونه من راحة في الاعتقاد بأنه رغم أنهم قد تزيد بهم السن ويموتون، إلا أن الكون أبدي لا يتغير" (Fahmi, 2016, p. 28).  
 2- Al-Hadithi: "ولعل هذا التحليل يعزى من بعض جوانبه إلى ميل الناس إلى الإيمان بالحقائق الأزلية وإلى الشعور بالارتياح من مجرد اعتقادهم أن الكون خالد وثابت حتى وان كتب عليهم الشيخوخة والموت" (Al-Hadithi, 1990, p. 23).

#### Discussion and Analysis:

A direct translation is selected in numbers 1 and 2, where the translators resemble the SL text-producer thoughts, as well as the stylistic, semantic, and linguistic layout. The conceptual structure "they may grow old and die, the universe is eternal and unchanging", is interpreted as "تزيد بهم السن ويموتون، إلا أن الكون أبدي لا يتغير", and "الكون خالد وثابت حتى وان كتب عليهم الشيخوخة والموت". The underlined cases represent the juxtaposition of paralleled

synonyms, which is the repetitions of words having related ideas with the same degree of importance produced in a balanced manner, to achieve a certain impact on the receiver's attention.

SL Text (10): “Maxwell’s equations predicted that there could be wavelike disturbances in the combined electromagnetic field, and that these would travel at a fixed speed, like ripples on a pond” (Hawking, 1988, p. 21).

TL Texts:

- 1- Fahmi: "تنبأت معادلات مكسويل بأنه يمكن أن توجد اضطرابات تشبه الموجات في المجال الكهرومغناطيسي المتحد وأن هذه سوف تنتقل بسرعة ثابتة، مثل التموجات في بركة" (Fahmi, 2016, p. 47).
- 2- Al-Hadithi: "وقد تنبأت معادلات ماكسويل بإمكانية حصول اضطرابات شبيهة بالموجات في المجال الكهرومغناطيسي الموحد وبان تلك الموجات تنتقل بسرعة ثابتة مثل الامواج في بركة الماء" (Al-Hadithi, 1990, p. 42).

Discussion and Analysis:

A direct translation is selected in numbers 1 and 2, where the simile in the original is reproduced in underlined cases in number 1 and number 2, marked by "مثل". Here, the outcome of this simile is image- schematic understanding, aiming to simplify the cognizing process and facilitate the apprehension.

SL Text (11): “But perhaps his real reason was different: to quote him again, "Equations are more important to me, because politics is for the present, but an equation is something for eternity” (Hawking, 1988, p. 196).

TL Texts:

- 1- Fahmi: "ولعل السبب الحقيقي في رفضه كان مختلفاً، وبالاستشهاد به ثانية فإن ((المعادلات أكثر أهمية بالنسبة لي، لأن السياسة تختص بالوقت الحالي. أما المعادلة فشيء يختص بالخلود))" (Fahmi, 2016, p. 302).
- 2- Al-Hadithi: "غير ان السبب الحقيقي وراء ذلك هو ما ورد على لسانه ((ان المعادلات الرياضية أهم عندي من السياسة فالسياسة للحاضر، أما المعادلة الرياضية فشيء سرمدي))" (Al-Hadithi, 1990, p. 264).

Discussion and Analysis:

A direct translation is pursued in number 1. The translator follows the steps of the original text-producer in rendering “to quote him again” as “وبالاستشهاد به ثانية” directly.

In number 2, the translator adopts an indirect way in transferring “to quote him again” as “ما ورد على لسانه” by using a synecdoche to make it more eminent.

SL Text (12): “Newton is reported to have declared that he had taken great satisfaction in “breaking Leibniz’s heart” (Hawking, 1988, p. 200).

TL Texts:

- 1- Fahmi: "نقل عن نيوتن إعلانته ارتياحه التام من أنه قد سحق قلب لايبنتز" (Fahmi, 2016, p. 306).
- 2- Al-Hadithi: "قيل ان نيوتن كان قد اعلن عن سعادته العظمى في تحطيم قلب لايبنتز" (Al-Hadithi, 1990, p. 268).

Discussion and Analysis:

A direct translation is pursued in numbers 1 and 2. The translators in the underlined cases refer to “Leibniz himself” by naming his part “Leibniz’s heart”. They reproduced in the TL the same foregrounding tool, namely, the synecdoche of the SL text, to preserve the power of emotional effects.

#### IV. FINDINGS AND DISCUSSION

In accordance with the analysis of the twelve cases, it is discovered how translation is processed and then meaning is constructed in the target text concerning choices of cognitive stylistics, interpretation, and effects they might have, as well as how they are conceptualized. The result is a difference in the product due to differences between the translator’s building of the text –world, schemata, ideology, inferences, and previous experience. Foregrounding enables translators to attract and engage the receiver through successful communication. Results show that using cognitive stylistic devices facilitates and enhances cognitive operations and interpretation and produces a creative and motivated text with more emotional effects.

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# Examining the Effect of Flipped Learning on Proficiency in English Writing Grammar via Inflectional Morphemes

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**Abstract**—The study aimed to understand the underlying effects of flipped learning on students' English as Foreign Language (EFL) writing skill. For this study, proficiency of writing knacks of EFL has been examined mainly by using inflection morphemes based on experimental research work. Two sets of intact classes were chosen as participants for this research study. These classes were randomly assigned to different groups, namely control group and experimental group, with a total sample size of 126 EFL students. During the eight-week time, the control group (a non-flipped learning) and the Experimental Group (a flipped learning) were taught traditional writing instructions and flipped learning, respectively. The inflectional morphemes were used in three phases: pre-, mid, and post-test. The test named Repeated Measure Analysis of Variance (RM-ANOVA) was used to analyze data. The research findings show that the flipped learning students have outnumbered their counterparts, i.e., non-flipped learning, in terms of EFL students' language writing proficiency development for inflectional morphemes. The research findings have proposed some general recommendations on EFL writing instructions for decision-makers, academia, and other interest groups.

**Index Terms**—flipped learning, EFL proficiency, inflectional morphemes, writing

## I. INTRODUCTION

For the past several decades, researchers in the domain of the English language have been curious to explore language teaching practices to advance skills and competency of the English language for non-native speakers across the globe. This is significantly important in the context of changing times as well as the emerging needs of the students. Efforts have been made to encourage the student community to use collective and distinct activities inside and/or outside of the classroom (Wu et al., 2017; Chuang et al., 2018). One of the standard methods is flipped learning, which is an innovative teaching process that has drawn the attention of several academic intelligentsia in the context of English as a non-primary language (Zou & Xie, 2019; Wang et al., 2018). The lectures in traditional classes generally take place after students' homework. On the contrary, class activities are carried out before students' homework in the flipped learning (Chen et al., 2017; Karabulut-Ilgu et al., 2018). In the flipped learning environment, pupils are provided with digital pre-class work to complete in their flexible time without due stress and deadlines to further prepare for classroom activities (Leis et al., 2015). In this way, students will have more time to carry out class activities, which will eventually help them learn, contribute, and grow by leaps and bounds (Chen et al., 2017; Gannod et al., 2007). However, traditional lectures have been considered better in disseminating and imparting information but have not sufficiently contributed to improving values, personal development, and growth that require the active participation of the students (Bligh, 2000). Because of this, students showed limited interest in classroom learning, which has also hampered their learning growth (Andrews et al., 2011). Traditional lectures are "continuous exposition by the teacher" (Bligh, 2000, p. 63). This states that teachers in lecture-oriented classes have significant control over students, but having improper student involvement leads to unsatisfactory results. In this process, students become more receivers and thus do not effectively contribute to or engage with teaching methods. Their learning growth becomes slow and limited to taking down notes and asking redundant questions. Students from Asian countries primarily rely on teachers as their main source of information. In this conventional teaching method, students lose interest and become less active (Lee & Wallace, 2018). At the same time, the concept of a flipped learning environment is emerging as a new teaching practice wherein students complete their assignments before their class, which helps them get better prepared for subsequent classroom sessions. In this approach, the instructors get closely engaged with students in several activities, such as problem-solving, facilitating them to complete their work before time and using the knowledge obtained from such assignments (Chuang et al., 2018). Hence, flipped classrooms are becoming increasingly effective methods for ensuring active participation of students and accomplishing classroom activities (Hao, 2016). Several studies have been conducted to assess the effectiveness of a flipped classroom setting on EFL at the university level (Adnan, 2017; Turan & Goktas, 2018). However, this research work has been confined to focusing on understanding the following aspects (Doman & Webb, 2014; Webb et al., 2014).

- To assess the attitude and views of the students towards flipped learning environment

- To determine the various techniques and tools used to carry out a flipped learning environment
- To demonstrate procedures for implementing a flipped learning environment

The research exploring the effects and showing comparative analysis based on experimental work has been limited. The research on this issue demonstrated that students in flipped classrooms are almost always better off than their counterparts in non-flipped classrooms in terms of grammatical accuracy, language proficiency, and learning processes.

In addition, the learners in flipped learning environment had positive attitudes regarding the curriculum as they were given access to the course content and video clip materials, unlike non-flipped learning students who were lectured directly. Moreover, the students quickly completed their assignments during class time, whereas non-flipped learning students lagged significantly. Some literature shows flipped classrooms' role on EFL students' writing proficiencies (Su Ping et al., 2020; Wu et al., 2020; Zou & Xie, 2019). For instance, Wu's et al. (2020) assessment of flipped learning on EFL students' writing skills based on pre-test, mid-test, and post-test shows their better writing proficiencies. In the work of Ekmekci (2017) that drew a comparative analysis to show the writing proficiencies in non-flipped and flipped learning, the results suggest that flipped learning assisted students in improving their writing abilities and performing better than their non-flipped classroom fellows.

Besides the above literature work, there have not been any studies conducted so far that demonstrate effects of flipped classroom space on eight indispensable writing components such as '-s' for plurals, '-s' for possession, '-ing' for progressive, '-s' for third person singular present, '-ed' for past tense, '-en' for past participles, '-er' for comparative adjectives, and '-est' for superlatives. Moreover, such research work is unique and holds great insights for university teaching of EFL. To bridge this gap, the current study aimed to draw comparisons to come out with the findings that show the impact of the flipped learning strategy on EFL learners/students from Saudi Arabia. This work will determine the writing proficiency using inflectional morphemes based on experiment research design. The findings are expected to contribute towards building more efficient and effective ways of teaching methods to improve the student's writing skills in the usage of inflectional morphemes in the context of EFL writing. The results envisage providing technical recommendations to deal with the needs of the EFL learners' writing abilities using technological assistance.

## II. LITERATURE REVIEW

This study has chosen the Output driven/Input-enabled (OD/IE) model as it drives students to pursue input, which further enables them to create Output (Wen, 2008). For this purpose, authentic output activities assist in the augmentation of grammatical proficiencies of the students. Students are also required to be supported by task-based inputs to improve their intake abilities, and output aid is also necessary for upgrading their language abilities, followed by instant feedback mechanisms (Wen, 2013).

This theory advocated that the emphasis must be on comprehensible/understandable output, considered the effective tool in the proposed model. It also stresses that the best outcome may be achieved when students are exposed to more lucid input (Wen, 2015). In flipped learning on grounds, this model is widely used. Students in flipped learning spaces are primarily given content and required materials (i.e., video clips) before their class hours (i.e., clear input), followed by proper facilitation to produce desired results during class time only. In this way, the amalgamation of technological and interactive classroom activities becomes an essential component of the flipped learning environment that appropriately aligns with the OD/IE model (Bishop & Verleger, 2013).

Moreover, in a flipped learning space with the assistance of the OD/IE model, teachers act as facilitators /instructors, and learners get the chance to assess on their own as well as their fellows. One of the many other reasons for using the proposed framework in the current study is that the OD/IE model aligns with ELT in university education (Wen, 2014). It has been observed that students who do not have sufficient time for English language studies in academic institutions barely accomplish noble academic success. However, employing the OD/IE model assists learners meaningfully in universities to achieve adequate output-based tasks (Wen, 2014). This model is used in both flipped and non-flipped learning environment as part of this study.

### A. Flipped Learning

This concept inverts the students' everyday classroom tasks and homework. "Inverting the classroom/learning space basically refers to the events that used to take place inside those spaces traditionally but now have shifted to outside the classroom (Lage et al., 2000, p. 32). Flipping means as Strayer (2012, p. 171) stated "moves the lectures outside the classrooms and uses learning activities to move practice with concepts inside the classroom". McLaughlin et al. (2016) states that a flipped learning environment consists of three core elements: a). pre-class tasks b). in-class tasks, and c). assessment process.

Several pre-class tasks that include audio and video materials (such as podcasts, videos, annotated notes etc.) can be used in the flipped way of instructions (O'Flaherty & Phillips, 2015, p. 87). The in-classroom activities may include several engaging techniques centered around students and independent activities (Han, 2015), for example, various collaborative activities such as presentations, evaluation process by peers and/or self, and solving problems in the group (Kim et al., 2014). O'Flaherty and Phillips (2015) say that class activities consist of team-led and panel discussions, expert-led deliberations, different roles, presentations, group discussions, and student debates (p. 87).

In the words of Hamdan et al. (2013), flipped learning environments have features that can assist learners in their academic success. The first letter of FLIP denotes, F, which stands for flexible or adaptable environment, signifies both online and in-personal learning. Here, learning is centered around students who can participate actively and engage in collective activities meant for their language learning growth. The audio and video tools are the pillars of intentional content for students before class time. For the professional educator, the final word, P, denotes a professional environment where students are constantly observed and under rigorous vigilance. Instructors can also give feedback and promptly evaluate the students' performance.

Willey and Gardner (2013) proposed that activities outside the classroom, such as reading or query-based interventions, can be carried out. They added that students should be motivated to engage in dialogues and in their formative evaluation to determine their learning growth. Like so, the learning environs in a flipped learning environment is oriented to students considering their learning needs and aspirations.

Shimamoto (2012) also claimed that a flipped classroom requires conceptual and pedagogical expertise, particularly in delivering digital content and materials. As per Egbert et al. (2015), the educator and instructor must consider students' proficiency level, experiences, needs and aspirations and then support flipped instructions. Lee (2013) suggested that flipped classrooms require a flexible environment, altered learning culture, and content with a more intentional target, and the professionals must have the requisite expertise for designing such a flipped classroom workplace.

### *B. Studies on Writing in Flipped Learning Context*

The flipped learning environment model has been gaining attention from various new-age education systems as it has shifted from the traditional approach to a more modern method emphasizing students' academic nobility and linguistic skills and majorly focusing on English language learning with writing skills. In the words of (Boyraz & Ocak, 2017; Tseng et al., 2008), this pedagogical approach is becoming increasingly crucial by engaging students in several learning activities, particularly through digital tools, mainly outside their classroom, thus creating an enabling environment for potential learning growth. The approach (Ebadi & Rahimi, 2019) is also essential given that it addresses challenges associated with mastering linguistics skills such as task achievement, togetherness, cohesion, grammatical errors, and glossary. It also navigates ways for learners who find foreign languages daunting (Xu & Qi, 2017). Several empirical research studies suggest that a flipped classroom effectively enhances students' writing proficiency. For example, Wu et al. (2020) illustrated the improvement of EFL students towards grammatical skills, while Zou and Xie (2019) pointed out that digital tools used in flipped learning significantly enhance writing skills, motivation, and critical analysis compared to traditional methods.

The work of Ebadi et al. (2017) produced a comparative analysis of flipped vs non-flipped learning environments and claimed that the use of audio and video tools contributed to long-term effects on EFL fellows on their critical thinking as well as foreign language tests (i.e. IELTS, TOFEL) writing skills. In the research work of Skehan (1998); Ellis & Barkhuizen (2005); and Housen et al. (2012), when assessing student learning proficiencies, it is equally important to consider the flipped learning's features, multifaceted nature of L2 writing skills etc.

Based on the above research work, flipped classroom effects have been articulated well; however, a major area that remains untouched is understanding its influence on inflectional morpheme.

### *C. Objective of the Research*

Based on the literature review, the proposed work is under-researched, highlighting the immense requirements to assess the effects of flipped learning considering inflectional morphemes in the context of EFL. The research shows that the comparative analysis is also grossly inadequate, further reiterating the need for the same to produce different sets of research work. In this research, the following question is the central matter of concern that will help analyze and draw comparisons between both target groups. The key research question is as follows, which this proposed research work attempts to answer:

Q. How effectively has the flipped classroom developed students' writing skills using inflectional morphemes compared to a non-flipped classroom?

## III. METHOD

### *A. Participants*

A sample of a total of 126 students was selected using convenience and random sampling techniques in this study. The rationale for choosing this sampling technique is the accessibility, flexibility, and availability of the participants from the selected place. In this work, the target audience belongs to a homogenous group, so the researcher adopted both convenience and random sampling. The participants are undergraduate students with their ages ranging between 19 – 23. Each of the two classes/groups was designated as an Experimental Group (N=63), also called a flipped classroom or learning or space or environment, and a Control Group (N=63), a non-flipped classroom or learning or space or environment. The selected groups were given three instruction sessions once a week until eight weeks. The instructor had prior experience in conducting such work. The participants were given general explanations on flipped classrooms to avoid any confusion later.

The Oxford Placement Test (OPT) was administered to both target audiences to ensure uniformity before the treatment (Dave, 2004). An autonomous samples t-test was carried out using OPT mean scores to examine the variations between groups. The research findings show that the chosen audience is of almost similar competence regarding their language proficiency before they were part of this research study. For this, a 50-minute writing performance test was conducted on both target groups, and the result showed no significant difference ( $p = .626 > .05$ ).

### *B. Instruments*

OTP controlled the participants for their English language proficiencies or skills. OPT, consisting of 100 points, evaluated EFL learners' grammatical knacks regarding inflection morphemes. For checking the instrument's reliability, the Alpha of Cronbach was applied, demonstrating 0.78 as the reliability index for the entire test, and for the subsections, the reliability indices range from 0.72 to 0.76.

The test was conducted in three phases, and the writing competencies of both target groups were used to check to adopt three 50-minute writing stories based on pictures. These pictures for the test were chosen based on the students' background, and thus, the topics for writing which were chosen during the intervention were not considered barriers to the participants' writing proficiency.

### *C. Flipped Learning*

The learning assignments were prepared beforehand in video format for the flipped learning environment. The different sets of videos for visualization and presentations were extracted from YouTube and adapted accordingly. The length of the video was limited to 5 - 15 minutes. The participants were instructed to see the videos and finish the worksheet in advance. Furthermore, the educator was encouraged to engage with students in certain types of group work tasks. The worksheet assignments and group tasks in the flipped learning environment ensured that learners watched the videos during pre-class hours.

In order to cover all the materials, a total of 24 sessions were conducted in which a significant portion of learning materials was transformed into digital lectures given before the class hours. The flipped learning environment took nearly 75 minutes and required triple phases of writing tasks. The first stage was to check the worksheet in which several questions were asked on the content of the videos, requiring 15 mins. The second phase took nearly 50 mins, wherein participants jointly read the intended sections in smaller groups alongside writing activities. In the span of 50 minutes, participants were able to finish about two writing assignments/tasks. For the final phase, participants were briefed on the problems, topics, and video materials for the following sessions in a 10-minute timeframe. In this way, the participants have not had after-classroom work, which is usual in non-flipped classrooms. They were given a chance to watch the videos of the following sessions instead.

### *D. Non-Flipped Learning*

The non-flipped learning group was equipped with all the materials and content provided to the flipped classroom group, barring videos. Instead, the digital content was explained to them inside the classroom. The participants were required to complete the assignments as homework after post-class hours. A 75-minute writing procedure was also undertaken for this group. Video content was presented to them through PowerPoints in a 15-minute session instead of showing videos. The participants worked collectively to finish worksheet-related assignments in nearly 15-min minutes. The participants took 30 minutes to complete the writing tasks. Participants were needed to give more time, think thoroughly about the work of their fellows, and provide comments/revisions. They were also required to revise their collective writing work (which was nearly completed during class time) twice. It was also required through them to make documentation of their updated collective writing work in preparation of the closing post-test in the end.

The non-flipped learning did not include several activities before class such as watching video talks. The participants could finish their entire writing work in 24 sittings. In comparison, participants in the flipped learning environment prepared in advance for the writing-related tasks as they had already watched the digital content and videos and had more time (i.e., 50 minutes). On the contrary, the non-flipped classroom group took more time to prepare the writing tasks and finish the assignments /worksheets (i.e., 40 minutes). Students had limited periods for writing-related work during class sessions (merely 35 minutes). In this, non-flipped participants achieved almost one collective writing task per sitting, while their counterparts accomplished two per session. The performance of flipped classroom students can be improved with greater effectiveness. Two-thirds can reduce their time in the classroom compared to conventional teaching methods and course content.

### *E. Data Collection*

The collection of data was conducted with three timed stories based on three pictures, one in the beginning as the pre-test, meaning the first day of the first week; the second one at the halfway of the intervention as the mid-test, meaning the last day of the fourth week, and third one towards the final intervention as post-test.

Jacobs et al. (1981) used rubric scoring to determine the score obtained by the participants' writing stories, followed by analytical scoring procedures. This scoring system consisted of a 100-point scheme primarily for grammar but we have adopted according to the objective of current study (i.e., inflectional morphemes). Two independent trained scoring rubric raters were used to mark all three timed test-written essays. Marks were assigned to the stories based on

pictures to ensure inter-rater consistency. The two rates assigned scores were subject to Cohen's Kappa's inter-rater reliability test. As to the index of reliability, it worked out to be obtained at 0.79, indicating satisfactory inter-reliability between the two raters.

#### F. Data Analysis

In order to assess the impact of flipped and non-flipped learning on the participants' writing performance, a repeated measure called ANOVA (RM-ANOVA) was used. This statistical tool has been chosen to examine students' competency and draw comparative analysis using different testing strategies such as pre-test, mid-test, and post-test. This tool has been selected because it provides accurate multiple test scores for several conditions. RM-ANOVA with a focus on within-subjects comparison can effectively determine the impact of the instructional methods on a similar set of target participants over time. This is also unique in differentiating each participant to avoid subjectivity, thus increasing the statistical analysis potential of the test. The dependent and independent variables were used to analyze the instructional method (i.e., flipped or non-flipped learning) plus the scores from the three timed writing based on pictures that were administered pre-, during, and post-intervention. Finally, RM-ANOVA is also suitable for the proposed research design, provided it enables understanding how instructional methods influence the students' performance.

### IV. RESULTS

Repeated measure analysis of variance was employed with two target groups and three tied assessments. This study found that the critical effect of groups  $F(2, 160) = 24.593, p = .001, \eta^2p = .284$  showed higher scores for flipped classrooms as an experimental group than control group non-flipped learning space/classroom. The result suggested that learners' performance in terms of proficiency in grammar (i.e., inflectional morpheme) was increased in the flipped classroom compared to the non-flipped learning space/classroom (table 1). Furthermore, this analysis also showed a significant main effect of three assessments  $F(2, 160) = 51.150, p = .001, \eta^2p = .452$ , showing higher scores for the post-test over mid and pre-test. The post-hoc analysis, which involves examining data after an experiment has been conducted, utilizing the Tukey procedures, a statistical method for comparing multiple groups, revealed compelling evidence that the assessment scores experienced a noteworthy improvement subsequent to the implementation of the flipped classroom instructional approach,  $t(9) = 4.137, p = .018$ . Furthermore, an extraordinary two-way interaction was recognized between the two groups (experimental and control) and the three assessments (pre, mid, and post-test),  $F(2, 160) = 40.295, p = .014, \eta^2p = .394$ , revealed the results that the flipped learning as an experimental group impact on the students' writing by improving score for mid-test and post-test. In contrast, the control group, a non-flipped learning, did not increase the score significantly for mid-test and post-test compared to the flipped learning.

TABLE 1  
SHOWS THE MEAN VARIATION OF EXPERIMENTAL AND CONTROL GROUPS

Estimates				
Groups	Mean	Std. Error	95% Confidence Interval	
			Lower Bound	Upper Bound
Flipped Classroom	36.862	.768	35.327	38.398
Non-Flipped	32.513	.892	30.730	34.297

TABLE 2  
SHOWS THE MEAN VARIATION ACROSS ASSESSMENTS

Estimates				
Assessments	Mean	Std. Error	95% Confidence Interval	
			Lower Bound	Upper Bound
Pre-test	31.365	.781	29.805	32.925
Mid-Test	35.349	.786	34.790	37.909
Posttest	38.349	.788	34.790	37.909

TABLE 3  
SHOWS THE IMPACT OF GROUPS ON ASSESSMENTS

Groups * Tests					
Groups	Tests	Mean	Std. Error	95% Confidence Interval	
				Lower Bound	Upper Bound
Flipped Classroom	Pre-Test	30.778	.945	28.890	32.666
	Mid-Test	34.905	.856	38.193	41.616
	Posttest	39.905	.856	38.193	41.616
Non-Flipped	Pre-Test	31.952	.944	30.065	33.840
	Mid-Test	32.794	1.031	30.734	34.854
	Posttest	34.794	1.031	30.734	34.854



## V. DISCUSSION

According to Wen's Output-driven/Input-enabled (OD/IE) model (Wen, 2008), the study investigated the participants' writing performance in different scenarios like flipped and non-flipped learning settings. The findings contributed to the understanding that flipped learning participants were better than their fellows in non-flipped learning regarding writing tasks. In tune with the findings, Ebadi et al. (2017) articulated that in a flipped learning environment, students performed well mainly due to instructional methods used in teaching methods. One of the critical possible rationales for these findings may be attributed to the homework given to participants of different target groups.

The EFL learners had their homework done separately post-class hours as the assignment was independent. The participants have not had any peer support or evaluation from their teachers due to their limited or non-existent interactions with them. The participants were also not able to evaluate their work on their own. Thus, the Output-driven/Input-enabled model by Wen (2008) that advocated putting feedback mechanisms in place was realised to be put in place in non-flipped learning settings.

Contrary to the above, the results of flipped learning space participants show that they have had their homework done before class tasks with the assistance of digital means. They were also aware of the next classroom topics and things because of videos they saw at home (Faulkner & Green, 2015; Leis et al., 2015). Thus, they could easily connect with pre and post-class activities at their convenience. The participants of this group had more opportunities to interact with the fellows, peers, and instructors (Mehring, 2014) because they had the chance to watch videos in their free time. Therefore, based on Wen's (2008) model, the output could be a starting point, further motivating them to do different class activities. Hence, as Wen's (2008) model suggested, the feedback mechanisms could be placed along with Wen's (2013) task-based inputs in the flipped classroom environment. These instructional procedures have proven successful in helping participants study individually with significant enthusiasm and thus become more independent ELF students.

However, the participants showed that interest and high motivation in a flipped classroom can be directly and/or indirectly attributed to technological aids (Wanner & Palmer, 2015) provided to them (Chen et al., 2017; Usama, 2023), resulting in their better performance. In this study, the high motivation of students in flipped learning space is linked to using technology-based devices and tools inside and outside the classroom. The study of Chen et al. (2017) shows that the learners in the flipped classroom usually spend more time on before-class activities, which eventually helps them perform better in-class activities. In flipped interventions, the engagement rate of the students has been more significant, along with better performance in completing their class work and assignments in time. They were also assisted with proper feedback mechanisms (Wen, 2013).

Regarding the motivation level of non-flipped learning students, they have not shown as much motivation as their counterparts mainly because they have not had their pre-class work but after-class assignments. This has caused limited preparation for following class activities. In addition, the class activities have not sufficiently contributed to engaging students due to their lecture-based orientation. One of the models proposed by Dornyei and Otto (1998) related to second language learning motivation, the participants would assess their learning experience of the language to determine their success rate and decide whether they would like to continue with that or give away. In the presumption of Dornyei and Otto's (2007) model, the students will become highly motivated in classroom activities and engage with the learning process if they can evaluate their weaknesses and strengths. This is the case presented in the current study for flipped learning environments.

## VI. CONCLUSION

To conclude, the researcher has explored and analyzed the impact on the writing competency of the learners/students both in flipped and non-flipped learning settings by giving different scenarios for inflectional morphemes. The study's findings would be helpful for the benefit of policymakers, academia, and other interested groups. If applied after policy changes, it is envisaged that findings would immensely benefit the teaching and student community in enhancing their writing skills in flipped learning.

EFL educators must subsequently motivate EFL learners to use a flipped learning environment. The teachers must be made aware of the procedures to conduct procedures and methods for a successful flipped wiring classroom contributing to writing proficiency. For this purpose, EFL teachers can change the teaching style by giving students instructional materials before class time along with authentic output activities for appropriate and quick writing performance. Furthermore, the EFL students can also be motivated to check video clips as soon as possible to prepare for future class activities. They can also be encouraged to see videos thoroughly at their convenience to find out issues and flag problems in following class activities.

The present study has attempted to cover one aspect (i.e., inflectional morphemes) of writing proficiency in the ELF context; however, some limitations can be addressed in future research work. One of the limitations is the small sample size, which does not offer sufficient generalization of the research findings. It is expected that a larger sample size can be adopted in future research work, which will help generalize the results. The external factors, such as the strict policy of the chosen university random sampling, were not feasibly appropriate; this can be addressed in future work to ensure the validation of the findings. A qualitative approach can also be employed to understand and assess the attitudes and views of the learners towards flipped learning spaces. This ensures that qualitative and quantitative data collection

findings and subsequent analyses harmonize fairly. Moreover, EFL research may replicate this study and schedule follow-up meetings or interviews with the respondents to assess their attitude toward flipped learning settings.

The study was limited to assessing the writing performance through test strategy and drew comparison between both groups. The pre-test was controlled to observe the critical variations between target groups. Thus, it is recommended that future research work may carry out additional delayed for post-tests to examine the lasting effects on both classrooms on their writing proficiency. In this study, only bachelor's degree level students from the Arts stream were chosen; however, a variety of other academic levels and other language skills can be included in future work. As the participants are natives of Saudi Arabia, future researchers may include a target audience from other geographical regions, primarily those whose English is not their first language but given second language status.

In the present study, the instructional materials shared with EFL students were selected by researchers/instructors so that they could study for the next class. Future research work can give students the freedom to choose learning materials and interests to avoid subjectivity. The study of their selected materials can help the researchers better understand the effects of flipped classroom learning and conduct a comparative analysis of writing skills using qualitative and quantitative techniques.

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# A Study on Interpersonal Meaning of Engagement Resources in the First Speeches of British Prime Ministers (54th - 57th)

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**Abstract**—Appraisal Theory expands on the concept of the interpersonal meaning found in Systemic Functional Linguistics. As one of the three distinct types of the Appraisal System, the Engagement System (ES) is frequently employed to deconstruct the speakers' position in their speeches to better understand how they manipulate interpersonal interactions with their audience. The UAM Corpus Tool 6.0 was applied in this study to undertake an in-depth quantitative and qualitative analysis of four different British Prime Ministerial First Speeches (BPMFS) from the 54th to 57th Prime Ministers. It was found that three Engagement Resources (ERs) were mainly employed in the selected BPMFSs: Assertion Resources help British Prime Ministers take responsibility for directly introducing their evaluation into the text; Entertainment Resources contribute to opening the dialogic space to bridge differences; and through Disclamation Resources (including Denial and Countering Resources), Prime Ministers can oppose suspicion to build rapport with their recipients and establish common goals for a more prosperous future.

**Index Terms**—appraisal theory, Engagement System, British Prime Ministerial First Speech, interpersonal meaning

## I. INTRODUCTION

In the United Kingdom, the First Speech (or “inaugural address” in the United States of America) made at Downing Street by the Prime Minister as the head of His Majesty’s Government is essential among the many political speeches because it indicates the new plans for the country concerning politics, economy, and diplomacy. The Prime Minister persuades the people of the nation that he is qualified for this political post and that he is allowed to achieve his persuasive and formal objectives by giving the first speech or statement. This is the reason why the First Speech of the British Prime Minister is so significant for academics in a variety of fields to study.

Public political discourse has been the subject of extensive research by academics from other countries in subjects as diverse as sociology, politics, and psychology. Indeed, Rhetorical studies, Systemic Functional Linguistics (SFL), Critical Discourse Analysis (CDA), stylistics, and related fields have dominated the studies of this phenomenon in recent years.

“For a long period, rhetoric almost has been used as the synonym for the political speech, which instructs the addressers to dig out the argument, organize the structure, express eloquently and make the whole speech more persuasive” (Wang, 2011, p. 6). Furthermore, it helps to “embed leaders’ rhetorical influence in leader-follower relationships and identify contextual factors that explain the different patterns of...uses of action-oriented terms and negation terms in their inaugural speeches” (Kong, 2013, p. 760).

Some scholars conducted their analysis under the framework of speech acts. For example, Rahayu and Fauziah (2021) aimed to describe the kind of speech acts that were found and used in Boris Johnson’s First Speech and concluded that the highest speech acts most often used in his First Speech on 23 March 2020 were representatives with declaratives coming in second. Mohammad (2022) investigated the different types of persuasive strategies used by Boris Johnson, and along with the claim of Aristotle, Johnson was found to “masterfully adopt the three crucial types to create a solid rhetorical persuasion which are ethos, logos, and pathos” (p. 631).

Previous studies on public political discourse show that the Appraisal Theory is rarely used to further similar studies

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in foreign academic contexts, especially when examining the development of research on the BPMFS. Therefore, this study attempts to conduct a more comprehensive study within the framework of the Engagement System on multiple British Prime Ministers’ first speeches against the particular backdrop of the UK to figure out how interpersonal meaning is constructed through all of these ERs by four British Prime Ministers. It is hoped that this study may broaden the applicability of the Engagement System and explore the status quo of the UK from a new angle where BPMFS acts as a link between the preceding and the following.

II. THEORETICAL FRAMEWORK

According to Martin and White (2008), engagement is concerned with how resources such as projection, modality, polarity, concession and various comment adverbials position the speaker/writer concerning both the value position being advanced and the potential responses to that value position. That is to say, engagement acts “as a cover-all term for resources of intersubjective positioning” (Martin & White, 2008, p. 95) and is utilized by language users as a means of mitigating their responsibilities and obligations to what is spoken or written.

A. Monogloss

We can be enlightened by Martin’s (2008) demonstration of monogloss in which he states that “by this, the speaker/writer presents the current proposition as one which has no dialogistic alternatives which need to be recognized, or engaged with, in the current communicative context — as dialogistically inert and hence capable of being declared categorically” (p. 99). Therefore, monogloss, or “bare or categorical assertions”, refers to the communicative contexts that make no explicit reference to other voices nor do they recognize opposing views. It also features a situation that removes the proposition from direct availability discussion or “presumption”.

B. Heterogloss

Heterogloss refers to overtly dialogistic locutions that invoke or allow for dialogistic alternatives — that is, the utterances and viewpoints of external voices. In addition, influenced by the academic thought of dialogism by the Soviet scholar Bakhtin, heterogloss can be given to all locutions which function in this way to recognize that the text’s communicative backdrop is a diverse one (Martin & White, 2008). The detailed classification of heterogloss is illustrated below in Figure 1.

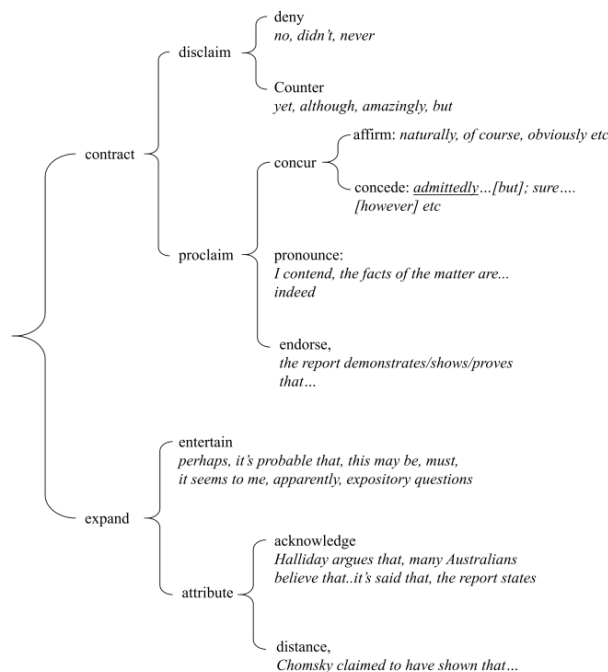


Figure 1. The Engagement System

(a). Dialogic Contraction

Dialogic contraction refers to the resources that act to challenge, fend off or restrict the scope of dialogically alternative positions and voices (Martin & White, 2008). These resources of contractive meaning include two sub-categories, namely Disclaim and Proclaim.

Like what Martin and White (2008) proposed, resources of the first category Disclaim have meanings by which some dialogic alternative is directly rejected or supplanted or is represented as not applying. Within this category, two sub-types can be distinguished: Deny (Negation) and Counter.

Martin and White (2008) defined the second category, Proclaim, as meanings by which, through some authorial interpolation, emphasis or intervention, dialogic alternatives are confronted, challenged, overwhelmed or otherwise excluded (p. 117). According to it, Proclaim can fall into three subcategories: Concur, Pronounce and Endorse.

1. “The category of ‘concur’ involves formulations which overtly announce the addresser as agreeing with, or having the same knowledge as, some projected dialogic partner” (Martin & White, 2008).
2. From what Martin and White (2008) discussed, Endorsement Resources point to those formulations by which propositions sourced to external sources are construed by the authorial voice as correct, valid, undeniable or otherwise maximally warrantable. Verbs like “show”, “demonstrate”, “find” and “point out” can help to achieve the target.
3. As for Pronouncement Resources, Martin and White (2008) explained that it covers formulations that involve authorial emphases or explicit authorial interventions or interpolations, and listed some examples: “I contend ...”, “The truth of the matter is that ...” (p. 127).

#### (b). *Dialogic Expansion*

As a concept in contrast to dialogic contraction, dialogic expansion actively makes allowances for dialogically alternative positions and voices (Martin & White, 2008). Additionally, it includes Entertain and Attribute as its sub-categories.

As Martin and White (2008) have discussed, Entertainment Resources are “wordings by which the authorial voice indicates that its position is but one of several possible positions and thereby, to greater or lesser degrees, makes dialogic space for those possibilities” (p. 104). Attribution Resources deal with those formulations that disassociate the proposition from the text’s internal authorial voice by attributing it to some external source (Martin & White, 2008). It can be divided into two sub-categories, namely Acknowledge and Distance.

1. Acknowledgement Resources are the locutions where there is no overt indication, at least via the choice of the framer, as to where the authorial voice stands concerning the proposition (Martin & White, 2008).
2. On the same premise as Acknowledgements Resources, Distancing Resources are expansive in the discourse space. They go beyond mere acknowledgments in that they allow more room for dialogical alternatives by portraying the voice of the writer or speaker as clearly rejecting to assume credit for the notion. However, Acknowledgement Resources have been “widely attended to in the extensive literature on reported speech and citation, especially as it operates within academic discourse” (Martin & White, 2008, p. 113).

### III. METHODOLOGY

#### A. *Corpora*

This study selected four First Speeches as the corpus sources; respectively, they are the First Speeches of Theresa May, Boris Johnson, Elizabeth Truss and Rishi Sunak. All of these sources are accessible at the official website: <https://www.gov.uk/government/>.

The year 2020 witnessed a number of events that had a global impact. One of those events was Brexit. Since the 2016 referendum, the United Kingdom had begun the process of exiting the European Union which had taken more than four years to complete. The result of the referendum in the United Kingdom reflected a burst of long-simmering political, social, economic and cultural issues, along with other issues concerning national governance, globalization, and reason and irrationality among them. The UK was scheduled to officially withdraw from the European Union (EU) on January 1, 2021, and would no longer be able to participate in the decision-making and voting processes of the European Union. Additionally, it would no longer be bound by the laws and policies of the EU. Former Prime Ministers Theresa May and Boris Johnson played key roles during the Brexit period.

There has been unprecedented volatility in British politics over the past few years, with two Prime Ministers — Boris Johnson and Liz Truss — being ousted from office by members of their own party and a massive reaction against budgetary changes that ultimately led to their withdrawal. Rishi Sunak became the 57th Prime Minister in the UK. On September 8, 2022, Queen Elizabeth II passed away at Balmoral Castle in Scotland. Following her death, Prince Charles ascended to the throne as King of the United Kingdom. Within the space of a single year, the country went through three prime ministers and two monarchs. Even in the relatively unsettled political climate of recent years, such political turbulence in Britain is unusual. Therefore, the corpus selected in this study is highly representative and contains abundant Engagement Resources. A list of the four British First Speeches can be seen below in Table 1.

TABLE 1  
LIST OF BRITISH PRIME MINISTERIAL FIRST SPEECHES

Time	Addresser	Word Number
2016.7	Theresa May	629
2019.7	Boris Johnson	1689
2022.9	Liz Truss	516
2022.10	Rishi Sunak	567
Total		3401

### B. Instrument and Procedure

In the quantitative aspect, effective software was employed for data collection: the UAM Corpus Tool 6.0 - an all-in-one tool for building databases, getting information, and creating statistics. Previously dubbed the Systemic Coder, the tool was developed by Dr. Mick O'Donnell and based on Systemic Functional Linguistics. Moreover, it can not only annotate a corpus for linguistic research but can also create a training set for statistical language processing.

The UAM Corpus Tool is often used in discourse analysis, especially for studies conducted under the Appraisal Theory. With its assistance, various texts can be annotated on multiple levels such as NP, clause, sentence, and whole document by using the same annotation schemes or individually designed schemes. Furthermore, researchers may search for examples on many levels such as finite clauses with company NPs or future clauses in introductions and compare statistics on multiple subsets such as the linguistic differences between male and female speakers. In addition, every annotation is kept in XML files making it simpler to transfer annotations across programs, and "stand-off" XML enables several overlapping analyses of the same text.

Data collection is completed through the following steps:

1. Create a new project and name it "BPMFS Analysis".
2. Add the four First Speeches as a folder of text files to the project.
3. Add the layer name "Manuel Annotation", select the coding object "Engagement Only", and edit a new Coding scheme according to the Engagement System in the Appraisal Theory.
4. Acquire all the statistics and see the features presented.

It's worth noting that in all procedures, step 3 plays the most important role in the accuracy of the research. In this research, we use the following predetermined network system to implement the Coding Scheme:

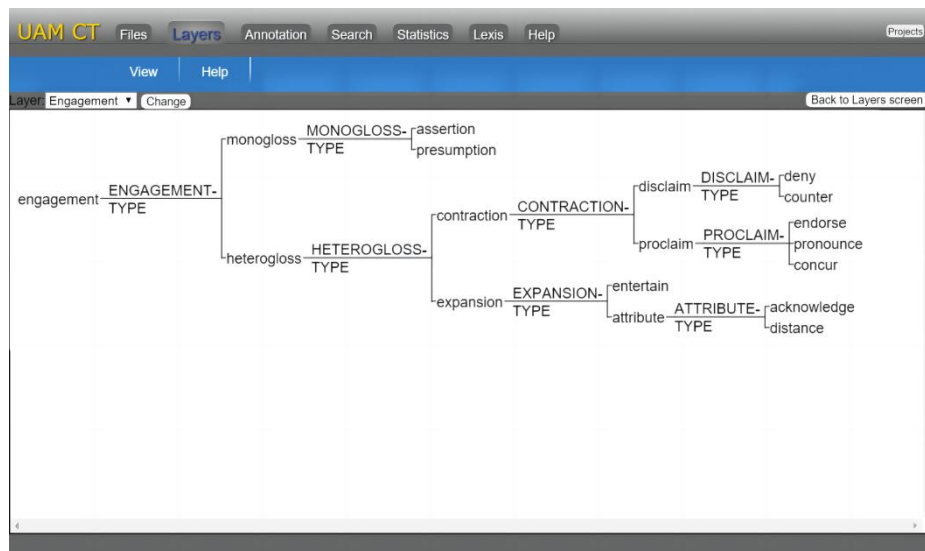


Figure 2. Coding Scheme for Engagement Analysis

Currently, manual annotation is used more for many Appraisal Theory publications. In this dissertation, the author focused on classifying the Engagement System which has several subsystems with each subsystem containing its own branches. While assigning labels, it is necessary to determine the appropriate noun or phrase for each subsystem that falls under the Engagement System. It is easy to make mistakes if the process is not carried out with the utmost care and precision.

## IV. RESULTS

All Engagement Resources (ER) have been manually annotated and their frequencies and percentages were calculated in UAM Corpus Tool 6. The overall distribution of each kind of ER in the four First Speeches is presented in Table 2:



TABLE 2  
THE OVERALL DISTRIBUTION OF ERS (UAM CORPUS TOOL 6)

Feature	N	%
<b>ENGAGEMENT-TYPE</b>		<b>TOTAL: 188</b>
- monogloss	57	30.3
- heterogloss	131	60.7
<b>MONOGLOSS-TYPE</b>		<b>TOTAL: 57</b>
- assertion	57	30
- presumption	0	0
<b>HETEROGLOSS-TYPE</b>		<b>TOTAL: 131</b>
- contraction	93	49.5
- expansion	38	20.2
<b>CONTRACTION TYPE</b>		<b>TOTAL: 93</b>
- disclaim	63	33.5
- proclaim	30	16
<b>DISCLAIM-TYPE</b>		<b>TOTAL: 63</b>
- deny	32	17
- counter	31	16.5
<b>PROCLAIM-TYPE</b>		<b>TOTAL: 30</b>
- endorse	13	6.9
- pronounce	10	5.3
- concur	7	3.7
<b>EXPANSION-TYPE</b>		<b>TOTAL: 38</b>
- entertain	37	19.7
- attribute	1	0.5
<b>ATTRIBUTION-TYPE</b>		<b>TOTAL: 1</b>
- acknowledge	1	0.5
- distance	0	0

What we can directly observe from Table 3 is that there are 188 ER items in total in the selected First Speeches of four British Prime Ministers. Obviously, the Heterogloss Resources number much more than the Monogloss Resources. Moreover, in the aspect of monogloss resources, the four Prime Ministers' First Speeches are distributed with all assertions instead of just one presumption. Among the branches of Heterogloss Resources, dialogic contraction plays a main part where Disclamation Resources are more than double the number of Proclamation Resources. The 63 Disclamation Resources contain nearly the same number of denial and countering resources while in Proclamation Resources, the proportion of Endorsement, Pronouncement and Concurrence Resources gradually decrease. As for the other branch, the 38 Expansion Resources encounters an extreme situation where it consists of 37 Entertainment Resources and only one Attribution Resource in which there are no Distancing Resources but only a single Acknowledgement Resource.

As a result, we can draw the preliminary conclusion that to achieve their goals and impress the audience during political speeches, particularly when giving the First Speech at Downing Street, these four British Prime Ministers are more likely to employ resources such as Assertion Resources and Disclamation Resources in the aspect of Dialogic Contraction and Entertainment Resources in the aspect of Dialogic Expansion. Based on this, we could then make an initial assumption about the strategies they used in their speeches; that is, they are skilled at making firm declarations and promises to reassure the audience, extending the dialogic space and their stances to include citizens of the whole nation, quoting authoritative voices to support their own voices and reject alternative voices.

When we respectively shift perspective to the First Speeches by the four Prime Ministers, there are still differences in the distribution features of ERs and their employed tactics. The respective distribution of ERs in each Prime Minister's First Speech is shown below in Table 3:

TABLE 3  
THE DISTRIBUTION OF ERS IN FOUR FIRST SPEECHES (UAM CORPUS TOOL 6)

	Theresa May		Boris Johnson		Liz Truss		Rishi Sunak	
	N	%	N	%	N	%	N	%
ENGAGEMENT-TYPE	TOTAL: 64		TOTAL: 71		TOTAL: 29		TOTAL: 24	
- monogloss	8	12.5%	25	35.2%	16	55.2%	8	33.3%
- heterogloss	56	87.5%	46	64.8%	13	44.8%	16	66.7%
MONOGLOSS-TYPE	TOTAL: 8		TOTAL: 25		TOTAL: 16		TOTAL: 8	
- assertion	8	12.5%	25	35.2%	16	55.2%	8	33.3%
- presumption	0	0	0	0	0	0	0	0
HETEROGLOSS-TYPE	TOTAL: 56		TOTAL: 46		TOTAL: 13		TOTAL: 16	
- contraction	32	50.0%	38	53.5%	10	34.5%	13	54.2%
- expansion	24	37.5%	8	11.3%	3	10.3%	3	12.5%
CONTRACTION-TYPE	TOTAL: 32		TOTAL: 38		TOTAL: 10		TOTAL: 13	
- disclaim	25	39.1%	23	32.4%	5	17.2%	10	41.7%
- proclaim	7	10.9%	15	21.1%	5	17.2%	3	12.5%
DISCLAIM-TYPE	TOTAL: 25		TOTAL: 23		TOTAL: 5		TOTAL: 10	
- deny	11	17.2%	11	15.5%	4	13.8%	6	25.0%
- counter	14	21.9%	12	16.9%	1	3.4%	4	16.7%
PROCLAIM-TYPE	TOTAL: 7		TOTAL: 15		TOTAL: 5		TOTAL: 3	
- endorse	5	7.8%	2	2.8%	4	13.8%	2	8.3%
- pronounce	2	3.1%	8	11.3%	0	0	0	0
- concur	0	0	5	7.0%	1	3.4%	1	4.2%
EXPANSION-TYPE	TOTAL: 24		TOTAL: 8		TOTAL: 3		TOTAL: 3	
- entertain	24	37.5%	7	9.9%	3	10.3%	3	12.5%
- attribute	0	0	1	1.4%	0	0	0	0
ATTRIBUTION-TYPE	TOTAL: 0		TOTAL: 8		TOTAL: 0		TOTAL: 0	
- acknowledge	0	0	1	1.4%	0	0	0	0
- distance	0	0	0	0	0	0	0	0

A. Distribution Features of Monogloss

Monogloss can fall into two sub-types: Assertion and Presumption. As we see in the Table 3 above, four Prime Ministers never use presumption in their speech and assertion resources occupy all of the proportion of monogloss. The proportion of Assertion that Boris Johnson, Liz Truss and Rishi Sunak take in their addresses ranges between 35% and 55%, and Truss uses the most in her speech. To make it clearer, Figure 3 is provided below:

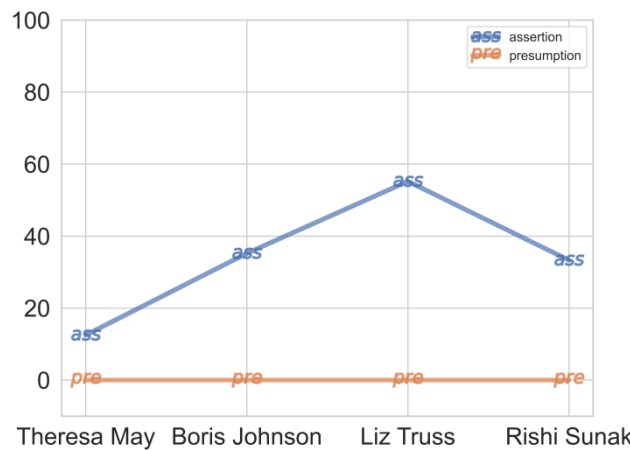


Figure 3. The Comparison of Monogloss in the Four First Speeches

Many of them prefer to express their points and ideas by using Assertion Resources in a way to strike a chord with the audience. Moreover, we can see that there is zero Presumption Resource employed in their speeches.

B. Distribution Features of Heterogloss

(a). Distribution Features of Dialogic Contraction

Heterogloss accounts for 60.7% of the total ERs as does Contraction Resources with one of its sub-types accounting for 49.5% of their ERs. The variances between the four Prime Ministers are shown below in Figure 4.

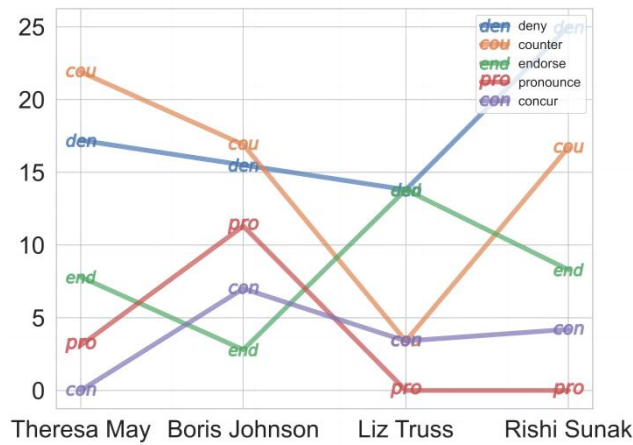


Figure 4. The Comparison of Contraction in the Four First Speeches

As one of the sub-types of Contraction, Disclamation Resources accounts for two-thirds thereof. More specifically, the proportion of Denial Resources equals that of Countering Resources. Prime Ministers do this because they want to steer public opinion in a more positive direction. Furthermore, they hold enough sway to outright silence a number of dissident opinions. However, Truss differs from the other three Prime Ministers in the low employment of Countering Resources. May, Johnson, and Sunak employ almost the same number of Denial and Countering resources.

Though Proclamation Resources are not used nearly as much as Disclamation Resources, Boris Johnson employs most of them among these Prime Ministers, especially concerning Pronouncement Resources. However, Truss and Sunak did not use any Pronouncement Resources in their first speech which means that they do not tend to prioritize their views among competing ones. May and Truss attempt to use more Endorsement Resources to recognize external sources as correct.

(b). *Distribution Features of Dialogic Expansion*

Compared to Contraction Resources, Expansion Resources do not contribute as much to the composition of heterogloss. In fact, it is less than half. Figure 5 offers a succinct view on the characteristics presented in the four speeches:

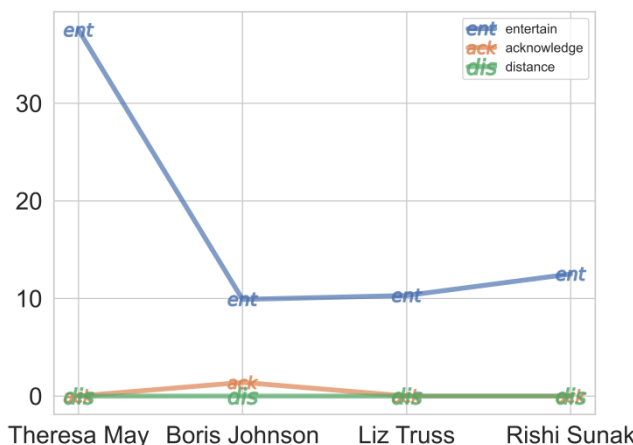


Figure 5. The Comparison of Expansion in the Four First Speeches

Dialogic expansion is divided into two branches: Entertain and Attribute. Attribute has two sub-branches: Acknowledge and Distance. What is presented in Figure 5 is the large distinction between the proportion of Entertainment Resources and the proportion of Attribution Resources, not to mention the single Acknowledgement Resource that was employed in Johnson’s speech. None of the Prime Ministers used Distancing Resources in their speech. Among all of these political figures, May’s employment of Entertainment Resources outnumbers the others, which shows that she values fostering a dialogic environment where divergent viewpoints and perspectives may coexist.

V. DISCUSSION

A. *Case Analysis on Interpersonal Meaning of Monogloss*

The speakers can present their current proposition as dialogically inactive and hence capable of being proclaimed categorically because no alternatives need to be recognized or interacted with in the current communicative situation

which, in other words, means that they are able to express fairly certain attitudes and viewpoints directly while employing monogloss resources.

There are two classifications of monogloss: Assertion and Presumption. However, in the speeches selected as the corpus, four Prime Ministers utilize 57 Assertion Resources and not even one single Presumption Resource. The following examples are Assertion Resources in BPMFS.

1. “We are living through an important moment in our country’s history. Following the referendum, we face a time of great national change” (May, 2016). [Monogloss: Assertion]
2. “We are going to restore trust in our democracy and we are going to fulfill the repeated promises of parliament to the people and come out of the EU on October 31, no ifs or buts” (Johnson, 2019). [Monogloss: Assertion]
3. “We will transform Britain into an aspiration nation...with high-paying jobs, safe streets and where everyone everywhere has the opportunities they deserve” (Truss, 2022). [Monogloss: Assertion]
4. “I will always be grateful to Boris Johnson for his incredible achievements as Prime Minister, and I treasure his warmth and generosity of spirit” (Sunak, 2022). [Monogloss: Assertion]

In example 1, in her First Speech, May directly recognized Brexit as “an important moment in our country’s history” because in June of 2016, Britain held the Brexit referendum, and she took on the responsibility to lead the effort to pull Britain out of the European Union after she was appointed Prime Minister in July.

In example 2, Johnson used “we” to convey the promise on behalf of not only himself but the whole government and tried to invoke the confidence and hope of people by using “no ifs or buts” to show that as a key leader in the drive for a “hard Brexit”, he had an adamant attitude toward it.

Example 3 clarifies current problems faced by the UK in 2022, and Truss was expected to change the status quo as the third female Prime Minister. She also used “we” to represent the government’s resolution directly.

Example 4 hints at an interesting story between Sunak and Johnson. Johnson withdrew his Conservative leadership bid, paving the way for Sunak to become Britain’s first prime minister of Indian descent. Sunak took great care in his first statement by utilizing Assertion Resources to laud the work of former Prime Minister Johnson in bringing about Brexit.

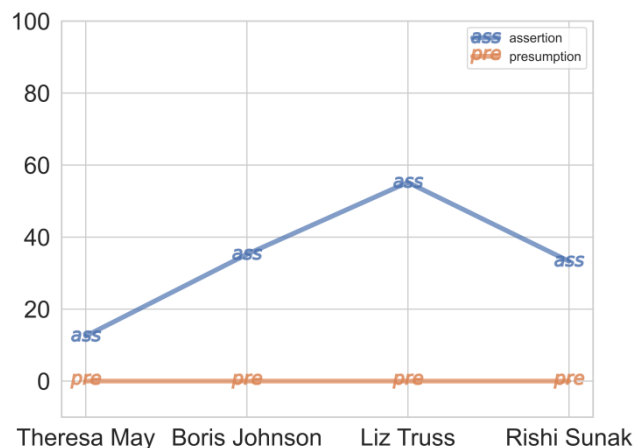


Figure 6. The Comparison of Assertion and Presumption Resources

As we can conclude from Figure 6, here is how the proportions of Assertion Resources in the four First Speeches are ranked: Truss (55.2%) > Johnson (35.2%) > Sunak (33.3%) > May (12.5%); however, none of the four Prime Ministers employed Presumption Resources.

### B. Case Analysis on Interpersonal Meaning of Heterogloss

The use of Heterogloss Resources allows the speaker or writer to avoid responsibility for their words. It offers the idea of objectivity because the speaker is not directly responsible for the statement being made. There are 131 Heterogloss Resources used which make up the largest part of the ERs used in these speeches. Nearly 71% of them are Contraction Resources while Expansion Resources only account for 29%.

#### (a). Interpersonal Meaning of Dialogic Contraction

Resources that question, counter, or limit the range of dialogically different perspectives and voices are said to engage in dialogic contraction which falls into Disclaim and Proclaim. The comparison of the proportions of Contraction Resources employed is illustrated below in Figure 7.

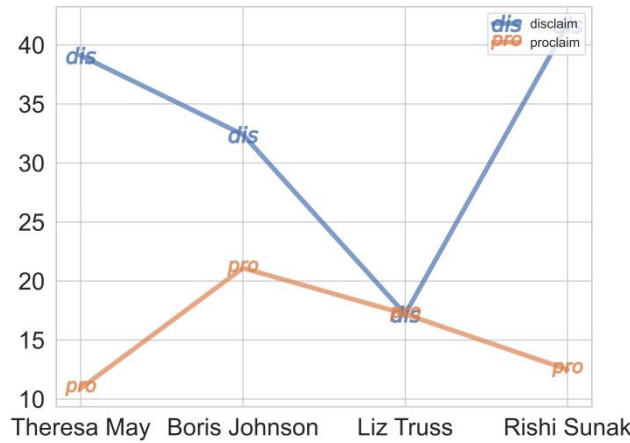


Figure 7. The Comparison of Overall Contraction Resources

As can be concluded from Figure 7, here is how the proportions of overall Contraction Resources are ranked:  
 Disclamation Resources: Sunak (41.7%) > May (39.1%) > Johnson (32.4%) > Truss (17.2%);  
 Proclamation Resources: Johnson (21.1%) > Truss (17.2%) > Sunak (12.5%) > May (10.9%).

1. Disclaim

Disclamation Resources encompass a range of interpretations, all of which include the implicit or explicit dismissal of a potential course of action in a conversation. There are two distinct categories within this group: Deny and Counter. Denial Resource is a strategy that admits the existence of a potentially more advantageous alternative stance in order to reject it. Countering Resource is a tool, which represents the current proposition as replacing or supplanting and then rejecting it and adding that which would have been expected to take its place. Examples are as follows:

5. “But David’s true legacy is not [Disclaim: Deny] about the economy but [Disclaim: Counter] about social justice” (May, 2016).
6. “I have every confidence that in 99 days’ time we will have cracked it but [Disclaim: Counter] you know what — we aren’t” [Disclaim: Deny] going to wait 99 days because the British people have had enough of waiting (Johnson, 2019).
7. “We shouldn’t [Disclaim: Deny] be daunted by the challenges we face” (Truss, 2022).
8. “I will unite our country, not [Disclaim: Deny] with words, but [Disclaim: Counter] with action” (Sunak, 2022).

In example 5, the Denial Resource “not” and the Countering Resource “but” are perfectly combined to construe May’s glowing assessment of former Prime Minister David Cameron’s achievements in social justice. However, May used these two tools to try to convince the British people that she would prioritize economic growth.

In example 6, during the most important period of Brexit, Johnson used “but” to replace the current proposition that the UK would succeed in leaving the EU in 99 days, and he then negated the patience of waiting for these 99 days. Instead, he was aiming to convey a firm attitude that he would achieve the goal as soon as possible. Moreover, here he also replaced “I” with “We” to extend the stance to all citizens.

In example 7, Truss denied the fear brought about by the turbulent status quo and she encouraged having a fixed heart to confront all the challenges.

Example 8 uses the same strategy as example 5, the combination of the Denial Resource “not” and the Countering Resource “but” which helps Sunak to express his responsibility and duty to build a better Britain through his endeavors.

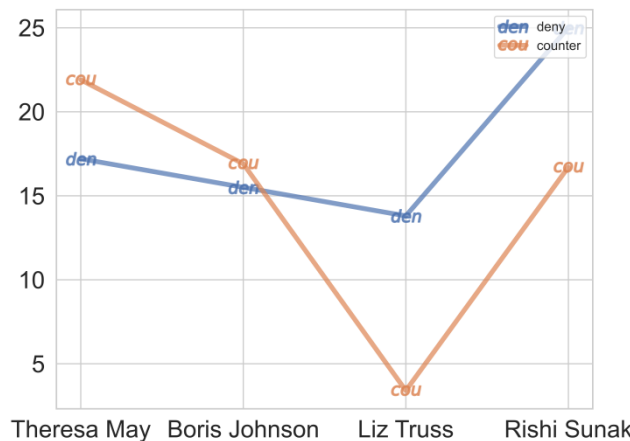


Figure 8. The Comparison of Disclamation Resources

As we can conclude from Figure 8, here is how the proportions of Disclamation Resources are ranked:  
 Denial Resources: Sunak (25.0%) > May (17.2%) > Johnson (15.5%) > Truss (13.8%);  
 Countering Resources: May (21.9%) > Johnson (16.9%) > Sunak (16.7%) > Truss (3.4%).

## 2. Proclaim

Proclaim Resources refer to a set of meanings that excludes other possible interpretations through the use of authorial interpolation, emphasis, or intervention. It is classified into three subsets — Concur, Pronounce, and Endorse.

With the use of Concurrence Resources, the speaker might appear to be on equal footing with, or knowledgeable about, the person to whom the material is addressed. Endorsement resources confirm that the claim is true and link it to a specific person's opinion, usually the speaker's. They also point out statements in which the speaker makes claims based on outside voices, making them sound like they came from inside sources. Pronouncement is a tool that involves authorial emphases or explicit authorial interventions or interpolations. Examples are as follows:

9. "Because not everybody knows this, but the full title of my party is the Conservative and Unionist Party, and that word 'unionist' is very important to me. It means [Proclaim: Endorsement] we believe in the Union: the precious, precious bond between England, Scotland, Wales and Northern Ireland" (May, 2016).
10. "What makes the United Kingdom great is our fundamental belief [Proclaim: Endorsement] in freedom, in enterprise, and in fair play" (Truss, 2022).
11. "That's why we have already announced that [Proclaim: Pronounce] we are going to level up per pupil funding in primary and secondary schools and that is the work that begins immediately behind that black door" (Johnson, 2019).
12. "I know that we have what it takes to tackle those challenges. Of course [Proclaim: Concur], it won't be easy. But we can do it" (Truss, 2022).

In example 9, May made reference to the Conservative Party's entire name, which omits the word "Unionist". It's a fact that most people do not know very well. That the vital tie between England, Scotland, Wales, and Northern Ireland is strong and will never be broken is what May is trying to emphasize and tell the people. Furthermore, she did everything she could to uphold her pledge by demonstrating her loyalty to the party, the people, and the country.

In example 10, Truss described as "fundamental" the idea that the UK is great because of its commitment to individual liberty, free enterprise, and equal opportunity. This would undoubtedly spark feelings of national pride.

In example 11, to make a favorable impression, Johnson bundled one of his responsibilities into the obligation of the entire government. With the phrase "have already announced", he hoped to convey the idea that he had already begun his work and was implementing a superior strategy to advance national education.

In example 12, Truss, using the adverb "of course", assumed that her readers would agree with her that the United Kingdom is facing numerous difficulties at the present time. She made an effort to share the sentiments of the common people to inspire them in her role as Prime Minister.

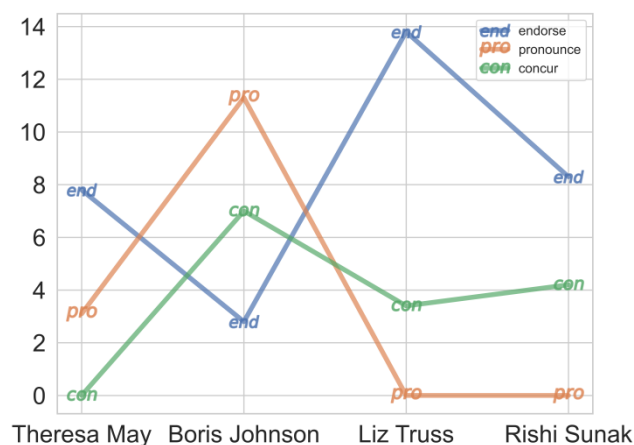


Figure 9. The Comparison of Proclamation Resources

As we can conclude from Figure 9, here is how the proportions of Proclamation Resources in the four First Speeches are ranked:

Endorsement Resources: Truss (25.0%) > May (17.2%) > Johnson (15.5%) > Truss (13.8%);  
 Pronouncement Resources: May (21.9%) > Johnson (16.9%) > Sunak (16.7%) > Truss (3.4%);  
 Concurrence Resources: May (21.9%) > Johnson (16.9%) > Sunak (16.7%) > Truss (3.4%).

## (b). Interpersonal Meaning of Dialogic Expansion

Dialogic expansion actively accommodates several perspectives and viewpoints inside a conversation, and locutions like Entertain and Attribute are sub-branches of it. The comparison of the proportions of Expansion Resources employed is illustrated in Figure 10.

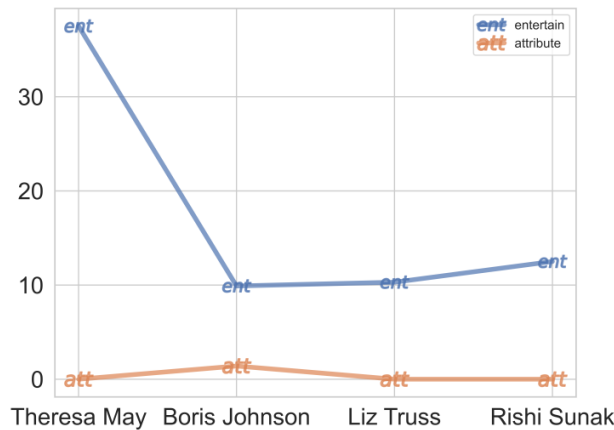


Figure 10. The Comparison of Overall Expansion Resources

1. *Entertain*

By openly tying the ongoing proposal to the speaker’s unique subjectivity, Entertainment Resources acknowledge that the current proposal is just one of many in the communicative context and make room for alternative options in the dialogue. Examples are as follows:

13. “That means fighting against the burning injustice that, if [Attribute: Entertain] you’re born poor, you will die on average 9 years earlier than others. If [Attribute: Entertain] you’re black, you’re treated more harshly by the criminal justice system than if [Attribute: Entertain] you’re white. If [Attribute: Entertain] you’re a white, working-class boy, you’re less likely than anybody else in Britain to go to university. If [Attribute: Entertain] you’re at a state school, you’re less likely to reach the top professions than if [Attribute: Entertain] you’re educated privately. If [Attribute: Entertain] you’re a woman, you will earn less than a man. If [Attribute: Entertain] you suffer from mental health problems, there’s not enough help to hand. If [Attribute: Entertain] you’re young, you’ll find it harder than ever before to own your own home” (May, 2016).
14. “I am convinced that [Attribute: Entertain] we can do a deal without checks at the Irish border, because we refuse under any circumstances to have such checks” (Johnson, 2019).
15. “United with our allies, we will stand up for freedom and democracy around the world — recognising that [Attribute: Entertain] we can’t have security at home without having security abroad” (Truss, 2022).

The use of “if” modalized clauses to actualize potential entertainment resources is demonstrated effectively in Example 13. May used seven “if” modalized clauses in succession to highlight societal unfairness in the UK in regards to poverty, racism, education, gender, etc., and presents herself as a contingent individual based on evidence, thereby creating a space for others suffering the injustice to speak their minds.

In example 14, Entertainment Resource was realized by the mental attribute projection “I am convinced that”. Johnson made it clear that the deal could, indeed, be done without checks at the Irish border.

In example 15, Truss employed the mental-verb projection “(we) recognize that”, which plainly bases the value position on her own subjectivity and even on the stance of all citizens, to construct a backdrop against which she could firmly maintain a position on the significance of security abroad. Meanwhile, she was ready to demonstrate an awareness of the possibility that the presentations could contain other voices with differing perspectives on the importance of domestic and international security to global freedom and democracy. This allows them a forum in which to negotiate with others who have different perspectives.

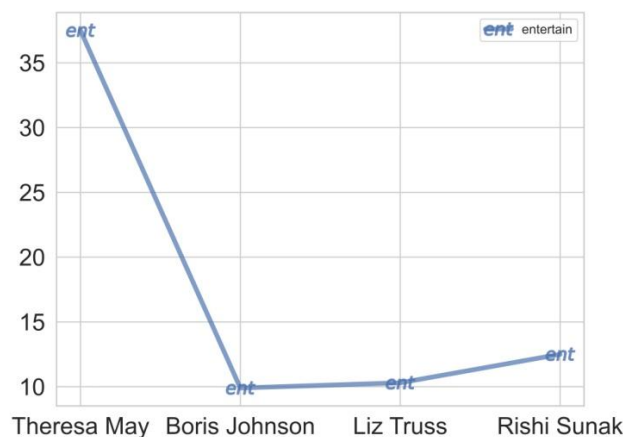


Figure 11. The Comparison of Entertainment Resources



As we can conclude from Figure 11, here is how the proportions of entertainment resources in four First Speeches are ranked:

Entertainment Resources: May (37.5%) > Sunak (12.5%) > Truss (10.3%) > Johnson (9.9%).

## 2. Attribute

Attribution Resources deal with “those formulations which disassociate the proposition from the text’s internal authorial voice by attributing it to some external source” (Xue & Xu, 2021, p. 95). There are two sub-categories, namely Acknowledge and Distance. Acknowledging Resources “refer to those propositions where there is no overt indication...as to where the authorial voice stands with respect to the proposition” (El-Zouka, 2017, pp. 13-14). However, by making it clear that the writer or speaker is not taking credit for the idea, Distancing Resources create more room for dialogical alternatives. Here is the only example in all these four speeches.

16. “In spite of all her efforts, it has become clear that there are pessimists at home and abroad who think that [Attribute: Acknowledge] after three years of indecision that this country has become a prisoner to the old arguments of 2016, and that in this home of democracy we are incapable of honouring a basic democratic mandate” (Johnson, 2019).

In example 16, due to May’s failure to let Britain withdraw from the EU, Johnson only invited the external voices of those who were hostile toward the government and the Brexit plan, but he would not take responsibility for it. Instead, Johnson, as a dedicated Prime Minister for Brexit, tried to inspire the people to play up their trust in him in order to build solidarity with the new government.

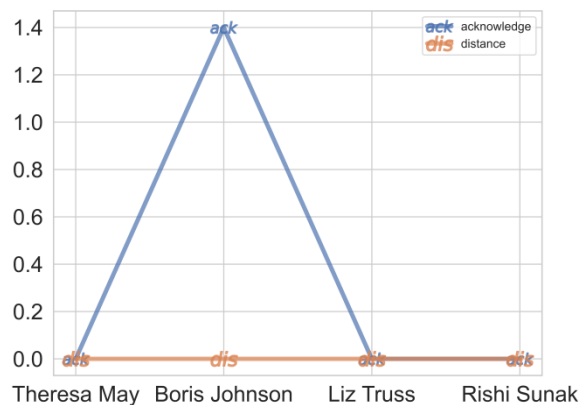


Figure 12. The Comparison of Attribution Resources

As we can conclude from Figure 12, here is how the proportions of Acknowledgement Resources in the four First Speeches are ranked: Johnson (1.4%) > Truss (0%) > Truss (0%) > Sunak (0%); however, all of the four Prime Ministers employed zero Distancing Resources.

## C. Construction of Interpersonal Meaning in BPMFS

We have discussed the distributional characteristics of all branches of both monogloss and heterogloss resources, and now we will review the approaches taken by each Prime Minister in their first speech to understand the interpersonal meaning inherent in their respective situations.

### (a). Theresa May

Here is the specific ranking of Theresa May’s First Speech: Entertain (37.5%) > Counter (21.9%) > Deny (17.2%) > Assertion (12.5%) > Endorse (7.8%) > Pronounce (3.1%) > Presumption (0%) > Concur (0%) > Acknowledge (0%) > Distance (0%).

The year 2017 saw Queen Elizabeth II approve the Brexit bill, authorizing Theresa May to formally start the process of leaving the EU; meanwhile, in 2019, the draft Brexit agreement between Theresa May’s government and the EU was rejected three times by the House of Commons of the British Parliament.

Entertainment and Disclamation Resources occupy the highest proportion of May’s First Speech. These resources she used rendered her opinion arbitrary, and audiences were encouraged to voice their own reactions. As the second woman to lead Britain as Prime Minister, May vowed to address social inequality and Brexit’s consequences during her time at Downing Street. Her primary responsibility as Prime Minister would be to steer Britain through the “Brexit” process and negotiate in Britain’s best interests. Also through disclamation resources, she attempted to mend the divisions within her own party and among the British public that had arisen as a result of the “Brexit” debate and restore the country’s social fabric.

### (b). Boris Johnson

Here is the specific ranking of Boris Johnson’s First Speech: Assertion (35.2%) > Counter (16.9%) > Deny (15.5%) >



Pronounce (11.3%) > Entertain (9.9%) > Concur (7.0%) > Endorse (2.8%) > Acknowledge (1.4%) > Presumption (0%) > Distance (0%).

In July of 2017, Boris Johnson succeeded Theresa May as Prime Minister. Assertion and Disclamation Resources occupy the largest proportion of Johnson's First Speech. Johnson used a lot of Assertion Resources to reassure the country and people that he would do his best to pull Britain out of the quagmire of Brexit and maintain Britain's international influence in the changing international pattern and situation despite the many challenges facing British diplomacy in the Brexit era. He declared his intention to take decisive action in the face of ambiguity, addressing both Europe's issues and Britain's own.

During his reign, the UK successfully left the EU. He solved the Brexit impasse left by former Prime Minister Theresa May and pushed through the development of a vaccine in the midst of the COVID-19 pandemic. The reoccurring waves of COVID-19, supply chain bottlenecks, labor shortages, and soaring energy prices in 2021 wreaked havoc on the UK economy while in 2022, the rising cost of food in the UK (especially bread, cereals, and meat) posed the greatest threat to the standard of living for Britons in four decades. The UK's economic recovery has been facing major obstacles that, along with the global inflation problem which has exacerbated the impact of Brexit, caused Britain to fall on particularly hard times.

(c). *Liz Truss*

For Liz Truss's First Speech, here are the specific rankings: Assertion (55.2%) > Deny (13.8%) > Endorse (13.8%) > Entertain (9.9%) > Counter (3.4%) > Concur (3.4%) > Presumption (0%) > Pronounce (0%) > Acknowledge (0%) > Distance (0%).

The reoccurring waves of COVID-19, supply chain bottlenecks, labor shortages, and soaring energy prices in 2021 wreaked havoc on the UK economy, while in 2022, the rising cost of food in the UK (especially bread, cereals, and meat) posed the greatest threat to the standard of living for Britons in four decades. It is fair to conclude that Johnson had long ago lost the faith of the government and the people. After Johnson stepped down, Liz Truss became the third ever female Prime Minister of the UK.

Assertion Resources are most employed in her First Speech because she was expected and also determined to introduce a series of dramatic economic reforms in an effort to pull the country out of its economic slump and set it on a path toward development in the future government. During that period, the UK's economic recovery was still facing major obstacles that, along with the global inflation problem which exacerbated the impact of Brexit, still had Britons reeling.

(d). *Rishi Sunak*

Here are the specific rankings of Rishi Sunak's First Speech: Assertion (33.3%) > Deny (25.0%) > Counter (16.7%) > Entertain (12.5%) > Endorse (8.3%) > Concur (4.2%) > Presumption (0%) > Pronounce (0%) > Acknowledge (0%) > Distance (0%).

Truss's series of policies have been questioned and criticized by outsiders, sparking serious market concerns about the UK government's debt problem. The Truss government remained committed to the New Economic Policy reforms but had completely lost support and trust within the Conservative Party. After only 45 days as Prime Minister, Truss resigned and, following a period of intra-party wrangling, Rishi Sunak was elected as the new leader of the Conservative Party in Britain. He was formally inaugurated as Prime Minister after getting permission from King Charles III to establish a new cabinet. He also has the distinction of being the first Prime Minister to serve during the reign of a new British monarch.

Sunak primarily utilized Assertion and Disclamation Resources in his speech. Through disclamation resources, he answered concerns about the UK government's debt problem. Furthermore, using assertion resources, he delivered his firm promise of a stronger NHS, better schools, safer streets, control of borders, environmental protection, stronger armed forces, and a level and well-built economy that embraces the opportunities of Brexit where businesses invest, innovate, and create jobs (Sunak, 2022).

## VI. CONCLUSION

As evidenced by the literature review, a vast number of domestic scholars have and continue to analyze the political speeches of Western leaders from various vantage points (pragmatics, genre, rhetoric, style, etc.). Only a few academics apply Appraisal Theory to the analysis of political speeches in the public arena. Moreover, Appraisal Theory is rarely used to further similar studies in foreign academic contexts, especially when examining the development of research on the British Prime Ministerial First Speech. Using the theoretical framework of the Engagement System in Appraisal Theory, the author intended to undertake a quantitative and qualitative study on the Engagement Resources presented in four different British Prime Ministers' First Speeches. The study's overarching purpose was to gain insight into the current status of the United Kingdom by evaluating the distribution frequency and features of the ERs used by these four Prime Ministers and examine the function that ERs play in the actualization of interpersonal meaning.

With the assistance of the UAM Corpus Tool, the numbers and frequencies of all ERs were determined and the features were presented. After this quantitative and qualitative research of these four speeches, major findings will be

discussed both in terms of the overall picture and the specifics.

Major findings in terms of the specifics are presented below according to Table 3: The Distribution of ERs in four First Speeches (UAM Corpus Tool 6).

1. Here is the specific ranking of Theresa May's First Speech: Entertain (37.5%) > Counter (21.9%) > Deny (17.2%) > Assertion (12.5%) > Endorse (7.8%) > Pronounce (3.1%) > Presumption (0%) > Concur (0%) > Acknowledge (0%) > Distance (0%).

Entertainment and Disclamation Resources occupy the largest proportion in May's First Speech. The resources she used rendered her opinion arbitrary so that audiences were encouraged to voice their own reactions and helped her mend the divisions within her own party and among the British public that had arisen as a result of the "Brexit" debate, and restore the country's social fabric.

2. Here is the specific ranking of Boris Johnson's First Speech: Assertion (35.2%) > Counter (16.9%) > Deny (15.5%) > Pronounce (11.3%) > Entertain (9.9%) > Concur (7.0%) > Endorse (2.8%) > Acknowledge (1.4%) > Presumption (0%) > Distance (0%).

Assertion and Disclamation Resources occupy the largest proportion of Johnson's First Speech. He used a lot of Assertion Resources to reassure the country and people that he would do his best to pull Britain out of the quagmire of Brexit and maintain Britain's international influence in the changing international pattern and situation. He also declared his intent to take decisive action in the face of ambiguity, addressing both Europe's issues and Britain's own.

3. Here is the specific ranking of Liz Truss's First Speech: Assertion (55.2%) > Deny (13.8%) > Endorse (13.8%) > Entertain (9.9%) > Counter (3.4%) > Concur (3.4%) > Presumption (0%) > Pronounce (0%) > Acknowledge (0%) > Distance (0%).

Assertion Resources are the most employed in her first speech. With these resources, she conveyed her determination to introduce a series of dramatic economic reforms in an effort to pull the country out of its economic slump and set it on a path toward development in the future government.

4. Here is the specific ranking of Rishi Sunak's First Speech: Assertion (33.3%) > Deny (25.0%) > Counter (16.7%) > Entertain (12.5%) > Endorse (8.3%) > Concur (4.2%) > Presumption (0%) > Pronounce (0%) > Acknowledge (0%) > Distance (0%).

Sunak primarily utilized Assertion and Disclamation Resources in his speech. Through Disclamation Resources and Assertion Resources, he answered concerns about the UK government's debt problem and he delivered his firm promise on Brexit and called on people to embrace the opportunities of Brexit.

Major findings in terms of the overall picture are presented below according to Table 2: The Overall Distribution of ERs (UAM Corpus Tool 6).

In general, the heterogloss resources (60.7%) were used much more than the monogloss resources (30.3%). Furthermore, in the aspect of monogloss resources, the four Prime Ministers' First Speeches were distributed using all assertion (30.3%) and not even one presumption (0%). Among the branches of heterogloss resources, dialogic contraction takes up the largest part where disclamation resources are more than double the number of proclamation resources. The 63 disclamation resources contain nearly the same number of denial (17.0%) and countering (16.5%) resources while for proclamation resources, the proportion of endorsement (6.9%), pronouncement (5.3%) and concurrence (3.7%) resources gradually decrease. As for the other branch, the 38 expansion resources encounter an extreme situation that consists of 37 entertainment resources (19.7%) and only one attribution resource in which there is no distancing resource (0%) but only a single acknowledgment resource (0.5%). The following is a ranking of the relative proportions of Engagement's tiniest branches:

Assertion (30.0%) > Entertain (19.7%) > Deny (17.0%) > Counter (16.5%) > Endorse (6.9%) > Pronounce (5.3%) > Concur (3.7%) > Acknowledge (0.5%) > Presumption (0%) > Distance (0%).

As we can see, three Engagement Resources are the main force in the construction of interpersonal meaning in BPMFS from the 54th to the 57th Prime Ministers. Assertion Resources of Monogloss, which ranks first in the overall proportion, help British Prime Ministers directly introduce their evaluation into the text and undertake the responsibility of comments. Entertainment Resources, which are employed in the First Speeches allow Prime Ministers to construct a platform in which the audience is welcome to join in the conversation, opening the dialogic space, giving the audience the impression that the Prime Minister is open-minded. Through the usage of Countering and Denial Resources (of Disclamation Resources), Prime Ministers of the UK may oppose readily demolished concepts in an effort to limit debate and bolster personal beliefs. Over time, they might build rapport with their recipients and establish shared meaning. In consequence, the interpersonal meaning embodied in BPMFS can mostly be constructed through these three Engagement Resources.

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# Refining Contextually Vulgar Word Choices in the Lyrics of Campursari Song "Gubug Asmoro": A Semiotic Analysis

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**Abstract**—Campursari lyrics have distinctive characteristics in refining word choices, even in contexts that may be considered vulgar. Likewise, the artists constantly adapt to the changing times. They understand that excessively harsh or vulgar word choices can undermine the beauty and wisdom they intend to convey. In this regard, the present study aimed to analyze word choices to refine the vulgar context in the lyrics of the Campursari song "Gubug Asmoro." The research method employed was descriptive qualitative with a semiotic analysis approach based on Charles Sanders Peirce's theory. Data collection techniques included observation and note-taking. The research data consisted of lyrics manifesting as words, phrases, and sentences representing gender imbalances. Data analysis techniques involved content analysis and focus group discussions. The findings of this study could contribute to the fields of linguistics, Campursari music, and language usage in song lyrics. The results documented the semantic and contextual variations in word choices used to refine the vulgar context in Campursari lyrics, aiming to understand how their usage could influence listeners' perception of art and culture. The semiotic analysis by Charles Sanders Peirce was incorporated to provide a deeper understanding of the connection between vulgar words, the context of traditional music art, and how social interpretations were formed through their usage. Thus, this research could contribute to the understanding of meaning construction and representation in the context of popular art and culture in Indonesia, particularly within the Campursari genre.

**Index Terms**—campursari, song lyrics, Charles Sanders Peirce semiotics, vulgar

## I. INTRODUCTION

Humans use language as a tool for communication (Mahardhika et al., 2023; Kusumaningsih et al., 2023). One way to communicate through language is via the art form of music, which is expected to convey messages uniquely. The messages in music not only contain information but also evoke emotions. Hence, the composer's expression of feelings is conveyed through a song's musical arrangement and lyrics (Aprianti & Sugito, 2022; Harnia, 2021). In this regard, song lyrics are a form of creative text representation by the composer to express their imagination and emotions (Kusumaningsih et al., 2018).

Each person has diverse preferences for music genres based on their characteristics and preferences. The genre of *campursari* music began to develop in the late 1960s. However, since the 1990s, when Manthous recorded and distributed his songs to a broad audience, it gained more recognition as a music genre that combines diatonic musical instruments found in modern tools with the pentatonic scale found in *gamelan* (an Indonesian traditional musical ensemble) (Saepudin & Yulaeliah, 2021; Saman, 2021; Savitri, 2021; Setiawan et al., 2020). Javanese music genres,

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especially *campursari*, have long been popular among older Javanese people (Sunarya, 2019; Sundari, 2020). Javanese, used in the lyrics of *campursari*, serves as a window that allows listeners to connect with traditional values, local stories, and life philosophies embedded in the local wisdom of Java Island (Saputra et al., 2022; Rohmadi et al., 2023; Debi et al., 2023). The use of Javanese language not only creates the beauty of the melody but also expresses profound meanings, conveying messages about life, love, and wisdom, seamlessly blending within the everyday context of Javanese society. In *campursari* music, song lyrics contain implied and explicit meanings, which need to be analyzed thoroughly to understand the content because people often use words and their meanings interchangeably (Suyatno & Pujiati, 2023).

In today's music, lyrics that contain sexuality have become widespread in society (Mahardhika, 2023; Keenan-Kroff et al., 2023). They explore sexual freedom and may tell romance stories and explore physical desires (R. A. Kurniawati et al., 2020; Revathy et al., 2022). Some lyrics contain elements of pornography and sexuality that may seem indecent but are packaged with sweet language (Noor & Wahyuningratna, 2017). The presence of such vulgar words creates the potential for negative impacts on the cultural integrity and traditional values represented by *campursari* music. There is an inconsistency between social and cultural norms and the society's expectations regarding linguistic refinement in the artworks of music.

Hence, this research is necessary because the choice of words that may seem indecent but are packaged with lovely language in *campursari* song lyrics can influence music listeners. The choice of words, or any other form of language capable of conveying an individual's message or emotions (Saputra et al., 2023). Therefore, song lyrics can also convey messages to society without using overly vulgar language. The presence of vulgar words in *campursari* song lyrics can have serious repercussions on the cultural integrity and traditional values upheld by the community. Specifically, changes in cultural values and modern social norms may create a dissonance between the influence of traditional music and societal expectations regarding linguistic refinement. Correspondingly, choosing words or other forms of language that can convey messages or emotions without using overly vulgar words is crucial.

The present study aimed to describe the refinement of word choices found in the lyrics of the *campursari* song "*Gubuk Asmoro*". The lyrics were systematically identified to meticulously examine the selection of contextually vulgar words present in the song. Through a semiotic approach, the researchers uncovered hidden meanings and connotations in the use of language in the song lyrics. This research contributes to the understanding of Indonesian traditional culture and music by detailing the impact of using contextually vulgar words on the cultural integrity of *Campursari*. This analysis is essential to provide understanding for songwriters to convey messages or emotions without using overly vulgar words.

## II. LITERATURE REVIEW

Previous research conducted by Wulandari and Sentana in 2023 analyzed the lyrics of the song "*Wijayakusuma*" by Ardrito Pramono. They employed descriptive analysis and semiotics as the theoretical framework, specifically Charles Sanders Peirce's theory of the sign triangle, including 1) Denotatum: icon, index, and symbol; 2) Ground: qualisigns, sinsign, and legisign; 3) Interpretant: rheme, decisign, and argument. However, the researchers focused solely on the denotatum, specifically icons, indexes, and symbols. In this regard, the analyses identified 12 instances of denotatum, including 1 icon, 4 indexes, and 7 symbols. Overall, the findings revealed a meaning related to love and longing for the preservation of natural beauty. This investigation aimed to contribute to the development of semiotics and provide practical implications (Wulandari & Sentana, 2023).

In a previous study conducted by Manopo, Polii, and Meruntu in 2022, the focus was on the lyrics of the song "*Membasuh*" by Hindia Ft. Rara Sekar, based on Charles Sanders Peirce's typology of signs: sign, interpretant, and object. The research utilized a qualitative descriptive method employing a literature study approach with content analysis. The findings demonstrated that the song "*Membasuh*" contained three religious values in human life. *Firstly*, amidst a world increasingly filled with ungrateful individuals solely pursuing success, the song reminds the listeners of the importance of selfless giving. *Secondly*, the song serves as a reminder that lives are temporary, and everything humans possess is only entrusted and can be taken back by the Creator at any moment. *Thirdly*, the song highlights the principle of reaping what we sow in life. The Creator, or God, calculates everything we give, and our actions will be rewarded according to His plan at the appropriate time. Regarding literary education, it was expected that this research would contribute to teaching literature in schools, particularly by enhancing the understanding of semiotic theory, which can help students become more sensitive in interpreting signs (Manopo et al., 2022).

One similarity between the previous studies and the ongoing research was the application of Charles Sanders Peirce's semiotic theory and song lyrics as the research object. However, a difference was found in the conceptualization of the sign map from different perspectives. The first study aimed to describe the meaning of Ardrito Pramono's song "*Wijayakusuma*" based on Peirce's sign triangle, while the current research focused on different aspects.

### A. Song Lyrics

According to the *Kamus Besar Bahasa Indonesia* (Indonesian Dictionary), song lyrics are the arrangement of words in a song (Muhammad, 2023). They are crucial as they can convey personal experiences. In this regard, songwriters can use wordplay when expressing their experiences to create something intriguing for the listeners. Therefore, as

Setianingsih suggests, "the lyrics created and presented to the audience also bear great responsibility for the widespread dissemination of beliefs, values, and even certain biases" (Aritonang & Doho, 2019; Harnia, 2021).

### B. *Campursari Music*

Etymologically, the term "*campursari*" originates from two Javanese words, "*campur*," meaning "mixed," "rough," "dirty," "intermingle," and "*sari*," meaning "essence," "the best part," "the most valuable part," or "flour." Hence, *campursari* can be defined as a blend of the most important or valuable parts of something (Ulya et al., 2021; Maryani, 2023).

In addition, the word "*campursari*" is derived from the words "*campur*" and "*sari*." "*Campur*" means combining musical instruments from traditional and modern instruments, while "*sari*" means attempting to create new rhythms. In the early 1970s, the term "*campursari*" began to gain recognition when the Surabaya RRI station introduced a new program consisting of songs accompanied by pentatonic and diatonic scale instruments. One type of Javanese art that combines modern and ethnic music is called a mixture (*campursari*) (Kobi, 2017).

### C. *Vulgar*

In the *Kamus Besar Bahasa Indonesia* (Indonesian Dictionary), the words "*vulgar*" and "*cabul*" are translated into English as "*vulgar*" (spelled the same) and "*cabul*" (KBBI-Daring, 2018). Accordingly, the KBBI defines *vulgar* as a characteristic that describes rough or impolite behavior or actions (KBBI-Daring, 2018). Based on the KBBI, this word originates from obscene acts, such as tarnishing a woman's honor, restricting or violating rights, or committing an indecent act (KBBI, 1989).

The 1989 edition of KBBI does not have a definition for the word "*vulgar*" when searched. Nonetheless, both words were found in 2018, indicating that "*cabul*" has been part of the Indonesian vocabulary for a long time. According to dictionaries compiled, the word "*vulgar*" in the Indonesian language originates from the English language (Kusumaningsih et al., 2019).

### D. *Charles Sanders Peirce's Semiotics*

The term "semiotics" originates from the Greek word "semeion," which means "sign", or "seme", which means "interpreter of signs." In this context, signs convey information that can be communicated and function as substitutes for other concepts or ideas. Hence, it is crucial to provide a brief explanation of semiotic theory due to its significant role in interpreting the lyrics of this song (Aritonang & Doho, 2019).

The semiotic analysis of Charles Sanders Peirce was employed to analyze the data (Wulandari & Sentana, 2023). Peirce utilizes the theory of the meaning triangle, which consists of the sign, the object, and the interpretant, to analyze the content. This theory of the triangles of meaning mutually supporting each other is known as triadic (Kurniawati, 2019). Hence, the three-dimensional system (triadic or triad) is the fundamental principle that shapes Peirce's theory (Puspitasari, 2021; Yakin & Totu, 2014).

Peirce categorizes signs related to their grounds into the following categories: qualisigns—qualities that exist in the sign, such as harsh, loud, weak, soft, and melodious words; sinsigns—the actual presence of an object or event in the sign, such as a sequence of words of blurry and turbid water in a river indicating rainfall upstream; and legisigns—norms contained within the sign, such as traffic signs. Based on their objects, Peirce divides signs into icons, where the relationship between the signifier and the signified coincides with natural form; in other words, icons are connections between signs and objects or similar referents, such as portraits and maps. On the other hand, indices indicate a causal or cause-and-effect relationship between the sign and its object or signs that directly refer to reality, such as signs that can also refer to denotatum through convention; these are conventional signs commonly referred to as symbols. Therefore, symbols indicate the natural relationship between the signifier and the signified. Their association is based on societal agreement, not their own decision. Then, based on the interpreter, signs (representations) are divided into rhemes, which allow people to interpret based on choices; for example, red eyes can indicate that a person has just cried, suffers from an eye condition, or has insects in their eyes, or has just woken up or wanted to sleep, and decent signs, which are signs that correspond to reality, for example, if accidents frequently occur on the road, flags are placed along the road indicating caution (Sobur, 2006; in Kurniawati, 2019).

Charles Sanders Peirce's semiotics considers meaning based on the sign and emphasizes the importance of interpretation (interpretant) (Puspitasari, 2021). Peirce's semiotic theory offers a constantly evolving perspective on meaning and interpretation. The process of interpreting signs is often not straightforward, as it involves multiple layers of meaning yet to be deciphered (Wulandari & Sentana, 2023). Correspondingly, not all signs possess precise meanings, as some can have various interpretations. Consequently, semiotic research also requires skills to identify things indirectly visible as signs.

The researchers presented the analysis results of lyrics of the campursari song "Gubuk Asmoro" based on Charles Sanders Peirce's semiotic analysis using the formulation of the meaning triangle model: sign (representamen), object, and interpretant.

### III. RESEARCH METHOD

The present study employed a qualitative research method, specifically a descriptive approach, to provide an overview of a phenomenon. Furthermore, qualitative research involves studying the meaning and interpretation of the world, often based on concepts not typically accompanied by numerical data (Stokes, 2006, p. 15; as cited in Juwitaningrum et al., 2020).

The researchers incorporated the semiotic analysis proposed by Charles Sander Peirce to examine a song titled "Gubug Asmoro." Hence, the objective of this study was to investigate the process of refining the choice of vulgar words in the lyrics of the Campursari song "Gubug Asmoro," composed by Jithul Sumantri (Nathaniel & Sannie, 2018; Putri, 2022).

#### A. Data Source

The data sources involved in this research are as follows:

(a). Primary Data

The lyrics of the *Campursari* song "Gubug Asmoro" obtained from the internet.

(b). Secondary Data

Information obtained from relevant literature sources, including internet articles and books that supported the primary data in examining the refinement of word choices in the lyrics of the *Campursari* song.

#### B. Data Collection Techniques

(a). Documentation

The researchers collected supplementary data to strengthen the primary data obtained from data sources such as documentation or archives. In this regard, data was collected by exploring various sources anticipated to contain the required information for this study. The researchers did not conduct interviews with relevant parties because, within the semiotics framework, the document in the form of song lyrics was analyzed in-depth based on the researchers' interpretation using Charles Sanders Peirce's semiotic analysis technique.

(b). Reading Technique

The researchers read the *campursari* song lyrics of "Gubug Asmoro" as found on the internet.

(c). Note-taking Technique

The researchers identified *campursari* song lyrics of "Gubug Asmoro" that contained elements of female sexuality exploitation, then recorded those lyrics as data.

#### C. Data Analysis Technique

In this research, data analysis was conducted by dividing all the song lyrics into several verses, and each was analyzed using Charles Sanders Peirce's semiotics theory, which categorizes signs into three types: icons, indexes, and symbols. Icons represent the connection between a sign and an object or referent based on resemblance. Indexes indicate a natural relationship between a sign and its object through a causal or cause-and-effect relationship or by directly referring to reality. Symbols denote a natural association between the signifier and the signified (Puspitasari, 2021).

### IV. RESULTS AND DISCUSSION

#### A. Results

##### Verse 1

*Yen liwat aku kelingan*

"When I pass by, I remember"

*Gubuk kae biyen tak nggo leren*

"That hut I used to take shelter in"

*Ning cagak kebak tulisan*

"The post is filled with writing"

*Warno abang tondo isih perawan*

"With the red color, which indicates virginity"

#### (a). Interpretation of the Fourth Sentence in the First Verse

Sign	Object	Interpretant
<i>Warno abang tondo isih perawan</i> "With the red color, which indicates virginity"	Red is a symbol denoting blood; in this case, red signifies that the woman is still a virgin.	Interpreting the above verse, the researchers inferred that the poet recalls a long-standing memory of a hut that reminds him of a woman who is innocent, pure, or a virgin having her first sexual encounter.

The poet chooses the word "abang" because, in its context, it corresponds to the color red, or "abang" in Javanese. This color, as a symbol of virginity, is intended to express the purity or innocence of a woman who is still a virgin.

Speakers understand the state of virginity because a woman has never engaged in adverse actions; being a virgin is considered purity. It additionally means being clean from everything considered bad or negative (Sari & Baskoro, 2020; Putri, 2019).

### Verse 2

*Jenenge gubuk asmoro*

"The hut's name is *gubuk asmara*"

*Biyen kae aku andum tresno*

"Back then, I used it for sharing love"

*Tanpo bantal tanpo koso*

"Without pillows, without mats"

*Bot-abote ke taman asmoro*

"Just the weight of being intoxicated by love"

#### (b). Interpretation of the Second Sentence in the Second Verse

Sign	Object	Interpretant
<i>Biyen kae aku andum tresno</i> "Back then, I used it for sharing love"	"Berbagi cinta" is known as engaging in sexual intercourse between a man and a woman.	The interpretation of the above verse suggests that the poet expresses deep, romantic, and poetic feelings within the song's context, making it suitable for conveying the essence of profound love through sexual intimacy between the male and female characters in the lyrics.

The poet chooses the phrase "*andum tresno*" because, through the lyrics of the song, they are expressing deep, romantic, and poetic feelings for engaging in sexual intimacy. Thus, it is suitable for conveying a profound sense of love between the characters in the lyrics.

#### (c). Interpretation of the Fourth Sentence in the Second Verse

Sign	Object	Interpretant
<i>Bot-abote ke taman asmoro</i> "Just the weight of being intoxicated by love"	Sharing love between a woman and a man.	In analyzing the above verse, the researchers interpreted that the poet is describing a condition influenced by deep feelings of love, which brings about happiness.

The poet chooses the phrase "*taman asmoro*" (garden of love) in the context of the lyrics of the song "*Gubuk Asmoro*." The poet writes the lyrics "*taman asmoro*" (garden of love) and "*dimabuk asmara*" (intoxicated by love) to depict a condition influenced by deep feelings of love, which brings about happiness—the meaning of falling in love, especially for those in a romantic relationship, intoxicated by love and merge into one soul (Ramadhan et al., 2023).

### Verse 3

*Gubuk kae nyimpen wadi*

"That hut holds a secret"

*Nganti besok ora bakal lali*

"From the past until now"

*Gubuk kae kebak Crito*

"The hut is full of stories"

*Wayah wengi nganti gagat rino*

"Through the night until the dawn"

#### (d). Interpretation of the Fourth Sentence in the Third Verse

Sign	Object	Interpretant
<i>Gagat rino</i> "Until the dawn"	Sexual intercourse that lasts from night until dawn.	The researchers interpreted that the hut holds an unforgettable story in which they engaged in sexual intercourse that lasted from night until dawn.

The poet chose the phrase "*wayah wengi nganti gagat rino*" because it means "through the night until the dawn." Likewise, the phrase "*gagat rino*" was used because it describes the sexual relationship from night until dawn.

### Verse 4

*Catetan sak jero ning ati*

"Notes within the heart"

*Datan luntur soyo merak ati*

"They will not fade; instead, they will bloom in the heart"

*Aku kowe dadi garwo*



"You and I become husband and wife"  
*Mergo leren ning gubuk asmoro*  
 "Because we took a rest in the hut of love"

(e). *Interpretation of the Third Sentence in the Fourth Verse*

Sign	Object	Interpretant
<i>Aku kowe dadi garwo</i> "You and I become husband and wife"	Becoming husband and wife through engaging in sexual intercourse in the hut.	The researchers interpreted that the story, always kept in their hearts, will not fade and bring increasing joy.

The poet chose the word "*garwo*," which indicates husband and wife, because it fits the context of the lyrics of "*gubuk asmoro*." The husband and wife referred to here are more than just a married couple; they are soulmates because a woman is created from a man's rib, making them unity.

(f). *Interpretation of the Fourth Sentence in the Fourth Verse*

Sign	Object	Interpretant
<i>Mergo leren ning gubuk asmoro</i> "Because we stopped (rested) in the hut of love"	The hut where they engaged in sexual intercourse/made love because they were falling in love.	The researchers interpreted that the hut was used as a place to express their love because they were deeply in love with each other. According to the lyrics, the sexual activity depicted did not involve the use of any bedding or pillows.

The poet chose the phrase "*taman asmoro*" to depict being intoxicated by love because it fits the context of the lyrics of "*gubuk asmoro*." It further represents the state of being deeply influenced by feelings of love and experiencing happiness.

## B. Discussion

The findings indicate that explicit, vulgar language is evident in the song lyrics. Specifically, Charles Sanders Pierce's semiotics demonstrates a refinement process in selecting vulgar word forms in the lyrics. The following can be found in each verse of the song. The first case was found in the phrase "*warno abang*" because the poet chose the Javanese word "*abang*," which, in the context, corresponds to the color of red blood. This color, as a symbol of purity, is intended to express the innocence of a virgin woman. The second verse includes the phrase "*andum tresno*," which was selected to express deep, romantic, and poetic feelings for engaging in sexual relations. Furthermore, the phrase "*taman asmoro*" means being influenced by deep feelings of love, resulting in happiness, especially for those in a romantic relationship. The third verse includes the phrase "*gagat rino*," meaning "from night until dawn." The poet chose this phrase because the relationship depicted in the song lasted from night until dawn. The fourth verse uses the word "*garwo*," which means "spouses." The spouses referred to here are more than just husband and wife but represent soulmates, as women are believed to be created from the rib of men, making them unity. Moreover, the phrase "*taman asmoro*" means "intoxicated by love" to depict the state of being influenced by deep feelings of love, resulting in happiness. In contrast to the study "Pedagogical Values in Indonesian Lyrics of *Dangdut* Songs: Evidences of Language Vulgarism and Gender Exploitation" (2019), this analysis focused more on prominent themes of vulgarity that emphasized intimate relationships and female singers exposed these lyrics through bodily performances (Kusumaningsih et al., 2019).

## V. CONCLUSION

Through Charles Sanders Pierce's semiotic analysis of the lyrics of the *campursari* song "*Gubug Asmoro*," which focused on the efforts to refine the choice of words in a vulgar context, this research could provide a profound understanding of the complexity of meaning and linguistic representation in traditional music art. The main findings reveal that *campursari* artists and their audience play an active role in shaping the meaning of words and their social impact in this artistic work. Pierce's semiotic method extends a more profound understanding beyond literal meaning. It demonstrates a refinement process in selecting vulgar words in song lyrics. Hence, language refinement can be found in every verse of the song.

This study contributes valuable insights into enriching the interpretation of *campursari* art by analyzing how artists manage word choices, particularly in the context of vulgar words. It benefits the enhancement of appreciation for the complexity and depth of *campursari* music art, providing a deeper insight into how artists can integrate artistic expression while considering local social norms and cultural ethics. Semiotic analysis also provides insights into the local values, culture, and morality embedded in artworks, creating a broader understanding of social dynamics. Beyond creating aesthetic experiences, the implications of this research highlight the power of music as a communication medium capable of conveying profound messages and meanings. Accordingly, *campursari* artists can apply the findings of this research as a guide for further considerations in creating their artworks, understanding that contextual interpretation plays a crucial role in shaping the meaning of words in song lyrics. Additionally, this research emphasizes

the importance of artists' consideration of cultural norms and morality in their creative process, creating an understanding that artistic creativity can remain in synergy with deeply held societal values.

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# Exploring Cross-Cultural Legal Terminology: A Corpus-Based Study of English Translation in Saudi Laws

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**Abstract**—Legal translation is deemed an arduous task, drawing on various lexical and structural choices (Chroma, 2004). Failure to adopt suitable translation strategies and procedures to overcome the challenges of translating legal terminology would undeniably affect the target readers' ability to understand their translations. Therefore, this mixed-methods corpus-based study examined the English translation of 44 Arabic culture-specific legal terms (CSLTs) used in six Saudi laws (SLs) and focused on identifying the translation strategies and procedures. The CSLTs included in this study were categorized into religious terms, names of institutions, titles of laws, and miscellaneous terms. To analyze the CSLTs' translation, a parallel corpus including the six SLs and their translations was created using Phrase TMS. To identify the strategies and procedures, Venuti's (1995) and Mailhac's (1996) models were utilized. The results revealed that both of Venuti's strategies were followed, and domestication was adopted more than foreignization. In addition, seven of Mailhac's procedures were applied, where the procedure most employed is definition, while compensation is the least used.

**Index Terms**—culture-specific legal terms, Saudi laws, legal translation, Arabic-English translation, translation strategies and procedures

## I. INTRODUCTION

Law plays a vital role in societies because it serves as a norm of conduct. The value of law across the globe is virtually immeasurable; it underpins all communities striving to establish and preserve justice, peace, and prosperity. The World Justice Project (n. d.) indicated that the rule of law is associated with greater peace, increased economic growth, better health outcomes, more education, and reduced inequality.

According to Cheng and Danesi (2019), the scope of legal discourse extends beyond written and spoken materials to encompass non-verbal elements. The vast array of terminology used in this discourse sets it apart. Such terminology is readily comprehensible to individuals acquainted with it, yet it is challenging for those who lack that acquaintance. This study aimed to examine the translation of one of the lexical features of both Arabic and English legal discourses—that is, culture-specific terms (CSTs). Given that this study was concerned with examining the translation of culture-specific legal terms (CSLTs) used in different Saudi laws (SLs), a brief background on the Saudi legal system and legal translation is provided next.

### A. Saudi Legal System

The basis of the Kingdom of Saudi Arabia's legal system is Sharia (i.e., Islamic law) (Ansary, 2020). According to the Basic Law of Governance (1992), the Holy Qur'an and the Sunna of Prophet Muhammad are the primary reference sources for all SLs. The Basic Law of Governance also indicates that Sharia provisions and State laws not contradicting the Holy Qur'an and the Sunna must be applied by Saudi courts to any case brought before them.

In Saudi Arabia, the King is empowered to approve or amend any legislative process involving drafting and enacting laws, treaties, international agreements, and concessions by royal decrees after these have been reviewed by the Shura Council and the Council of Ministers, the legislative bodies of the Kingdom (see Basic Law of Governance, 1992; Law of the Council of Ministers, 1993; Shura Council Law, 1992).

The Council of Ministers' legislative body is the Bureau of Experts (BOE). This bureau is the official authority responsible for preparing draft laws and their requisite studies in collaboration with the agency concerned with each law (Bureau of Experts, 2018). It is also in charge of reviewing and suggesting amendments to current laws (Bureau of Experts, 2018). The Official Translation Division at the BOE is responsible for translating the approved SLs and regulations into various foreign languages (Bureau of Experts, 2022). Publishing and translating SLs can be regarded as

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proof of the Kingdom's awareness of the importance of enabling citizens and foreigners inside or outside the Kingdom to view its laws.

### *B. Legal Translation*

Translating legal discourse is a kind of technical translation that should be conducted very carefully and accurately (Abu-Ghazal, 1996). Legal translation is not merely a rendering of legal materials from the source language (SL) into the target language (TL). It is a "translation from one legal system into another – from the source legal system into the target legal system" (Šarčević, 1997, p. 13). Therefore, translators of legal-related materials must possess a high level of proficiency in the SL and TL and have a thorough understanding of the legal systems of the countries of the source text (ST) and target text (TT).

Given that there is a major difference between the language systems and legal cultures of Arabic and English, legal translation between these languages is more challenging. Arabic is a Semitic language, whereas English is an Indo-European one (Ghazala, 1995). Accordingly, translators between these languages encounter challenges on different linguistic levels: lexical, syntactic, and textual levels. In addition to the difference in the language systems, the legal cultures relevant to Arabic and English vary notably. EL-Farahaty (2016) noted that whereas legal Arabic incorporates aspects of both Islamic and civil laws, legal English is associated with common law. She added that some Arab countries, such as Saudi Arabia, strictly adhere to Islamic law, while other Arab countries, such as Egypt, follow both Islamic and civil laws.

The demand for legal translations has increased steadily because of growing internationalization and globalization over the past 10 to 20 years (Liimatainen et al., 2017). However, Arabic-English legal translation is under-researched (EL-Farahaty, 2016). A few recent studies have contributed to the enrichment of this field (see Alhomoud, 2022; Ali, 2016; Alshaikh, 2022; Alwazna, 2018; Mahraj & Hdouch, 2020). The growing need for this type of translation and the lack of studies necessitate further examination. Accordingly, this study addressed the strategies and procedures applied to translate various CSLTs used in different SLs from Arabic into English. It sought to answer the following research question:

RQ1: What are the strategies and procedures applied in translating the CSLTs used in some SLs from Arabic into English?

The significance of this study arises from the fact that its results would help the Official Translation Division to review the inaccurate translations of the examined CSLTs. In addition, the findings could guide specialists in legal translation to establish some rules regarding translation strategies and procedures to overcome translation challenges. The study also shed some light on the inconsistency issue in legal translation addressed by Cheng et al. (2016) who stated that this issue can cause significant problems in the legal field.

## II. LITERATURE REVIEW

### *A. CSTs*

Scholars have presented varying definitions for CSTs, indicating a lack of consensus on a universally accepted definition for these terms. Aixela (1996) considered these terms to be a source of translation problems and defined them as:

Those textually actualized items whose function and connotations in a source text involve a translation problem in their transference to a target text, whenever this problem is a product of the nonexistence of the referred item or of its different intertextual status in the cultural system of the readers of the target text. (p. 58)

González Davies and Scott-Tennent (2005) provided a more specific definition of CSTs that also indicates CSTs can cause translation issues. EL-Farahaty (2015) presented a view that aligns with Aixela's (1996) and González Davies and Scott-Tennent's (2005) opinions and mentioned that CSTs pose difficulties in legal translation when translating between two different languages.

Venuti (1995) introduced his strategies, i.e., domestication and foreignization, to help translators overcome the challenges of translating CSTs. Domestication refers to adopting a transparent and fluent style to reduce the foreignness of the ST (Hatim, 2012), whereas foreignization refers to retaining some of the foreignness of the ST by deliberately breaking the TT's linguistic and cultural conventions (Hatim, 2012).

Section A demonstrates that translating CSTs can be challenging, both in general and in legal translation in particular. However, Venuti's (1995) domestication and foreignization strategies can be adopted to solve the challenges that may be encountered.

### *B. Translation Strategies and Procedures*

One of the methods followed to examine the translation of CSTs is analyzing translation strategies and procedures. The two terms, strategy and procedure, are often confused or used reciprocally in writing about translation (Munday, 2012). A translation strategy is the translator's overall orientation—for example, towards domestication or foreignization—whereas a translation procedure is a particular technique applied by the translator at a specific point in a text—for example, borrowing an SL word (Munday, 2012).

There are many scholars who solely addressed the translation of these terms and proposed various procedures. Among those scholars are Newmark (1988), Hervey and Higgins (1992), Ivir (1987), and Mailhac (1996). Table 1 below includes their procedures.

TABLE 1  
TAXONOMIES OF PROCEDURES FOR TRANSLATING CSTS

Scholar	Procedure
Newmark (1988)	Literal translation, transference, naturalization, cultural equivalent, functional equivalent, descriptive equivalent, synonymy, through translation, shift or transposition, modulation, recognized translation, translation label, compensation, componential analysis, reduction and expansion, paraphrase, couplets, and notes, addition, glosses
Hervey and Heggins (1992)	Exoticism, cultural borrowing, calque, communicative translation, and cultural transplantation
Ivir (1987)	Borrowing, literal translation, definition and paraphrase, substitution, lexical creation, addition, and omission
Mailhac (1996)	Cultural borrowing, literal translation, definition, cultural substitution, lexical creation, deliberate omission, compensation, combination of procedures, and footnote

Mailhac's (1996) procedures closely correspond to those of Ivir (1987) because he reviewed Ivir's (1987) and Newmark's (1988) sets of procedures and proposed his taxonomy. Several recent studies on legal translation adopted different models of translation strategies or procedures. Whithorn (2014) adopted Venuti's (1995) model of domestication and foreignization to analyze the English translation of the CSLTs mentioned in article 416 bis in the Italian Criminal Code. The researcher indicated that the most appropriate strategy for translating CSLTs would be one that leans more towards foreignization rather than domestication. He further mentioned that it is necessary to provide glossaries or footnotes, which are neither long nor complex, in the TT to clarify the meaning of the terms.

Laudisio (2017) also adopted Venuti's (1995) model and focused on the Italian translation of CSLTs related to the US legal system in three legal dramas. The researcher also used some subtitling strategies from Pedersen's (2007) and Ranzato's (2013) models. The findings showed that the most applied subtitling strategy is cultural substitution, and this proved the tendency towards domesticating the analyzed CSLTs. The other used subtitling strategies are loan, literal translation, official equivalent, generalization, explicitation, addition, compensation, and omission.

Hassoon and Al-Dahwi (2020), who also applied Venuti's (1995) model, examined the English translation of the Arabic CSLTs that occurred in a Jordanian certificate of eligibility. They found that when relying solely on foreignization, translating some CSLTs and neglecting to clarify what is unfamiliar to target readers' (TRs), this resulted in inaccurate translations. Therefore, they suggested translating CSLTs using the couplet translation procedure, which refers to combining two procedures. This is because one procedure is not adequate to transfer the SL terms' cultural sense into the TL. This view is like that of Alwazna (2018), who indicated that one procedure may not be able to convey the intended meaning.

Samadi et al. (2011) identified the procedures used to render 239 Persian legal terms mentioned in the Civil Code of Iran into English. Their findings align with Laudisio's (2017) research, indicating that cultural substitution is the most utilized procedure. The second most adopted procedure is paraphrasing, followed by translating using a general term, then translating using a loan word plus an explanation. The researchers pointed out that cultural substitution was applied to have a legal effect on TRs and enable them to understand the meaning of the legal terms, paraphrasing was also used to clarify the meaning of the terms, whereas translating using a general word did not adequately convey the intended meaning. They also indicated that it would be confusing to translate the same term in different contexts using different translations. It can be said that there is a tendency towards domesticating the analyzed CSLTs in this study as most of the applied procedures are target-oriented.

El Ghazi and Bnini (2019) focused on examining the English translation of the Arabic religious and culture-based terms used in a marriage contract. They relied on procedures from three models to conduct their study: Vinay and Darbelnet's (1958, 1995) model, Newmark's (1988) model, and Šarčević's (1985) model. The results revealed that literal translation and word-for-word translation are the most frequently used procedures. However, like the results of Hassoon and Al-Dahwi's (2020) study, several literal translations of the examined terms were meaningless. The results also showed that adaptation is the least used procedure, and the other applied procedures are omission and communicative translation.

Khalaf et al. (2022) also applied Vinay and Darbelnet's (1958, 1995) model to explore the procedures used to translate the culture-specific divorce terminology found in 20 Palestinian divorce documents. The researchers found that the procedures applied to translate the examined terms are literal translation, equivalence, borrowing, transposition, modulation, and adaptation. Regarding the most and least applied procedures, the findings showed that the most used is literal translation, whereas the least is transposition. In the studies of Khalaf et al. (2022) and El Ghazi and Bnini (2019), literal translation is the most frequently used procedure.

Alwazna (2016) examined the English translation of the Islamic legal term "مال." The researcher argued that despite the translation problems resulting from the terminological incongruity between Islamic law and the law with an English language origin, certain procedures can be applied to reduce translation loss and convey the legal terms' meaning into the TT. He indicated that "مال" is often translated in legal English as "property;" however, the latter is not

an exact functional equivalent of the former. Therefore, he pointed out that “مال” is better translated using transliteration, descriptive paraphrasing, and definition because combining these procedures would enable TRs to understand the full intended meaning. This opinion aligns with the suggestion of Hassoon and Al-Dahwi (2020), who recommended translating CSLTs using more than one procedure.

### III. MATERIALS AND METHODS

To answer the research questions, the present descriptive study adopted a mixed-methods approach. The study data were analyzed quantitatively and qualitatively, as described in the following sections.

#### A. Data Collection

##### (a). Identifying CSLTs

The Saudi legal articles that include CSLTs were taken from SLs and their official English translations obtained from the official website of the BOE (<https://laws.boe.gov.sa/boelaws/laws/>). The CSLTs were extracted from different laws to cover various terms used in the Saudi legal system: the Basic Law of Governance (1992), Labor Law (2005), Enforcement Law (2012), the Law of Civil Procedure (2013), the Law of Criminal Procedure (2013), and Companies Law (2015).

These laws were chosen because they are among the 10 most-read laws according to a section on the BOE’s website entitled “Most Read Laws” (see Bureau of Experts, n.d.), and they are the only ones among the 10 most-read laws that have English translations on the BOE’s website. The manual extraction of CSLTs was a meticulous process that involved reading through the laws and carefully identifying the relevant terms. This step required referring to legal books and references.

The criteria adopted to extract CSLTs include Aixela’s (1996) definition of CSTs and Collins’ (n. d.) definition of legal terms. The extracted terms are considered culture-specific because Aixela’s (1996) definition of CSTs, mentioned in Section II, applies to them. Several researchers adopted this definition in various studies (see, for example, Ayyad & Mahadi, 2020; Echihhi & Salah, 2017; Narvæz & Zambrana, 2014; Olk, 2009; Öztemel & Kurt, 2017; Pralas, 2012; Rezaei & Kuhi, 2014). Additionally, these terms are considered legal because they are used in legal discourse. According to Collins’ (n. d.) definition of legal terms, these terms are expressions or words used in law.

The extracted terms were classified into five categories, four of which include terms that have common features: religious terms, names of institutions, names of positions, and titles of laws. The fifth category (i.e., miscellaneous terms) includes terms that do not share a common feature. To ensure the accuracy and reliability of the data and to minimize the potential for errors or bias in the analysis, a form including all extracted terms, their translations, the criteria employed for extracting them, and their categories was created using Google Forms and sent to two assistant professors with more than 10 years of experience in teaching the legal translation course at King Saud University, as well as to one senior legal advisor with a PhD in law and 25 years of litigation experience.

To ensure the accuracy and consistency of the analysis, only the CSLTs approved by all three experts were included in this study. Considering they did not mutually agree on approving any of the terms included in the category of names of positions, it was omitted from this study. Therefore, the study focused on a carefully selected set of 44 terms.

##### (b). Corpus Compilation

After determining the CSLTs, a parallel corpus containing all six Arabic laws and their English translations was compiled to examine how the terms were translated throughout the selected laws. The parallel corpus was created using a cloud-based translation management system, Phrase TMS (<https://phrase.com/products/phrase-tms/>). Cloud-based systems allow users to create corpora from previously translated documents using the post-translation alignment feature.

First, the texts of the Arabic laws were copied from their web pages on the BOE’s website and then pasted into a Word document; meanwhile, the PDF files of their English translations were downloaded from the same website, converted into Word documents, and then all were compiled into a single Word document. Next, the contents of the two Word documents were pasted into an Excel sheet in two parallel columns. The parallel corpus includes a total of 3,980 aligned segments with 65,542 Arabic tokens and 81,723 English tokens. In corpus linguistics, tokens refer to the total number of all words occurring in the corpus regardless of how frequently they are repeated (Al-Khalafat & Haider, 2022). The English corpus is notably larger than the Arabic one. One possible reason for this difference is that some CSLTs were translated using their definitions or more than one procedure, for example, cultural borrowing and definition. The last steps involved reviewing the parallel corpus for any inaccuracies and then importing it into Phrase TMS to analyze the translation of the selected CSLTs.

#### B. Analytical Procedures

To search for a particular CSLT in the corpus, the bilingual concordance tool was used. Concordance lines (CLs) refer to a list of all occurrences of a term in a document or corpus, along with all words surrounding it (Wynne, n.d.). They helped in retrieving the CSLTs to facilitate the analysis of the translation strategies and procedures and obtain their frequency counts to determine the prevailing ones and to compare the results with previous studies. Figure 1 below illustrates CLs in Phrase TMS.



6. تزويج من لا ولي لها، أو من عضلها أولياؤها.	6. marrying off women who have no guardians or are deprived of marriage by their guardians.
ز - ما يتعلق بالمجور عليهم إلى الأوصياء أو الأولياء بحسب الأحوال.	g) With respect to interdicted persons: to their trustees or guardians as the case may be.
ويسري وجوب الإيداع المشار إليه آنفاً على الوصي والولي والناظر.	The aforementioned mandatory deposit shall also apply to trustees, guardians and administrators.

Figure 1. CLs in Phrase TMS

To identify the translation strategies and procedures in this study, Venuti’s (1995) and Mailhac’s (1996) models were adopted. As previously explained in Section II, Venuti’s (1995) model includes two strategies, whereas Mailhac’s (1996) model covers nine procedures. Definitions of Venuti’s (1995) strategies are provided in Section II, and those of Mailhac’s (1996) procedures are presented in Table 2 below.

TABLE 2  
MAILHAC’S (1996) TRANSLATION PROCEDURES

Procedure	Definition
<b>Cultural borrowing</b>	Transferring an ST term into the TT (Akhesmeh et al., 2015)
<b>Literal translation</b>	Word-for-word translation
<b>Definition</b>	Using a general term, a substantial definition, or anything in between
<b>Cultural substitution</b>	Replacing an ST term with a TL one that describes a similar concept in the target culture (Akhesmeh et al., 2015)
<b>Lexical creation</b>	Coining a new word in the TT to translate a nonexistent or non-lexicalized ST term (Akhesmeh et al., 2015)
<b>Deliberate omission</b>	Deleting an ST term or expression from the TT
<b>Compensation</b>	Providing necessary information to compensate for the lack of adequate shared cultural information
<b>Combination of procedures</b>	Applying more than one procedure
<b>Footnote</b>	Providing additional information in the form of a footnote (Akhesmeh et al., 2015)

Venuti’s (1995) model was selected for this study because it covers foreignization and domestication, the two strategies that play a pivotal role in translating CSTs (Hassoon & Al-Dahwi, 2020). However, since foreignization and domestication are very broad terms that encompass a variety of translation procedures that are much narrower in their meanings and can be described as either foreignizing or domesticating procedures (Judickaité, 2009), Mailhac’s (1996) model was chosen.

Another reason for selecting Mailhac’s (1996) model was its inclusion of all the procedures used to render the examined CSLTs into English. Based on the definitions of Mailhac’s (1996) translation procedures, some of them can be characterized as foreignizing, whereas others can be described domesticating, see Figure 2 below. The only procedure that can be classified as neither is the combination of procedures because when applying it, foreignizing and domesticating procedures can be combined to translate the same term.

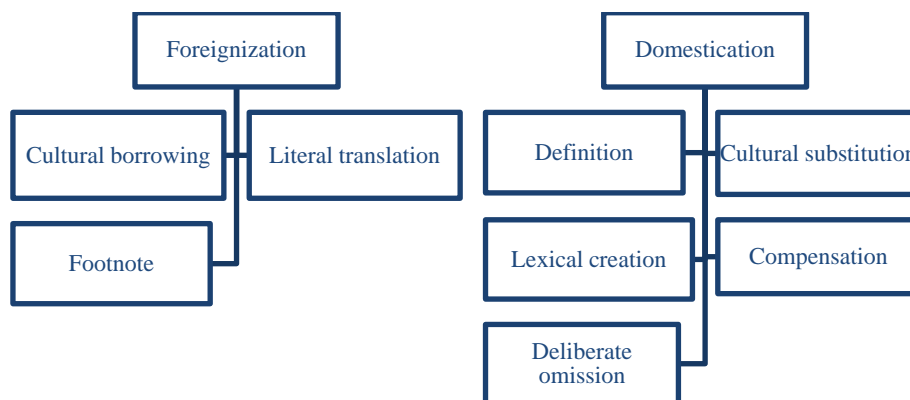


Figure 2. Procedures of Foreignization and Domestication

The procedures applied to translate the CSLTs in the selected SLs were identified according to Mailhac’s (1996) model. Then, their effects on the translation quality were explained. Lastly, each procedure was classified as a procedure of foreignization, domestication, or both to identify the prevailing strategy and compare the obtained results with previous studies. To ensure the accuracy and reliability of the results, data analysis and results were sent to an assistant professor of translation who previously reviewed the extracted terms. The reviewer’s comments were carefully considered, and the analysis was revised accordingly.

IV. RESULTS AND DISCUSSION

### A. Procedures Applied to Translate the CSLTs

The CSLTs included in each category, their frequencies in the parallel corpus, their translations, and the procedures applied to translate them are presented in Tables 3, 4, 5, and 6, respectively.

TABLE 3  
SUMMARY OF RELIGIOUS TERMS

CSLT	Frequency	Translation	Procedure
ولي	20	guardian	Cultural substitution
الناظر	8	administrator	Definition
محرمة شرعاً	1	illegal	Cultural substitution
نفقة	10	1- alimony 2- alimony and child support 3- support 4- financial support	1- Cultural substitution 2- Cultural substitution 3- Definition 4- Definition
إجازة عدة	2	1- 'iddah leave' 2- the leave	1- Literal translation + cultural borrowing 2- Literal translation + deliberate omission
دعوى حسبية	1	public interest lawsuit	Compensation
الولاية على النفس أو المال	1	custody over a person or property	Literal translation + definition
الخلع	1	khul' (divorce at the insistence of the wife)	Combination of procedures
الرجعة	1	revocation of divorce	Definition
عضل	3	1- deprived of marriage 2- prevention of a woman from marriage 3- deprivation of marriage	1- Definition 2- Definition 3- Definition
محرم	2	1- mahram (i.e., a male relative precluded from marrying her) 2- mahram	1- Combination of procedures 2- Cultural borrowing
التفريق بين الزوجين	2	1- dissolution of marriage 2- separation of spouses	1- Cultural substitution 2- Literal translation
ولي الأمر	5	1- the King 2- State 3- —	1- Cultural substitution 2- Definition 3- Deliberate omission
قصاص	9	qisas	Cultural borrowing
حد	3	1- hadd 2- hadd cases 3- hadd (Sharia prescribed punishment)	1- Cultural borrowing 2- Cultural borrowing + definition 3- Combination of procedures
تعزير	6	1- ta'zir 2- ta'zir (discretionary punishment) 3- punish	1- Cultural borrowing 2- Combination of procedures 3- Definition
بيعة	4	pledge of allegiance	Definition
الوقف الأهلي	1	private endowment	Definition
جهة بر لا تنقطع	1	continuing charity cause	Definition
أجرة المثل	1	due fees	Definition
إبراء الذمة	7	1- discharge ... from liability 2- relieve ... from liability	1- Definition 2- Definition
كفالة	6	1- guarantor 2- guarantee 3- bail	1- Definition 2- Definition 3- Literal translation
كفالة عينية	1	in-kind security	Literal translation
كفيل ملىء	2	solvent guarantor	Definition
كفيل غارم ملىء	2	solvent guarantor	Definition

TABLE 4  
SUMMARY OF NAMES OF INSTITUTIONS

CSLT	Frequency	Translation	Procedure
ديوان المظالم	4	Board of Grievances	Literal translation
الهيئة العامة للأوقاف	1	General Endowment Council	Literal translation
هيئة كبار العلماء	1	Board of Senior Ulema	Literal translation + cultural borrowing
إدارة البحوث العلمية والإفتاء	1	Department of Religious Research and Fatwa	Literal translation + definition + cultural borrowing
مجلس الشورى	2	Shura Council	Literal translation + cultural borrowing

TABLE 5  
SUMMARY OF TITLES OF LAWS

CSLT	Frequency	Translation	Procedure
نظام المرافعات الشرعية	8	1- Law of Civil Procedure 2- Law of Civil Procedures	Literal translation + cultural substitution
نظام هيئة البيعة	1	Succession Commission Law	Literal translation + definition
نظام مجلس الشورى	1	Law of the Shura Council	Literal translation + cultural borrowing
نظام الهيئة العامة للولاية على أموال القاصرين ومن في حكمهم	1	Law of the General Commission for Guardianship over Property of Minors and those of Similar Status	Literal translation + cultural substitution + definition
نظام ديوان المظالم	1	Law of the Board of Grievances	Literal translation
النظام الأساسي للحكم	1	Basic Law of Governance	Literal translation

TABLE 6  
SUMMARY OF MISCELLANEOUS TERMS

CSLT	Frequency	Translation	Procedure
العمالة السائبة	1	-	Deliberate omission
بطاقة الهوية الوطنية	1	national identification card	Literal translation
مرسوم ملكي	9	royal decree	Literal translation
أمر ملكي	6	royal order	Literal translation
الدعوى اليسيرة	1	petty cases	Literal translation
الصكوك التمويلية + الصكوك	16	sukuk	1- Cultural borrowing + deliberate omission 2- Cultural borrowing
إمارة	3	governorate	Definition
المرتبة الممتازة	1	"Grade Excellent"	Literal translation

Tables 3, 4, 5, and 6 demonstrate that seven of Mailhac's (1996) translation procedures were employed: cultural borrowing, literal translation, definition, cultural substitution, compensation, deliberate omission, and combination of procedures. The procedures that were never used are footnote and lexical creation. Figure 3 below presents the frequency of all procedures.

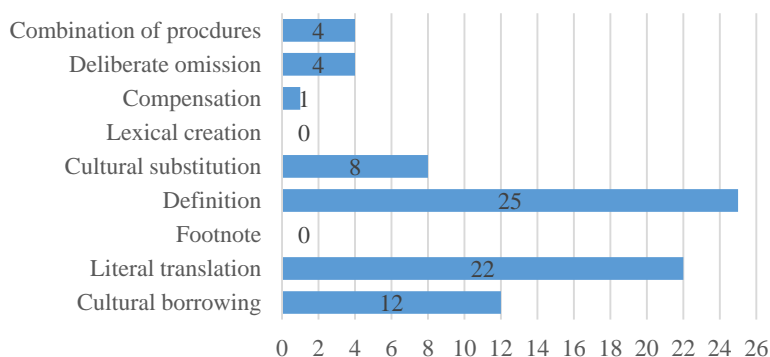


Figure 3. Frequency of Procedures Applied to Translate the CSLTs

Figure 3 demonstrates that definition is the most frequently applied procedure (25 times), while compensation is the least employed (once). It also shows that literal translation is the second most used procedure (22 times), followed by cultural borrowing (12 times), cultural substitution (eight times), and deliberate omission and combination of procedures (four times each). Most of these procedures were also observed in the translations analyzed by Laudisio (2017), Samadi et al. (2011), and Khalaf et al. (2022). Laudisio (2017) reported the use of cultural substitution, generalization, compensation, literal translation, and omission, which is consistent with the present study's findings. Samadi et al.'s (2011) study shared similarities in the utilization of cultural substitution, generalization, and combination of procedures. Likewise, Khalaf et al.'s (2022) study exhibited resemblances in the use of literal translation,

cultural substitution, and cultural borrowing. However, there are discrepancies in terms of the most and least frequently used procedures between this study and those studies. In this study, the most frequently applied procedure is definition, while in Laudisio's (2017) and Samadi et al.'s (2011) studies, it is cultural substitution, and in Khalaf et al.'s (2022) study, it is literal translation. The least utilized procedure in this study is compensation, whereas in Samadi et al.'s (2011) and Khalaf et al.'s (2022) studies, the least used procedures are a combination of procedures and transposition, respectively. Laudisio's (2017) study did not specify the least utilized procedure.

(a). *Translation Procedures of Religious Terms and Miscellaneous Terms*

Certain literal translations of the religious and miscellaneous terms, such as "petty cases," were unacceptable due to the failure to convey the intended meaning in the TTs. Conversely, other literal translations, such as "separation of spouses," successfully conveyed the intended meaning, thus warranting acceptability. Consequently, this study demonstrates that applying literal translation alone can yield acceptable translations for CSLTs. According to Hassoon and Al-Dahwi's (2020) study, it was found that relying solely on literal translation led to incorrect translations. Similarly, El Ghazi and Bnini (2019) observed that while some of the examined literal translations conveyed the intended meaning, several others were meaningless. These findings exhibit some degree of alignment with this study's results.

Most translations of the religious and miscellaneous terms using cultural substitution, for example, "guardian," were acceptable because of the similarity between the ST and TT concepts. Therefore, these translations can facilitate the TRs' comprehension of the CSLTs. These findings align with Samadi et al. (2011), where cultural substitution was applied to help TRs comprehend the legal terms' meaning. Only one of the examined translations using this procedure, i.e., "dissolution of marriage," was unacceptable because of the significant difference between its concepts and the ST concept.

Most of the religious and miscellaneous terms' general translations, such as "support," did not convey the intended meaning, which can be linked to Samadi et al.'s (2011) results. The acceptable general translations in this study, such as some of those using "administrator," were considered so because the contexts would enable TRs to understand the meaning.

Omission is among the least used procedures to translate religious and miscellaneous terms. Applying it resulted mostly in acceptable translations because the deletion did not distort the meaning of the TTs, and translating the terms would result in redundancy. However, if the translation of "التمويلية" in "الصكوك التمويلية" was not omitted from the TTs, this could provide a clue about the borrowed term "sukuk" and reduce the confusion that may result from translating using a borrowed term alone. These results somewhat support Alwazna's (2018) views regarding omission. He mentioned that omission is the least commonly used among the procedures that can be applied to solve the untranslatability of legal terminology. He argues that it can only be applied if retaining the ST term in the TT creates foreignness for TRs and adds nothing to the term's intended meaning.

This study revealed that when one of the translations of "حد", "محرم", and "تعزير" and all translations of "قصاص" and "الصكوك التمويلية" were provided using cultural borrowing alone, the CSLTs' accurate meaning was not conveyed; thus, the TRs' ability to fully understand the meaning of the TTs would be negatively affected. This result can be linked to Alwazna's (2018) and Hassoon and Al-Dahwi's (2020) view that one procedure may not be adequate to achieve the desired purpose. The only instance in this study in which applying cultural borrowing alone was acceptable is the translation of "عدة" because the context would enable TRs to understand the term's meaning. This study also showed that combining cultural borrowing and definition in one of the translations of "حد", "محرم", and "تعزير" and the translation of "الخلع" resulted in conveying the intended meaning more accurately and facilitating the TRs' understanding. This finding aligns with Hassoon and Al-Dahwi's (2020) view on combining more than one procedure to translate CSLTs.

(b). *Translation Procedures of Names of Institutions and Titles of Laws*

Tang (2021), Chirilă (2014), and Fantin (2023) addressed the translation of institutions' names and did not reach a consensus regarding the procedures applied to translate this category of terms. Tang (2021) pointed out that names of institutions should be semantically translated, whereas Chirilă (2014) and Fantin (2023) indicated that if there is an official translation, it should be used in the TTs. In situations where an official translation is unavailable, Chirilă (2014) and Fantin (2023) provided different opinions regarding the applied procedures. This study adopted Chirilă's (2014) and Fantin's (2023) views concerning the use of official translations, if available because using them in the TTs helps avoid possible confusion when readers search for the institutions' names in other sources.

Analysis showed that there are 11 proper nouns, five names of institutions and six titles of laws. One of the laws' titles and one of the institutions' names are not included in the discussion. The title "النظام الأساسي للحكم" is not included because it is the title of one of the selected law documents, not one mentioned in the text of these documents, and the name "إدارة البحوث العلمية والإفتاء" is not incorporated because the relevant institution replaced it with a new name.

The results of this study concerning the translation of proper nouns are in line with the views of Chirilă (2014) and Fantin (2023) to some extent. The official translations of only four nouns are used in the TTs. These nouns are "ديوان", "نظام الهيئة العامة للولاية على أموال القاصرين ومن في حكمهم", "المظالم", "نظام ديوان المظالم", "نظام هيئة البيعة", "نظام مجلس الشورى", and "نظام المرافعات الشرعية", these nouns were translated using different

translations in the text of the selected laws. The noun “هيئة كبار العلماء” does not have an official translation; however, when comparing the procedures used to translate it to those proposed by Tang (2021), Chirilă (2014), and Fantin (2023), it can be observed that its procedures do not correspond to any of those suggested by the researchers. Two of the words in this noun were translated literally, and the third was borrowed. The remaining two nouns, “الهيئة العامة للأوقاف” and “مجلس الشورى” have official translations on the official websites of the relevant institutions. However, more than one official translation is provided on these websites. “الهيئة العامة للأوقاف” was translated using a translation that differs from those on the official website, while “مجلس الشورى” was translated using one of those mentioned on the website.

In the following section, the strategies adopted to translate the CSLTs are explained.

### B. Strategies Followed to Translate the CSLTs

The analysis showed that both Venuti’s (1995) foreignization and domestication strategies were followed in the translation of the CSLTs. The frequency of each strategy is illustrated in Figure 4 below.

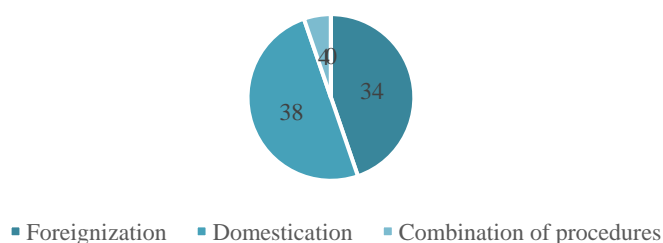


Figure 4. Frequency of Strategies Followed to Translate the CSLTs

Figure 4 shows that domestication was adopted 38 times, whereas foreignization was used 34 times. Mailhac’s (1996) combination of procedures was added to Figure 4 because when this procedure was used to translate four religious terms, the foreignizing procedure of cultural borrowing and the domesticating procedure of definition were combined. Therefore, it cannot be classified under either domestication or foreignization. The results of are in line with those of Laudisio’s (2017) and Samadi et al.’s (2011) studies that showed a tendency towards domesticating the translations of the examined CSLTs.

To some extent, the results correspond with Alwazna’s (2016) and Whithorn’s (2014) views regarding the most appropriate strategy for translating CSLTs. This study demonstrates that combining foreignizing and domesticating procedures can provide more accurate translations of CSLTs. Similarly, Alwazna (2016) explained that combining the foreignizing procedure of borrowing and the domesticating procedures of paraphrasing and definition to translate CSLTs is recommended to convey the full intended meaning. Conversely, Whithorn (2014) pointed out that the most appropriate strategy would lean more towards foreignization and indicated it is necessary to provide short and simple glossaries or footnotes in the TT to clarify the meaning of terms. This study and Alwazna’s (2016) and Whithorn’s (2014) studies agree that clarifying the meaning of the CSLTs is necessary. However, they differ in the procedures combined for clarification. The combined procedures in this study and Alwazna’s (2016) study are domesticating and foreignizing, whereas in Whithorn’s (2014) study, they are only foreignizing.

This study revealed inconsistencies in translating some CSLTs. Ten of these terms have more than one translation in the relevant TTs. Even if a CSLT was translated using similar translations, such as those of “عضل,” the inconsistency in translation would be confusing for TRs, as indicated by Samadi et al. (2011). TRs may think that the different translations refer to different terms in the ST; thus, their full understanding could be impeded. Accordingly, the results of this study confirm Cheng et al.’s (2016) view that in the legal field, inconsistent translations can cause significant problems, and therefore, maintaining consistency in legal translations is crucial to avoid potential complications.

## V. CONCLUSION

In conclusion, this study aimed to explore the English translation of 44 Arabic CSLTs in six SLs and provide insights into the translation strategies and procedures. A parallel corpus was created using Phrase TMS, consisting of the SLs and their translations, to analyze the CSLTs’ translation. The study categorized these terms into religious terms, names of institutions, titles of laws, and miscellaneous terms. Venuti’s (1995) and Mailhac’s (1996) models were adopted to identify the translation strategies and procedures employed. The results revealed that seven of Mailhac’s (1996) procedures were utilized in translating the CSLTs: cultural borrowing, literal translation, definition, cultural substitution, compensation, deliberate omission, and combination of procedures. Notably, footnote and lexical creation procedures were not employed. The most frequently used procedure is definition, while compensation is the least applied. Most literal translations of the religious and miscellaneous terms were acceptable because they conveyed the intended meaning. Similarly, translations of these terms using cultural substitution were generally acceptable due to the similarity between the ST and TT concepts and facilitating the TRs’ comprehension. The omission procedure also yielded mostly acceptable translations for specific religious and miscellaneous terms because the deletion did not

negatively affect the meaning of the TTs, and translating these terms would be redundant. However, general translations of these terms often fail to convey their intended meaning. Similarly, translations of these terms using cultural borrowing alone were generally unacceptable because the accurate meaning was not conveyed, adversely impacting the TRs' understanding. Combining foreignizing (cultural borrowing) and domesticating (definition) procedures resulted in more precise translations and improved comprehensibility for four religious terms. The study recommended the use of official translations for proper nouns like institutions' names and laws' titles to avoid confusion. While four proper nouns were translated using official translations, two were translated differently from official ones, and one lacked official translations, leading to different translation procedures. Additionally, two proper nouns have more than one official translation; while one noun was translated using one, the other was translated differently. Both foreignization and domestication strategies were observed in the translations of the CSLTs, with a preference for domestication. This study revealed inconsistencies in some translations; this could confuse TRs and hinder their comprehension.

The implications of this study are twofold. First, it contributes to the understanding of strategies and procedures employed in translating CSLTs. The findings highlight the prevalence of certain procedures, such as definition and literal translation, while also revealing the limited use of other procedures like compensation. This knowledge can inform translators and researchers in the field of translation studies, providing them with valuable insights into effective translation techniques for CSLTs.

Second, this study identified a practice in translating some CSLTs in the selected SLs that needs improvement, i.e., inconsistency in translation. Translators at the OTD need to take this practice into account, revise the inconsistent translations, and create a term bank that includes all CSLTs used in SLs and their approved translations only. The availability of this term bank could solve the inconsistency issue and all potential challenges that may face translators when translating CSLTs used in any Saudi legal document. Access to this term bank should be facilitated for all translators to standardize the translation of CSLTs.

As for future research directions, there are several avenues to explore. Firstly, further investigation can be conducted to examine the specific challenges associated with each category of CSLTs. This would provide a more nuanced understanding of the translation difficulties and allow for the development of translation strategies and procedures.

Additionally, comparative studies can be conducted to analyze the translation of CSLTs in different language pairs and cultural contexts. This would enable researchers to identify language-specific challenges and explore the impact of cultural factors on translation choices. Furthermore, Investigating the reception and comprehension of translated CSLTs by TRs can provide valuable insights into the effectiveness of different translation strategies and procedures. Such an investigation would contribute to the development of guidelines for producing translations that are not only accurate but also accessible to the target audience.

Despite the valuable insights, there are limitations to consider in this study. The study focused on a specific set of 44 Arabic CSLTs translated into English. The sample size and language selection may not be fully representative of all CSLTs and TLs. Therefore, the findings may have limited generalizability. Additionally, the study categorized the CSLTs into four broad categories (i.e., religious terms, institutions' names, laws' titles, and miscellaneous terms). This categorization may oversimplify the complexity and diversity of CSLTs, potentially overlooking specific strategies and procedures associated with each term or term group.

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# The Dynamics of Power in Dramatic Discourse: A Stylistic Analysis of the Arabic Drama *Bab Al-Hara*

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**Abstract**—This study explores the linguistic indexes of power dynamics through the lens of linguistic politeness and impoliteness in Arab media discourse. This objective was achieved through examining Abu Shawkat's utterances systematically utilizing well-established politeness theories, impoliteness paradigms, plus cooperation principles. The examination delves into Abu Shawkat's patriarchal authority and its impact on their discursiveness from the viewpoint of complex societal interplays involving power relations, social distance assessments and imposition. Characters skillfully employ varied strategies of both politeness and impoliteness techniques alongside slight offensiveness methods for effectively navigating these subtly shifting landscapes to ultimately achieve various social objectives. The study emphasizes the need for comprehending politeness theories when navigating complex dramatic dialogues. Face-threatening acts and politeness strategies determine the relative power dynamics in the conversation between dramatic characters. In addition to that, this analysis shows how impoliteness can create complex authority hierarchies whilst simultaneously claiming autonomy within a narrative structure. This study in conclusion amplifies our understanding of the linguistic interplay weaved within dramatic discourse, primarily if it is tied deeply with Arab cultural nuances.

**Index Terms**—power dynamics, impoliteness, politeness, speech acts, social power

## I. INTRODUCTION

Significant advancements have been made within the field of linguistics to elucidate the intricacies of interpersonal politeness and linguistic strategies employed by speakers to maintain amicability. Politeness studies have also delved into the linguistic mechanisms utilized by speakers to mitigate impolite behavior, thereby preserving social cohesion. For instance, consider the scenario where a speaker apologizes to someone they accidentally bump into at a train station.

Numerous scholarly investigations have addressed the realm of linguistic politeness within literary discourse, as evidenced by works such as Sell (2014), Held (1992), Short and Simpson (1989), Benison (1998), Mirhosseini et al. (2017), Jucker (2016) and Al-Badawi et al. (2013). Politeness assumes a pivotal role in the examination of drama, as it serves as a medium for the strategic manipulation of language to attain conversational objectives while adhering to societal norms. In the discourse of drama, motivated linguistic strategies might be correlated with the (im)politeness framework. This framework includes the concept of "face", which is defined as 'an emotionally sensitized concept about the self' by Culpeper in 1998. Additionally, social factors such as power dynamics, social proximity, and gender may come into play. This approach facilitates the comprehension of how characters position themselves in relation to others, how they employ manipulation to achieve their goals, and how the plot unfolds. The framework provides a systematic means to elucidate how characters either endear themselves to others or inadvertently cause offense within the narrative.

Nevertheless, a potential challenge arises from the fact that existing politeness theories predominantly focus on the utilization of politeness strategies to maintain concord, while dramatic discourse primarily revolves around instances of interpersonal conflict. Hence, this paper employs a dual framework encompassing both politeness and impoliteness theories to analyze power relations of selected characters within the Syrian Arabic drama series, *Bab Al-Hara*.

## II. THEORETICAL FRAMEWORK

According to the framework proposed by Brown and Levinson (1987), politeness can be elucidated through the concept of "face". In common social parlance, "face" aligns with notions like self-esteem, prestige, and reputation. Brown and Levinson (1987) categorize face into two socio-psychological desires for the purpose of their research. The first is termed "positive face," representing the desire for approval. For instance, it encompasses the wish for others to

agree with one's ideas, admire one's thoughts, and acknowledge one's existence. The second is "negative face," which pertains to the desire for unhindered action. In essence, it implies wanting others to refrain from interfering with one's actions, both verbally and non-verbally.

However, in everyday scenarios, our actions often inadvertently threaten the face of others. For instance, when someone asks to borrow your car, it may be perceived as imposing on your social desires, constituting a Face Threatening Act (FTA). When evaluating FTAs, different factors come into play, such as the connection shared between parties and the level of obligation presented. Taking into account this, requesting a favor from a familiar associate appears more agreeable as opposed to a fresh one based on the familiarity of that bond. Furthermore, dealing with a higher-up could prove more difficult than with a recent colleague, given the authority dynamic involved. Signaling appreciation of a positive face is a common expectation in some cultures, where hospitality is extended by hosts without any request. However, when visiting a colleague's home, opting for a cup of coffee instead of a full meal can be less face-threatening, as per Brown and Levinson's (1987) assertion that the degree of imposition can determine the ranking of FTAs.

Linguistic politeness manifests when individuals exhibit concern for preserving someone else's face. For example, when requesting a ride, it is considered an FTA toward the other person's negative face due to the inconvenience it may cause. Instead of making a direct request like "Give me a lift," a more polite approach might be to say, "Would you mind giving me a lift on your way? I live in your area". This indirect, polite request grants the hearer the freedom to refuse, increasing the likelihood of a positive response. In essence, by demonstrating consideration and avoiding imposition, the speaker seeks to maintain social harmony with their colleague.

Another category of politeness strategies involves "off-record" strategies, where speakers are indirect, leaving room for the addressee's interpretation. Examples include giving hints (violating the relevance maxim), understating (violating the quantity maxim), and using sarcasm or humor (violating the quality maxim).

Before delving into impoliteness, it's crucial to acknowledge Grice's cooperative principle and its significance in understanding conversation. Grice (1975) posits that a Cooperative Principle must be assumed between interlocutors for effective communication. This principle consists of four sub-principles or maxims: the maxim of quality (speaking truth), the maxim of quantity (being brief and informative), the maxim of relation (staying relevant), and the maxim of manner (being clear and avoiding ambiguity).

Interactions in reality may stray from such ideals, resulting in a flouting of spoken rules. On occasion, communicators may intentionally violate these rules to communicate an intended message. The ability to distinguish between conformity with and violation of these rules is vital for comprehending verbal and scripted discourse, and recognizing whether social pursuits are being pursued cordially or not within personal exchanges.

With regards to impoliteness, while politeness primarily revolves around employing linguistic strategies to uphold and enhance amicable interactions among language users in society, impoliteness, on the other hand, is occasionally employed by language users as linguistic tactics to assail one's social identity or to accentuate the threat embedded in a Face Threatening Act (FTA). Culpeper (2005) characterizes these linguistic tactics as forms of impoliteness. To illustrate this concept, various ways of critiquing a student's piece of writing are presented:

"Perhaps it could have been improved." (Politeness)

"It was not good."

"It was bad."

"It was crap."

"You must have shit for brains." (Impoliteness)

Ranging from extreme politeness to downright rudeness, the scale above depicts various degrees of language use. A language analyst could classify the opening statement as immensely polite as it integrates the word "perhaps," which usually lessens the impact of criticism. Besides, it implies criticism indirectly by suggesting areas that require improvement instead of venturing criticism directly. Here, the speaker breaks Grice's maxim of manner, insinuating criticism rather than plainly expressing it. This approach is known as an off-record politeness strategy, according to Brown and Levinson's (1987) research. "You must have shit for brains" is viewed as a highly impolite attack on social identity that undermines social harmony as we go down the scale. Taboo language like "shit" and identifying the criticism specifically on "you" contribute to this interpretation. Examining context is critical when evaluating comments that range from polite to impolite. If a criticism comes from a teacher, the perception may skew towards impoliteness.

In summary, whether an utterance is considered polite or impolite primarily hinges on the listener's interpretation of the speaker's intentions regarding face support or attack. Another form of impoliteness is mock impoliteness or banter, where linguistic impoliteness is used humorously, often causing unintentional offense. Speakers may employ this for the purpose of reinforcing social bonds.

### III. IMPOLITENESS IN DRAMA

Bousfield (2018) and Culpeper (2005) have examined why impoliteness holds significance in the study of drama, identifying it as a type of social aggression that can provide entertainment for audiences experiencing dramatic texts and performances. According to Culpeper, impoliteness is typically a rare occurrence in language, and is generally deemed

socially unacceptable. However, humans have a natural inclination to engage in activities that are both rare and forbidden, as seen in children who simply can't resist the urge to do what they've been explicitly told not to.

According to Culpeper (2015), impoliteness is a strategic element in dramatic discourse, rather than a random occurrence. The development of plot and characterization is closely tied to the presence of tension among characters. In the world of drama, assumptions regarding appropriate social behavior may not necessarily align with those made in real-life situations. This can be attributed to two key factors: the expectation among audiences and readers of fully fleshed-out characters with a wide range of behaviors, and the need for skilled character construction. In dramatic discourse, the characters' linguistic behaviors are considered intentional by the writer or author of the text instead of being improvised. Nonetheless, observations from fictional texts can be utilized to analyze real-life situations, enabling comparisons and disparities between past and present social constructs of identities and behaviors.

"Bab Al-Hara" is a Syrian-Arabic drama series spanning five seasons, directed by Bassam Al-Mulla and broadcasted on MBC. The series originally aired during the Ramadan months from 2006 to 2010.

The storyline unfolds in the ancient city of Damascus, where each neighborhood, known as "Hara," designates its chosen representative (Mukhtar/Ageed). The society depicted in the series is patriarchal, with each village or area selecting a representative based on age and wealth. Typically, these representatives hold esteemed positions in the community. Each Mukhtar forms a council comprised of elderly, educated, and influential individuals responsible for managing neighborhood affairs. Council members vary in social status, with wealthier members supporting the Mukhtar in charitable endeavors and maintaining neighborhood properties. These council members mainly come from the mercantile class, earning stable incomes through small businesses such as barbershops, bakeries, groceries, and other commercial enterprises.

The fifth season of "Bab Al-Hara," aired in Ramadan 2010, continues the narrative of resistance against French occupation, a theme present since the series' inception. The season commences with the news of Abu Shehab, the neighborhood's Ageed, being killed, necessitating the appointment of a new Ageed. The honor falls to Muataz, Abu Issam's youngest son and Abu Shehab's nephew, esteemed for his righteousness, strength of character, and deep patriotism. This season introduces an unusual character for the era, Um Joseph, an older woman seeking vengeance against French soldiers who took her family. She plays a significant role in the storyline, and her actions have consequences for the neighborhood's security and social harmony. As the events progressed, the situation intensified. Some inhabitants chose to seek refuge in al-Ghota, a rural area of Damascus, where insurgents against the French regime were located. The tension between the two factions reached its zenith when the Damascus Municipality, which was under the French administration, released a directive to raze the homes of the locals. This was facilitated by a spy who had infiltrated the community, posing as the missing son of a prominent Ageed. However, his true identity was exposed, leading to his defeat in the central square of the town.

In that particular time period, the power dynamically rested in the hands of the patriarchal figures who held positions of authority and influence within the series. Abu Shawkat, the oldest son in Abu Isam's family, was one of these figures. This character is played by the famous actor Milad Yousef and is seen as one of the main characters in the fifth season. He plays the role of the barber in the neighborhood. He's married to three women, Lutfiyeh (Feryal's daughter), Huda (Abu Basheer's daughter), and Fayzeh (Abu Inar's daughter). This study aims to scrutinize the manipulation of patriarchal power of Abu Shawkat with his wife (Huda), his Mother (ImSam) and his eldest sister (Buran) who play minor and major roles in the season.

#### IV. SIGNIFICANCE AND OBJECTIVES OF THE STUDY

This study holds significance on two fronts. Firstly, the phenomenon of (im)politeness in language pervades daily communication, literature, and media discourse. Consequently, delving deeper into this phenomenon is worthwhile to gain a more profound understanding of human communication dynamics.

Secondly, the aspect of (im)politeness in the context of media discourse, especially within the Arab world, has been relatively neglected by linguists. Therefore, this study aims to make a valuable contribution to this field.

#### V. METHODOLOGY

The study is qualitative in nature. In the subsequent sections of this paper, we will analyze selected exchanges by critically evaluating them in the context of Brown and Levinson's (1987) politeness model, Culpeper's (1996) impoliteness framework, and Grice's (1975) cooperative principles and its associated maxims.

The chosen situations have been transliterated using an established chart for Arabic transliteration (as outlined in the appendix) in both Arabic and English symbols to ensure accurate reading and interpretation of Syrian Spoken Arabic. This approach mitigates potential translation inaccuracies, enabling a more precise analysis of the polite and impolite elements within the discussed utterances.

For this purpose the character of Abu Shawkat (Isam) was chosen to test the hypothesis. This character is played by the famous actor Milad Yousef he's the first son of Abu Isam and a main character in the five seasons of Bab Al-Hara series. He plays the role of the barber in the neighborhood. He's married to three women, Lutfiyeh (Feryal's daughter), Huda (Abu Basheer's daughter), and Fayzeh (Abu Inar's daughter). It was noticed how the discourse of this character

changes according to the social factors power, social distance and cost of imposition. Two scenes were chosen to show this impact on his discourse.

## VI. DISCUSSION

The first scene begins with Isam speaking to his mother in the early morning; the dialogue between them is about the everyday happenings in Abu Isam's home, where Abu Shawkat is being the patriarch of the house. However, Abu Shawkat's conversation with his second wife Huda is tense where he performed many face-threatening acts towards her as can be seen below.

### Bab Al Hara, 2010, S.5, E.17

#### Scene 2 (3:38\_12:30)

1. أبو شوكت: إمي نشفتيلي ريني، عم فلك إطمني وحطي إيديك ورجليكي بمى باردة و أخي معتز بخير
2. ام عصام: إيه الحمد لله تثيرني.
3. هدى: (تدخل و بيدها القهوة) الثهوه ابن عمي.
4. ام عصام: يسلموا هالإدين يا هدى.
5. هدى: و إيديكي مرت عمي، أنا رايحة سويلكن كسر السفرة.
6. ام عصام: إيه الله يرضى عليك
7. أبو شوكت: وليه دو تعي لهون، بدي اياكي تحوسي بشغل البيت كله، وما بدي إمي تمد إيده عشغله، فهمتي!
8. هدى: (يتردد) إيه أه! بس أنا حيلة ابن عمي، وبخاف الشغل ياسر علي!
9. أبو شوكت: إيه لا ستي ما بك شي! ما شالله حولك و حوليكي، ليكي مثل النردة عم تنظي و عالارض ما عم تحطي!
10. هدى: (بخيبة أمل و الدموع في عيونها) أنا مثل النردة ابن عمي!
11. ام عصام: (تدخل بهدوء لتخفف من حدة الموقف) أصدو حبيبتي أنه ضهرك أوي و حبلك كامش انشالله!.. (ثم تحول الحوار لإبنها) إمي الملافر سعاده، وليه على أمتي عليك، ليك إمي والله هدى طيبة و درويشه، ما بيصير تحكي معا هالحكي!
12. أبو شوكت: الزاهر يامو أني دلتن ودلعتن كثير هي و لطيفة، معليش خليني فرجين العين الحمراء والمرجلة عن حأ وحنئي!
13. ام عصام: (بسخرية) يووه! الواه الواه، هلا!
14. أبو شوكت: (بامتعاض) المهم هل، كيف إختي دلال؟
15. ام عصام: منيحة تثيرني منيحة!
16. أبو شوكت: بتديري بالك عليها، إختي دلال هلا بحاجة لدلال، ما بدي اياها تنكشف علها الطاير، ما بدنا حدا يجيب معدلنا بالعاطل يامو!
17. ام عصام: انشالله بتطلع على أبري، زكرتني بأبوك، الله يرجعلي اياه بالسلامة، أمين يا حأ!
18. أبو شوكت: آخ! سدنيي يا ست الكل من يوم إللي دريت أنه هو عايش و ما مات حاسس حالي طاير من الفرحة وما حدا أدي و عم بستنى الساعة إللي بيرجعلنا فيها!
19. ام عصام: تأبرني انشالله، ما عرفتولي وين أراضيه؟ وين محبوس؟
20. أبو شوكت: اطمني ام عصام، اطمني، أخي معتز راح يسأل ويدندس و يعرف وين محبوس و ساعتها رجعت ما بتأخذها إلا من هالشوارب (بمسك بشاربه كعهد يقطع على نفسه) (بترق الباب بقوة ويهرع أبو شوكت الى الباب متعجبا): مين هيك عم يدئ الباب علينا!
21. ام عصام: روح شوف مين تأبرني!
22. أبو شوكت: بلا جايي جايي!
23. ام عصام: (تتحدث بصوت الرجاء والخوف) يا لطيف، يا لطيف، إطف يا رب!

[Turn 1]: Abu Shawkat: iminashaftiilirii?i 9am ?ilikitamani w hojideiki w rijleikibimaibardeh w ?khi Mu9ataz bkheir

[Turn 2]: ImIsam: eihilhamdilatu?brni

[Turn 3]: Huda (entered the scene): il?ahwehibin 9ami

[Turn 4]: ImIsam: yislamuhal?ideinya Huda

[Turn 5]: Huda:w ?ideiki mart 9ami, ?narayhasawiilkunkasrisufara

[Turn 6]: ImIsam: eih Ala yirda 9aleiki

[Turn 7]: Abu Shawkat: wleidor ta9ii lahon, bidi iyaki those bshighlilbeitkilo w ma bidi imitmideida 9ashaghle fhmtii?

[Turn 8]: Huda (histant): ah! eihbas ?ana?iblaibin 9ami w bkhafishighily?asir 9alyi

[Turn 9]: Abu Shawkat: eihl?asitti ma bakishii, mashalaholok w hawalikileikimitlil?irdeh 9am tnu?i w 9al?ard ma 9am thuti

[Turn 10]: Huda (about to cry): ?anamitlil?irdehibin 9ami ?

[Turn 11]: ImIsam: ?azduh?abiibtinudahrik ?awi w hablikkamishinsha?ala

(Speaking to her son): imiilmalafiz sa9adeh, wli 9la ?amti 9aliik, likimiwala Huda taybeh w darwiisheh ma bisiirtihki m9a halhaki

[Turn 12]: Abu Shawkat: izahiryamoinidalaltun w dal9tun ktiirhyeh w Lutfyeh, ma9leish khalinifrjiyun il9ein ilhamrawilmarjaleh 9an ha? W ha?ii?

[Turn 13]: ImIsam: yuuilwaahilwaahyamohala?!

[Turn 14]: Abu Shawkat(looks upset): yamoo! ilmuhimhala? Kiifa ?ikhtiDalal?

[Turn 15]: ImIsam: mniihatu?brni, mniiha

[Turn 16]: Abu Shawkat: btdiiribalik 9aleiha, ikhtiDalalhala? Bi?ajeh la dalal, ma bidi iyahatinkishif 9alhawa itayir, ma bidnahadayjiib m9adlna bil9atil yamo!

[Turn 17]: **ImIsam:** inshala btiṭla9 9ala 9ala ?abri, zakrt nib?abuuk Ala yraji9li iyahbisalamehamiinyaha?

[Turn 18]: **Abu Shawkat:** ?aakh! sad?iiniya sit ilkil min yomilidriitnuhueh 9ayish w ma maathasishalaitayir min ilfarah w ma hada ?adi w 9am bistana isa9a ili byrja9ilna fiiha

[Turn 19]: **ImIsam:** tu?brniinshala, ma 9rftuuli wein ?aradiih? weinmahbuus ?

[Turn 20]: **Abu Shawkat:** itamaniImIsam, itamani, ?akhi Mu9taz rahys?al w yda?dis w ya9rif weinmahbuus w sa9ita raj9itu ma btakhdiihaila min hashawarib(*while holding his mustache*)

(*The door is knocking*)miinheik 9am yidi? 9aleina ilbab?

[Turn 21]: **ImIsam:** shuufmiintu?brni

[Turn 22]: **Abu Shawkat:** yalajayeh, jayeh

[Turn 23]: **ImIsam**(*speaks in a feminine tone*):yalatiif, yalatiif ?ultufyarab

In turn 1 Isam responds to his mother who is being over worried about the absence of her son (Mutaz). In his response he is being short tempered where communicated his want not to be impinged upon by his mother's constant worry inquiring about his brother Mutaz. This is evidenced in his use of the utterance "iminashaftiiliri?i" which literally means " Mom, you have made my thought go dry" because of over speaking about the same issue. Strategically this is seen as a negative politeness strategy where Isam goes on record incurring debt to his hearer not wanting to be imposed upon in his frequent and repeated attempts to sooth the worry of his mother over Mutaz. The conversation shows a different level of politeness between Huda and Um Isam as daughter in law and Mother in law. Where ImIsam shows appreciation towards Huda's positive face when she serving the coffee to them. Her use of the compliment in turn 4 "which literally means blessed are your hands that made the coffee. The conversation shows tension in turn 7 when Abu Shawkat emphasizes his patriarchal power over his wife by going baldly on record to attack her positive face calling her "wlih" in which he is being condescending and ridiculing to his wife to make her feel uncomfortable in front of his mother. He also uses a negative impoliteness strategy by imposing on her and ordering her to do all the house work alone without involving his mother. He didn't mitigate the effect of the face attack because of his power towards his wife and the social distance between them.

In an attempt to defend her social wants, Huda tries to in turn 8 to respond politely explaining that she can't do all the house chores by herself because she's pregnant and she might be harmed. Nonetheless, in turn 9 he continues his face-threatening act by using positive impoliteness strategy of calling her names and insulting her, comparing her to a monkey saying 'mitlil?irdeh'.

In the next turn Huda is about to cry because he damaged her social face. However, she didn't respond back because he of Abu Shawkat's social power as the patriarch being her (her husband).So, she expressed her disappointment with him when she said in turn 10with a sad tone: "?anamitlil?irdehibin 9ami ?".

In Turn 13 his mother uses the off-record impoliteness strategy by being sarcastic when she says: 'yuuilwaahilwaahyamohala?!' this disturbed him because she imposed on his freedom and he couldn't be but polite because she's his mother and older than him so he changed the subject completely and asked her about his sister and how she's doing in turn 14.

The conversation goes back to being more relaxed and smooth as Abu Shawkat speaks with his mother. When ImIsam remembered her husband and asked him if there is any news about him and he comforted her, In turn 20 he used a positive politeness strategy where he indicated to his mother that he is well aware of her wants (bringing back his father to his home after he sets him free from the hand of the French. He baldly on record making a promise to her emphasizing his power as a patriarch when he said: ' sa9ita raj9itu ma btakhdiihaila min hashawarib(*while holding his mustache*).

The second scene is showshift in Abu Shawkat's role from being the patriarch who constantly emphasizes his power over the other characters and has the freedom to express more impoliteness, to being more socially nice. We will see that such sense of being nice is influenced by the social gains he tries to achieve. The conversation below is with his sister and with his wife Huda.

### Bab Al Hara, 2010, S.5, E.19

#### Scene 8 (10:25\_11:46)

1. أبو شوكت: ياالله ياالله! مرحبا إختي.

2. بوران: أهلين أخي!

3. أبو شوكت: وينه إمي؟

4. فوء عم ترتاح.

5. إيه.. ممم، إختي اشتهيتلك هالفواكه إلك ولولادك.

6. بوران: يسلم إيدك حطن عندك.

7. أبو شوكت: (بتردد) إيه شو بدي إلك بوران، مو إنت إختي الكبيرة و حبيبة ألبى و نور عيوني و تاج راسي

8. بوران: إيه، إيه، شو في؟

9. أبو شوكت: بدي إياكي اليوم المساتروحي معي على البيت، حاكم اليوم المسويات بدي روح جيب عروستي من بيت أهلها ويمكن تيجي معا إما بنا مو حلوة مو حلوة تيجي وما تلتبجدا من طرفي!

10. بوران: يعني كتبت كتابك على بنت أبو النار!

11. أبو شوكت: كتبت كتابي على بنت أبو النار واليوم دخلتي عليها!

- د12. بوران: يعني ما سويت إلا اللي براسك ما هيك!  
 د13. أبو شوكت: هاي لطفية و هدى مالن غير الكوي، واللي بدا تكويهن هي الضرة الثالثة، و هي اللي رح تمشيهن مثل الألف!  
 د14. بوران: والله خوفي إنت اللي تمشي وتحكي مع حالك بعد هالجوازة الثالثة!  
 د15. أبو شوكت: خلص لك إختي، ما في مبروك!  
 د16. بوران: ليك إيه مبروك، بس جوازتك هاي مثل اللي عم بيداي الجرح بالنار!  
 د17. أبو شوكت: ليك الحريم كلياتن نار!  
 د18. (هدى تدخل المشهد) بوران! بيبي أهلين ابن عمي!  
 د19. أبو شوكت: إيه أهلين هدهد! إيه شلونك هدهد؟ حليانة اليوم يا ضرساتة إيه! (بوجه الحوار لبوران) مثل ما اتفننا إختي إيه! ما تكتري مليح بالطبخة، و أوليلو لأبو سليم أنا بجيبيلو الأغراض اللي وصاتي علين، إيه ماشي يلا السلام عليكم!  
 د20. بوران: الله معك مع السلامة!  
 د21. هدى: بوران! شو بو عصام؟  
 د22. بوران: ما في شي تشكلي آسي، بس جوزك اتجوز الثالثة واليوم دخلته عليها  
 (هدى مصدومة بالخبر تنهار ويغمى عليها)

[Turn 1]: Abu Shawkat: yalayalamarhaba ?ikhtii

[Turn 2]: Buran: ?ahlein ?akhii

[Turn 3]: Abu Shawkat: weina ?imii?

[Turn 4]: Buran: fo? 9am tirtaah

[Turn 5]: Abu Shawkat: eimmm ?ikhtiiishtaheilikhalfwakii ?ilik w lawladik

[Turn 6]: Buran: yisalim ?ideikhitun 9andaak

[Turn 7]: Abu Shawkat: ei(hisitant) eishubidii ?ilik Buran mu ?inti ?ikhtilikbiireh w habiibit ?albi w nuur 9yuuni w taajrasii ?

[Turn 8]: Buran: eieikheirshufii ?

[Turn 9]: Abu Shawkat: bidiiyakiilyumilmasaatruuhi ma9i 9albeit hakim ilyuumilmasawyaatbidiiruuhjiib 9arusii min beit ?ahlaa w yimkintijii ma9a ?imaaba?a mii hilweh mii hilwehtijii w ma tlaa?iihada min tarafii

[Turn 10]: Buran: ya9ni katabtktabak 9ala bint Abu Inar ?

[Turn 11]: Abu Shawkat: katabtktaabi 9ala bint Abu Inarlikbiireh w ilyuumdikhtii 9aleiya

[Turn 12]: Buran: ya9ni ma saweit ?ilailibrasak ma heik?

[Turn 13]: Abu Shawkat: hayiLutfyieh w Huda malungheirilkawii w ilibidatikwiiyun hiya idiraitalteh w hiyeh ?ili rahtmashiiyunmitlil?alif

[Turn 14]: Buran: walayakhuufii ?intailitimshi w tihki ma9 halak ba9d hajwazehitaalteh

[Turn 15]: Abu Shawkat: khalaslak ?ikhtii [-] ma fiimabruuk?

[Turn 16]: Buran: likeimabruuk bas jwzatakayimitilili 9am yidawiiljirihbinaar

[Turn 17]: Abu Shawkat: lakilhariimkilyatunnaar

[Turn 18]: Huda (entered the scene): Buran! yii ?ahlein ?ibin 9amii

[Turn 19]: Abu Shawkat(hisitant): ei ?ahleinHudhudeishlonikHudhud ? halyanehilyuumyaqarsanehei ?ikhtimitil ma itafa?naaei ma ktariimilihbitabkhaa w ?ililu la Abu Saliim ?ana ?anabijbluil?aghraad ?iliwasaani 9alyun eimashiyalaisalamu 9aleikum

[Turn 20]: Buran: ?alaa ma9ak ma9 isalaameh

[Turn 21]: Huda: Buran shubuIsam ?

[Turn 22]: Buran: ma fiishiitishikli ?aasii bas jozikitjawazitalteh w ilyuumdukhlituu 9aleiha

*Huda couldn't take the news her breath was out and she fell to the floor*

This scene opens at the kitchen where Buran (Isam's sister) is in the kitchen and Abu Shawkat enters the house. He began with a smile saying hello sister and she replied to him hello my brother. Then in turn 3 he opened a conversation by asking her about their mother and Buran said that she was resting. In turn 5 Abu Shawkat wanted to say something but he wanted to mitigate its impact on Buran so he started by giving her a gift as attending to her positive face which is seen as a positive politeness strategy. She replied with gratitude: 'yisalim ?ideik' attending to her brother's positive face. Then in turn 7, he started paving the way to say what he wants to achieve. He performs a positive politeness strategy by claiming common ground with his sister, it is obvious he that he exaggerates the praise and the interest with his sister in order to achieve his goal of convincing her to be with him during his third wedding event. When he used complements and attended to her positive face saying "mu ?inti ?ikhtilikbiireh w habiibit ?albi w nuur 9yuuni w taajrasii", she understood right away that he wanted something, this shows that this is not the usual way he approaches her in speech. So in turn 9, he finally told her what he wants performing a blad on record FTA telling her that he wants her to be there for him when he brings his third wife to his house and claiming reciprocity with his sister, emphasizing their cooperation. However, she was surprised and she didn't like what he did, he explained why he got married the third wife and said that it is like a punishment for his wives. In turn 14 his sister uses off record impoliteness strategy by making fun of him, saying that this all will make him lose his mind and not his wives. He receives the FTA and tries to save his face so he tried to make her sympathize with him. She congratulates him but she still insists that she's against this marriage. Huda (his second wife) enters the scene suddenly in turn 18 calling on her sister-in-law Buran, surprised to see her husband at home she greets him. He felt uneasy and immediately changed the subject. Here in turn 19 he speaks to Huda so politely and he complements her appearance, this was unusual but he was hiding something and wanted to

lessen the news' impact on her. Huda suspected the way he spoke and how he rushed out of the house, so she asks his sister if there's anything wrong. In the final turn of the scene Buran told her the news straight away without trying to attend to her face; here Huda faints and falls to the ground.

## VII. CONCLUSION

In the world of dramatic discourse, the theories of politeness and impoliteness play a significant role in understanding the manipulation of power between characters. This is especially evident in Arabic dramatic discourse, as demonstrated by the scenes from "Bab Al Hara". Thus, the discussion above has revealed the following insights about the importance of these theories in the context of this study.

Politeness and impoliteness theories serve as essential frameworks for analyzing the dynamics of power, respect, and social hierarchy in dramatic discourse. The dialogue between characters in the provided scenes exemplifies the complex interplay between politeness and impoliteness strategies to achieve social goals.

Face-Threatening Acts and Politeness Strategies: In the first scene, Abu Shawkat employs various face-threatening acts (FTAs) towards his second wife, Huda. His impolite and condescending language, aimed at asserting his patriarchal authority, creates a tense atmosphere. In contrast, in the second scene he uses a negative politeness strategy to mitigate his mother's constant worry. The use of politeness strategies here illustrates how characters navigate their social roles and power dynamics.

The politeness theories highlight positive and negative face, which are crucial in understanding the characters' actions. For example, Huda employs positive politeness by serving coffee and complimenting Um Isam. In contrast, Abu Shawkat uses negative politeness by imposing tasks on Huda, disregarding her feelings, and resorting to name-calling, which attacks her positive face.

Huda faces limitations in her responses due to the power imbalance as Abu Shawkat, the patriarch, often resorts to impoliteness, feeling entitled to exercise his authority. The choice of politeness or impoliteness strategies is influenced by the characters' relative power and social distance.

Abu Shawkat's behavior undergoes a metamorphosis in the second scene. His pursuit of Buran, his sister's, collaboration for his upcoming wedding motivates him to utilize affirmative phrasing and praise as a form of manners. These modifications to his traditional protocols of etiquette mirror his aspiration to attain a certain societal objective.

Buran utilizes mockery towards Abu Shawkat and his numerous marriages to express her disapproval and challenge power dynamics. This showcases the potential of impoliteness as a means to assert one's agency. Characters often employ a lack of politeness as a tool to resist or challenge the dynamics of power.

Having a deeper understanding of power dynamics in dramatic discourse is essential, and politeness and impoliteness theories can aid in dissecting them. Whether it's in Arabic dramatic discourse or more general contexts, these theories allow us to comprehend the ways in which characters interact and navigate social hierarchies while negotiating their own face needs. By using various strategies to assert authority or challenge it, we can better analyze how characters interact. Consequently, employing these theories is crucial in studying dramatic discourse across multiple cultural contexts.

In the end, it is worth mentioning that the aforementioned analysis is neither conclusive nor comprehensive, and is instead a humble endeavor by scholars to scrutinize Arabic media dialogue in the framework of Arabic drama, utilizing artistic techniques to display a range of prospects of Arabic media dialogue. More studies are necessitated within this realm to affirm the outcomes unveiled in this document.

## APPENDIX

## TRANSLITERATION SYSTEM FOR ARABIC LANGUAGE SYMBOLS OF CONSONANTS

Arabic Symbols	Specifications	Roman Symbols
أ	Voiceless glottal stop	ʔ
ب	Voiced bilabial stop	b
ت	Voiceless alveolar stop	t
ث	Voiceless interdental fricative	th
ج	Voiced alveopalatal affricate	j
ح	Voiceless pharyngeal fricative	ħ
خ	Voiceless uvular fricative	kh
د	Voiced alveolar stop	d
ذ	Voiced interdental fricative	ḏ
ر	Voiced alveolar flap	r
ز	Voiced alveolar fricative	z
س	Voiceless alveolar fricative	s
ش	Voiceless alveopalatal fricative	sh
ص	Voiceless alveolar emphatic fricative	ṣ
ض	Voiced alveolar emphatic stop	ḏ
ط	Voiceless alveolar emphatic stop	ṭ
ظ	Voiced interdental emphatic fricative	ẓ
ع	Voiced pharyngeal fricative	ʕ
غ	Voiced uvular fricative	gh
ف	Voiceless labio-dental fricative	f
ق	Voiceless uvular stop	q
ك	Voiceless velar stop	k
ل	Voiced alveolar lateral	l
م	Voiced bilabial nasal	m
ن	Voiced alveolar nasal	n
ه	Voiceless glottal fricative	h

## SYMBOLS OF VOWELS

	Arabic Symbols	Specifications	Roman Symbols
Short Vowels	Fatha	Front half-opened unrounded	a
	Dama	Back close rounded	u
	Kasra	Front open spread	ɪ
Long Vowels	أو	as in doktor(دكتور) in Arabic and "orphan" in English	o
	أ	Front open unrounded	aa
	أوو	Back close rounded	uu
Semi-Vowels	إي	Front close unrounded	ii
	ي	Non-syllabic Palatal Approximant	y
Diphthong	و	Non-Syllabic Labio-Velar approximant	w
	إيه	as in leih(ليه) in Arabic and "tail" in English	ei

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# Atrocity in Margaret Atwood's *The Handmaid's Tale*: A Critical Discourse Approach

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**Abstract**—This paper examines the discursive tactics employed in *The Handmaid's Tale* to (re)produce social reality. Using critical discourse analysis, the study reveals the ideological polarization between a favorable self-presentation and a negative portrayal of the other. Through the analysis of excerpts and the application of Van Dijk's framework, the pervasive use of discursive techniques is uncovered, emphasizing the ideological division between a positive self-portrayal and a negative depiction of the other. Pronouns and adjectives play a crucial role in conveying optimistic self-representations and pessimistic other representations, highlighting the characters' struggle against the inherent sexism and patriarchy within legal systems. The findings demonstrate the significance of polarization, lexicalization, positive and negative representation tactics, and the proximity of contrasting stages, illustrating the tension between the individual and society. Considering these results, the paper recommends fostering awareness and critical analysis of discursive tactics, promoting diverse narratives to cultivate empathy and understanding, encouraging dialogue and critical engagement, and actively addressing and challenging gender inequality. These recommendations aim to deepen our understanding of how discursive tactics shape social reality and promote a more equitable and inclusive society. By recognizing and interrogating these discursive strategies, individuals can navigate and challenge the manipulation of language and narrative. The study's insights contribute to a broader understanding of the underlying gender inequality and societal tensions portrayed in *The Handmaid's Tale*, shedding light on the power dynamics and systemic oppression present in society.

**Index Terms**—discursive tactics, social reality, critical discourse analysis, ideological polarization, gender inequality

## I. INTRODUCTION

Undoubtedly, conflict is an omnipresent theme in all literature. It surfaces when there are differing goals, values, perspectives, or experiences among individuals. Conflict can be understood as a clash involving parties who possess varying needs, beliefs, or objectives. As Perkins (2010) conceptualizes it, conflict emerges as a contest between antagonists and protagonists. A prevalent motif in literary narratives involves the tension between the individual and society. In 'Man vs. Society' situations, the protagonist encounters disagreements with a broader group; this could be a community, society, culture, etc. Here, the main character contests societal norms. Conflict has also been conceptualized as a state of adversarial opposition when there is a disagreement between two or more groups (Gibbs, 2015). This research scrutinizes five extracts from *The Handmaid's Tale* to gain deeper insight into the core issue of individual-society tension. Indeed, the theme of "conflict" has been probed through both sociological and psychological lenses (Jamieson, 2018). This research aims to critically unpack this concept in the novel *The Handmaid's Tale*, a

subject of growing scholarly interest. This study seeks to contribute to the current literature by analyzing the discursive strategies of the self-society conflict in *The Handmaid's Tale*. Highlighting this issue in texts enriches the study of language. Consequently, this analysis will enhance our understanding of language by shedding light on the linguistic tools a writer employs to generate intended perceptions. Investigating the theme of self-society conflict in literature is crucial as it expands the horizons of linguistic and critical studies. It, therefore, facilitates an understanding of the language utilized in *The Handmaid's Tale*. Both the fields of linguistics and literature stand to benefit from these fresh insights into the self-society conflict. This research applies critical discourse analysis to *The Handmaid's Tale* to glean a more nuanced understanding of the novel's discursive strategies. It closely examines five passages from *The Handmaid's Tale*, following the method suggested by Perkins (2010). The research primarily focuses on the juxtaposition between optimistic self-presentation and pessimistic other presentations. With that in mind, the aim is to answer:

1. How do the discursive strategies of the characters expose the ideologies they employ to sway the audience and influence their perceptions of them?
2. How are these strategies operationalized?

## II. LITERATURE REVIEW

### *Conflict and Critical Discourse Analysis*

The centrality of conflict is deeply embedded in Atwood's literary offerings. This centrality has been substantiated by recent research. For instance, Nguyen and Patel (2022) explored the role of conflict in contemporary literature, revealing its reflection on broader cultural and societal shifts. Similarly, Hamilton (2022) investigated the depiction of individual versus societal conflict in dystopian literature, concluding that its underlining of power dynamics and societal constructs contributed to the overarching themes.

Disagreement universally arises from human interaction, primarily due to the inherent diversity in perspectives, desires, perceptions, and needs. Conflict comes into being when two or more parties find themselves in disagreement, manifesting as a connection between entities unwilling or unable to compromise on their differences (Patzak, 2012; Wilmont, 2001; Diaz & Li, 2023). This discord could be real or perceived, involving both tangible and intangible resources. Avoiding confrontation is typically a human propensity. Conflict encompasses a vast array, from interpersonal discord to organizational disputes, intragroup to intergroup altercations, and so on (Al-Mamary & Hussein, 2019).

Self-society conflict is an issue pervading almost all nations. As inherently social beings, humans undergo a phase of socialization. A multitude of individuals and organizations within society offer myriad opportunities for interaction, ranging from one-on-one conversations to dialogues with small groups or larger organizations. As interactions unfold, disparities among individuals become increasingly discernible. Differences in religion, economic status, and social standing represent just a fraction of the numerous conflict triggers in contemporary society.

Critical discourse analysis (CDA), as defined by Van Dijk (1995), offers a method to examine and study both written and spoken communications (as cited in Akbar & Nawal, 2019). This discourse highlights the misuse of power, dominance, and inequality within social and political contexts (as cited in Gyollai, 2020). Recent studies by Klein and Johnson (2023) further underline this by analyzing power dynamics in political discourses using CDA. Brown (2023) also underscores the importance of using CDA for analyzing ideologies in literature.

As per Fairclough (1993), CDA extends beyond merely acknowledging the social dimensions of speech. Its fundamental objective is to illustrate how language impacts society and, subsequently, shapes our identities. CDA underscores the reciprocal relationship between language and society, acknowledging that language does not exist in isolation from its surrounding context. Ideology constitutes a crucial focus of CDA. It comprises three intertwined elements: discourse, social cognition, and society. Ideologies are formed and propagated through discourse, thus establishing language as the sociocognitive medium for enacting and reproducing them in daily life. Therefore, discourse aids in the spread and materialization of ideologies (Van Dijk, 2006). The central tenet of CDA is the development of "a critically contextualized approach to languages, "one that" highlights issues of ideology, power, and inequality" (Yusuf et al., 2018, p. 1).

## III. PREVIOUS STUDIES

In his 2018 book, "A Case of Hate," Yusuf analyzed linguistic clashes and their settlements among the leaders of agitated groups in Nigeria. The purpose of this study is to learn how prejudiced language might stir up conflict across communities. A conflict scenario is generated by a combination of speech act theory and sociocognitive critical discourse analysis, both of which are used to analyze specific speeches made by members of a social group. The research shows that influential people in a community may utilize language as the de facto semiotic system to protect their interests, even if doing so is counterproductive to the group.

More recently, Chernenko (2019) investigated the idiosyncrasies of fiction's last phase of conflict interaction from a pragmatic perspective. This research intends to fill a theoretical gap in the study of conflict discourse by illuminating the gender differences in the last phase of conflict fiction discourse, as well as the linguistic and non-linguistic forms of

communication used by the protagonists and antagonists. Analysis and synthesis, induction and deduction, as well as other techniques from the field of linguistics, are put to use here. Information is culled from British and American books written in the 20th and 21st centuries. From a pragmatic, structural, and contextual standpoint, the results indicate three types of communication situations: isolation, reconciliation, and accommodation of the speakers with elocutionary impact. Distinctions between the sexes in dispute resolution discourse may be shown through verbal and non-verbal modes of interaction. The use of emotional-evaluative language, taboo language, and qualifiers are all ways in which males and females differ in their conflict communication. Touch, smiling, crying, voice tone and eye contact are all forms of haptic communication that have distinct gender connotations.

Additionally, Abustan's (2020) research analyzes the protagonist's struggle in *The Human Comedy* by Saroyan. Analyzing the internal and external struggles that the novel's protagonist undergoes, the author classifies the many kinds of rivalry. This research looks at how much of the novel's variation the protagonist is responsible for. The author uses a methodical framework to investigate this topic. The structural approach to literature seeks to understand works by dissecting their parts. In this study, we found that the protagonist's troubles stem mostly from her surroundings. Homer, the protagonist, puts others' needs ahead of his own. At that point, he grows up. He is now a responsible adult thanks to your patience and care. In the story, the reader will learn the importance of taking responsibility for their actions.

According to Naji and Abbas (2022), "a gap can be observed in terms of (1) the absence of a contextual discursive interpretation of the techniques deployed and (2) the inability to address the ideological premises contained in creating discursive material, both of which are important for understanding the nature of conflict". This research seeks to fill this void by delving into critical discourse analysis levels of inquiry into discursive techniques. Its goal is to provide a more in-depth and nuanced understanding of the institutional production and use of conflict through critical interpretation.

*A Tale Told with a Handmaid* (1985) Throughout the *Handmaid's Tale*, readers are introduced to the totalitarian religious state of Gilead, where reproduction and gender hierarchy are prioritized above all else. Gilead uses religion as a whipping boy to control the handmaids, Martha, and the spouses of the men in power. Offred's story is told via a combination of flashbacks and recollections of her time spent married, raising children, and in captivity. Picking up young, fertile women like Offred and retraining them is a regular practice in Gilead. They must go through some kind of ritual every month before they can sleep with their assigned.

In conclusion, the cited research works provide valuable insights into various aspects of conflict and communication. Yusuf's study on linguistic clashes highlights the role of prejudiced language in generating conflicts within communities. Chernenko's investigation sheds light on gender differences in conflict fiction discourse and explores different forms of communication used by protagonists and antagonists. Abustan's research examines the struggles of the protagonist in *The Human Comedy* and emphasizes the importance of taking responsibility for one's actions. Furthermore, the critical discourse analysis approach aims to fill the gaps in understanding the nature of conflict by analyzing discursive techniques and their ideological premises.

Overall, these studies contribute to a deeper understanding of the complexities surrounding conflict and communication, providing valuable insights for researchers and practitioners in the field. By examining language, context, and social dynamics, we can gain a better grasp of how conflicts arise and potentially find strategies for conflict resolution and mitigation.

#### IV. METHOD

The research paradigm used here is derived from van Dijk's (2006) discursive techniques. Van Dijk's ideological square provides the primary critical viewpoint, which stresses (1) our excellent characteristics while hiding our poor ones and (2) their horrible qualities while concealing our bad ones (e.g., van Dijk, 2006). Using critical discourse analysis levels, the deployment of discursive strategies is investigated in the qualitative analysis, while the frequency of the discovered discursive strategies is the subject of the quantitative analysis.

Van Dijk first introduced the concept of the "ideological square". During times of conflict, "positive self-presentation and negative other demonstration" traits "show not just how we dip into in-groups and out-groups but also how we portray ourselves and others" (Van Dijk, 2000). To show the range of possible debates over the ideological square, van Dijk uses several discursive methods (Van Dijk, 2000, 2006; Ajiboye, 2013). Due to constraints, only seven of these discursive activities could be explored in depth. The information is as follows: details about the actor's background (how discourse actors are portrayed: individually, as a group, negatively, positively, or indifferently). There are a variety of ways to express oneself, such as via the use of dictionaries, polarization, positive self-presentation, and negative other presentations. Lexicalization is the process of using a specific language to convey one's thoughts and opinions, whereas metaphor and topoi are types of evidence-based statements. According to Van Dijk (1989), the text is made up of several components that have a purpose. He cut it into thirds and put each one in the fridge. It's the first thing to do when trying to figure out how important something is. The next portion is the most elevated; it consists of the organization of a text as deduced from its linguistic patterns. The meaning of a little chunk of text, such as a phrase or a statement, is called its microstructure (as cited in Aini, 2019).

Discursive tactics are a set of linguistic techniques used by the communicator to gain the attention of the target audience in the context of the message's delivery (Reisigl & Wodak, 2009). Using the same word, phrase, or sentence numerous times serves to emphasize the argument and draw the focus to the substance of the utterance. Actor

description, polarization, self-presentation, and other presentations, all with an ideological slant, are inextricably intertwined. Individual, group, negative, and positive representations of discourse actors are examples of actor description. This "we and them" dichotomy is a typical focal point of ideological disagreement. Consequently, the positive self-presentation and negative other presentation of the discourse actors are embodied in the polarization of the discourse players into "us" and "them" groupings that are commonly reflected in actor descriptions. Self-evident reasoning refers to the making of an argument using just the most obvious evidence. The use of a direct analogy between two things is what we call a metaphor. Use this tactic, for instance, if you need to back up your claims with hard proof.

#### A. Procedures

The purpose of this research is to use the CDA methodology to identify the manifestations of self-society conflict in *The Handmaid's Tale* and to theorize their significance. The researchers' analysis was put up as follows a methodology to identify the manifestations of self-society conflict in *The Handmaid's Tale* and to theorize their significance. The researchers' analysis was put up as follows: After reading the novel many times, the researchers identified recurrent themes related to the central conflict. Researchers choose statements that use a certain ideology and one or more critical discourse analysis methodologies from the pool of retrieved statements. The study's authors provided background information that put the excerpt in its right historical and cultural perspective. Scientists interpret the hidden meaning of texts and ideas because the language used in each excerpt reveals a unique perspective on the struggle between the individual and society.

#### B. Data Description

The study focuses on five different passages from *The Handmaid's Tale*. The words first appeared on paper in English. It wasn't until 1985 that they hit the shelves. Margaret Atwood's book is the source for the varying word counts. Any excerpts used for analysis must (a) be in the form of written texts and (b) be sufficiently indicative of the self-society conflict problem. To illustrate the tensions between the handmaids and the rest of Gilead society, the book *The Handmaid's Tale* was used. This is shown graphically in the corpus of the excerpts, which is shown in the tables below.

TABLE 1  
THE ANALYSIS CORPUS

The Theme	No. of extracts	No. of words	The year	type
Conflict	1	78	1985	Book
Conflict	2	28	1985	Book
Self-Society Conflict	3	61	1985	Book
Conflict	4	68	1985	Book
Conflict	5	55	1985	Book
Total	5	290		

Naji and Abbas (2022)

#### C. Analysis

The analysis of the five extracts from *The Handmaid's Tale* shows a moderate-to-high frequency of discursive strategies, as presented in Tables 1 and 2.

TABLE 2  
DISTRIBUTION OF DISCOURSE STRATEGIES IN *THE HANDMAID'S TALE*

Discursive Strategies	Frequencies	Percentage %
Metaphor	2	12.5 %
Polarization	4	25 %
Lexicalization	3	18.75 %
Actor Description	2	12.5 %
Repetition	2	12.5 %
Topio	1	6.25 %
Example	1	6.25 %
Vagueness	1	6.25 %
Total	16	100 %

"Aunt Lydia: "They made such a mess of everything. They filled the air with chemicals, radiation, and poison! So, God unleashed a special plague. The plague of infertility, as birth rates decreased, made things worse. They were dirty women. They were slobs. But you are special, girls. Fertility is a gift given by God. The world can be quite an ugly place. But we cannot wish that ugliness away. We cannot hide from that ugliness (p. 98)" (in Naji & Abbas, 2022).

##### *Contextualization*

The excerpt informs Aunt Lydia, a prominent female character who plays a crucial role in propagating the unjust regime of Gilead in the novel.

##### *Linguistic Analysis*

“The passage makes use of several discursive techniques. One is evident from the statement's usage of the word “them”. The use of “they” in the sentence “they made such a mess of everything” and “we” in the phrase “we cannot wish that ugliness away” throughout the whole excerpt above reflects a kind of ideological polarization of the characters into an in-group (the Handmaids)” (Naji & Abbas, 2022); and an out-group (the women of Gilead). This ideological split is a result of the author's use of both positive self-presentation and negative other-presentation methods. Another technique is called lexicalization. This method may be utilized to make a good or bad impression. They were filthy ladies who only served to make matters worse, thus the use of pejorative terminology such as “dirty,” “worse,” and “sluts” in the preceding sentence. Those sluts “to unfavorably characterize the women of Gilead while positively representing the handmaid via the use of a positive lexical word like “special” in the statement “But you are special ladies.” Discursive techniques such as providing examples and illustrations are still another option. To bolster an argument, this method is used. The following statement makes it quite clear: It was all in disarray because of them. They polluted the atmosphere with hazardous materials. To solve this problem, God created a new pandemic: infertility. The author provides an example of the reason why women in Gilead are sterile. God had to punish them since they created such a mess. Repetition, in which the same word or phrase is used many times, is another technique used to draw attention to the substance of the utterance. In these statements, this tactic is quite clear: “They really messed things up. They polluted the atmosphere with toxic chemicals, radiation, and other poisons. The use of repetition strengthens an argument. The word “they” is used frequently, reflecting the stereotypically negative portrayal of women in Gilead culture.

#### *Contextualization*

This sample from Offred's perspective showcases her philosophy of the gender-based polarization enforced by Gilead.

#### *Linguistic Analysis*

Offred, the protagonist of the preceding excerpt, has internal turmoil when she realizes that the legislation of Gilead culture is just another example of how women are used as scapegoats in that society. The subject of self-society conflict among women in Gilead's society is shown in the usage of the negative vocabulary elements “sterile” and “barren” in the utterances “Sterile, there is no such thing as a sterile man anymore” and “women who are barren, that's the law.” As a result, Offred is always fighting against the dictatorial norms of her society. This lexicalization reinforces the marginalization of women in Gilead culture. The negative adjective is used here to describe women adversely, whereas males are represented favorably. This is indicative of the pervasive racism in Gilead's culture. Since the handmaids are so clearly characterized, the positive descriptor “fruitful” is used, while the negative descriptor “barren” describes the Gilead women. This illustrates the novel's use of positive and negative actor description techniques. Offred: “I used to think of my body as an instrument of pleasure, a means of transportation, or an implement for the accomplishment of my will... Now, the flesh arranges itself differently. I am a cloud congealed around a central object, the shape of a pear, which is harder and more real than I am and glows red within its translucent wrapping” (Atwood, 1985, p. 73).

#### *Contextualization:*

The main character, Offred narrates this extract while resting in the bath. She reflects on how she used to perceive her body versus how she does now.

#### *Linguistic analysis*

Several strategies are used by the protagonist, Offred, to reflect her conflict with society in the above extract. “One of these strategies is the use of metaphor, like, “I used to think of my body as an instrument.” And, “Now the flesh arranges itself differently” through the expression “as,” Offred compares her body to an instrument of her desire before Gilead, but now she is just a mound of flesh surrounding a womb. Words like “cloud,” “congealed,” and “hard” represent the absence of human values in Gilead society, where women are treated like mere children. Additionally, the use of self-society conflict (topoi) is another rhetorical device used to depict the abuse experienced by different types of women. Abuse is diverse in women's discourse, as seen in this utterance: ‘I used to think of my body as an instrument of pleasure or a means of transportation.’ Women are subjected to domestic abuse that ranges from sexual deprivation to physical abuse and psychological abuse. The diversity of the abuse topics in women's discourse strengthens the negative presentation” (in Naji & Abbas, 2022).

*Offred: These men, we have been told, are like war criminals. It is no excuse that what they did was legal at the time; their crimes are retroactive. They have committed atrocities and must be made into examples for the rest, though this is hardly needed. Today, no woman in her right mind would seek to prevent a birth, should she be so lucky as to conceive.* (Atwood, 1985, p. 201)

#### *Contextualization*

His extract is told by Offred when she wants to depict how men in Gilead society control females.

*Linguistic Analysis:* A real ideological division exists concerning the characterization of the characters in this excerpt. On the one hand, it is constructed by referring to members of one's own group using the first-person plural possessive pronoun “we” (women). As opposed to “us,” the pronoun “they” indicates the excluded group (men). The author's choice of pejorative terms like “war criminals” and “atrocities” to characterize males serves as a clue to the ideological division at play here; these terms represent a criminalization mindset. The use of the phrase “their misdeeds are retroactive” in conjunction with the phrase “should she be so fortunate as to conceive” indicates that the writer is emphasizing her disapproval of males. As the target of the pejorative word “retroactive,” males are singled out here as

the excluded. This helps perpetuate the stereotyping of men as villains. At the same time, the unfavorable group's self-presentation is served by the positive term "fortunate," which is used to characterize women. This statement employs figurative language to underline the metaphor of discursive strategy: "These guys, we've been informed, are like war criminals." Males (doctors) who conduct abortions are equated to criminals, and this is the tactic that's being used.

*Offred: There are other women with baskets, some in red, some in the dull green of the Marthas, some in the striped dresses, red, blue, and green, and cheap and skimpy, that mark the women of the poorer men. Econowives, they are called. These women are not divided into functions. They must do everything they can.* (in Naji & Abbas, 2022, p. 410)

#### *Contextualization*

"The narrator, Offred, tells this extract. She explains that the women in Gilead society are according to their addresses. Women are color-coded: red handmaids, blue wives, and green Marthas" (Naji & Abbas, 2022).

#### *Linguistic Analysis*

Discourse tactics abound in this passage. The extract opens with opacity, one of the strategies used. This is made clear using the term "some." With the use of the term "some," the speaker avoids committing to a specific number of females. Another discursive tactic is ideological polarization, as in the statement "They have to do everything if they can," in which the handmaids are positioned as the outgroup. Actor descriptions may be used to paint a good or bad picture of the people involved. The handmaids are negatively associated with words like "cheap" and "skimpy." This furthers the philosophy of negative realism by presenting its core ideas. An additional tool available to writers and speakers is the use of repetition to drive home their point and keep the audience's attention where it belongs: on the topic. This is made abundantly obvious use of the word "some" many times in the following phrases: "some in red," "some in the dull green of the Marthas," and "some in the striped gowns" (Naji & Abbas, 2022). Evidently, she uses this technique to drive home her point about their predicament and draw attention to the meat of the piece by bringing up the same term over and over.

## V. RESULTS AND DISCUSSION

This study's analyses were meant to fill a void found in earlier research. The study did not give enough weight to social contextual interpretations, which prevented an honest examination of the ideological motivations behind the conflict theme. About the self-society conflict that has been studied so far, the new findings are more all-encompassing. The quantitative results give an overview of the critical discourse analysis discursive tactics utilized in *The Handmaid's Tale*, including the frequency with which they occur, and the types of methods used. Qualitative studies dissect and examine in more depth the ways in which and the causes for the entrenchment of ideology in *The Handmaid's Tale*. The original study questions were posed to provide context for the results. The first study question (which asked, "What discursive tactics are employed in the book *The Handmaid's Tale* to build positive or negative representation?") was addressed via the application of critical discourse analysis. *The Handmaid's Tale* has a fair number of discursive techniques. These tactics are crucial to understanding the conflict and theme of *The Handmaid's Tale*. The *Handmaid's Tale* controversy is notable for its heavy use of the (4) polarization approach, while the (3) method of lexicalization is the second most common. We find that, among the two (2) methods, the repetition method is the third most popular. It turns out that actor description is the lesser used of the two methodologies. In terms of frequency of use, metaphor ranks third among the two tactics. Finally, a minimally optimal case is shown. For Topio, there is only one (1) method that may be used. The maximum amount of ambiguity is achieved with the minimum number of techniques.

As for the second line of inquiry, it is this: "How are these tactics implemented?" Considering the studies, which aim to contextualize the explanation of the underlying ideological polarity, this is discussed. It is possible that *The Handmaid's Tale* is an effort to reshape, reframe, and reaffirm the social reality of its setting via the minds of its lay readership. To achieve this goal, it is necessary to display oneself in a positive light while portraying another in a negative one. Discourse tactics and critical discourse analysis may bring about this kind of polarization. *The Handmaid's Tale* may also be an attempt to establish and maintain cultural hegemony over certain socioeconomic realities. To do this, *The Handmaid's Tale* makes use of critical discourse analysis and discursive tactics.

## VI. CONCLUSION

The purpose of this study is to provide a better understanding of how *The Handmaid's Tale* makes use of discursive tactics to (re)produce social reality. It does so by presenting the ideological polarization of a favorable presentation of the handmaid's self vs. a negative portrayal of the other, which is an approach to critical discourse analysis. Ideological polarization is conceptualized in the data sphere via the use of adjectives and pronouns that convey optimistic self and pessimistic other descriptions. The character's employment of discursive techniques and ideological roles discloses the larger structure of the character's discourse, illuminating the truth of the conflict between the character and society. Research shows that these characters' comments may be broken down into two groups: those that encourage a good self-presentation and those that discourage a negative presentation. You can see these tactics at work when comparing the in-group and the out-group. Offred, the novel's narrator, asserts she used them to highlight the sexism and patriarchy inherent in the legal systems of most countries. As an example, we look at the polarization and lexicalization methods

that pit "us" or "us" against "them" or "them," as well as the positive and negative representation tactics. The proximity of these two stages illustrates the individual-societal tension. These two tiers of analysis are crucial to this study because they show why and how gender inequality exists in our society. The Handmaid's Tale employs several large-scale discursive strategies, including actor description, polarization, repetition, metaphor, opacity, and illustration or example, to depict the conflict and show how the Handmaids in Gilead's society are affected by gender inequality, identity crisis, and the struggle between oneself and the rest of the community. These methods are used to assemble the microstructure.

## VII. RECOMMENDATIONS

1. Increase awareness and critical analysis of discursive tactics: Educate readers, scholars, and society at large about the various discursive tactics used in literature, such as polarization, actor description, metaphor, repetition, opacity, and example or illustration. Encourage individuals to critically analyze and recognize these tactics to better understand how they shape social reality and perpetuate inequality.
2. Promote empathy and understanding through diverse narratives: Encourage the exploration and amplification of diverse narratives that challenge dominant discourses and provide a more comprehensive understanding of social issues. By exposing readers to a range of perspectives and experiences, literature can foster empathy, break down stereotypes, and contribute to a more inclusive society.
3. Foster dialogue and critical engagement: Encourage discussions and critical engagement with literary works like *The Handmaid's Tale*. Create spaces for open dialogue where individuals can share their interpretations, challenge each other's viewpoints, and explore the implications of the discursive tactics employed. This promotes a deeper understanding of the text and its social implications.
4. Address and challenge gender inequality: Recognize the importance of addressing and challenging gender inequality in society. Use literature, including *The Handmaid's Tale*, as a tool for raising awareness about the pervasive nature of gender inequality and its impact on individuals and communities. Encourage further research, activism, and policy changes aimed at promoting gender equality and dismantling patriarchal systems.

## VIII. STUDY IMPLICATIONS

The implications of your study on the discursive tactics used in *The Handmaid's Tale* are as follows:

1. Understanding the construction of social reality: The study sheds light on how discursive tactics are employed to shape and (re)produce social reality. By analyzing the novel's use of pronouns, adjectives, and other discursive techniques, readers gain insight into how language and narrative can influence perceptions, reinforce power dynamics, and perpetuate social inequalities.
2. Critical analysis of gender inequality: The study highlights the role of literature, such as *The Handmaid's Tale*, in exposing and critiquing gender inequality. It underscores the importance of recognizing and challenging oppressive systems embedded in societal structures, legal frameworks, and cultural norms. This analysis encourages further research and activism to address gender-based discrimination and work towards a more equitable society.
3. Increased awareness of ideological polarization: The study draws attention to the concept of ideological polarization within the narrative. By examining the favorable presentation of the handmaid's self and the negative portrayal of the other, readers become more aware of how such tactics contribute to division, othering, and the reinforcement of power dynamics. This awareness can prompt individuals to critically evaluate similar polarization strategies used in real-world discourses.
4. Advancing critical discourse analysis: The study contributes to the field of critical discourse analysis by applying its principles to a literary work. It showcases the relevance of this analytical framework in examining the ways language, power, and ideology intersect in narrative representations. This application expands the scope of critical discourse analysis beyond traditional text types and highlights its potential for uncovering and challenging discursive strategies.
5. Literary engagement as a catalyst for social change: The study underscores the power of literature in fostering dialogue, empathy, and critical engagement. By analyzing the discursive tactics employed in *The Handmaid's Tale*, readers are prompted to reflect on their own beliefs and attitudes, challenging societal norms and fostering a deeper understanding of social issues. This engagement with literature can act as a catalyst for social change by inspiring individuals to act and advocate for a more just and equitable society.

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# An Exploratory Analysis of Linking Adverbials in Research Articles Across Different Disciplines

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**Abstract**—Writing empirical research papers that comply with disciplinary conventions is a goal that many students, especially at the tertiary level, aspire to achieve. While playing a crucial role in constructing coherent texts, linking adverbials are typically depicted as a static collection of interchangeable elements lacking inherent meaning, and often receiving minimal consideration for their discipline-specific functions. Most of the previous studies on linking adverbials have focused on the frequency of use across different proficiency levels; there has been little corpus-based research on how these connectives function across different disciplines. This paper examines the potential variations in the use of linking adverbials in Nursing and Applied Linguistics empirical research articles. Using AntConc software, a corpus of eighty research articles, 40 articles in Nursing and another 40 in Applied Linguistics, were compared in terms of their frequency use, function, and placement preferences of linking adverbials. Findings revealed that the two corpora differ considerably in frequency, semantic function, and, to a lesser extent, the placement of linking adverbials in each discipline. Such variations are attributed mainly to the way linking adverbials are used to present and strengthen authors' arguments in each discipline.

**Index Terms**—discourse analysis, linking adverbials, disciplinary, semantic functions, corpus

## I. INTRODUCTION

Linking adverbials (LAs) being a pivotal cohesive device in organizing and connecting written discourse have been and still are the subject of extensive corpus-based research. A great deal of research focuses on identifying differences in the use of linking adverbials between native speakers and non-native speakers writing at various proficiency levels and from various backgrounds. The findings generally point to overuse, underuse, or even misuse of LAs by non-native speakers of English (Altenberg & Tapper, 1998; Field & Yip, 1992; Granger & Tyson, 1996; Hyland & Tse, 1996; Lei, 2012; Shaw, 2009). This is mainly attributed to the teaching practices emphasizing the interchangeable use of LAs, labelling them as distinctive evidence of writing comprehensibility. Such general practices in teaching overlook research-evident differences in the use of LAs among various disciplines. Consequently, recent research has centered on the disclosure of linguistic characteristics pertinent to various disciplines or registers rather than focusing on practices of native versus non-native speakers (Adel & Romer, 2012; Biber et al., 1999; Hyland, 2005). Identifying disciplinary variations contributes to what Hyland (2009) refers to as the need for "specificity" in teaching English for academic purposes (EAP). The fact that writing as a process reflects mutually accepted practices and expectations of a particular community necessitates the need to highlight such community-accepted linguistic choices. Given that the focus of most studies was on natives (Ns) versus non-natives (NNs) via comparative studies at different levels of proficiency, there is still a lack of knowledge on how published written articles reflect their community conventions. Therefore, this paper attempts to expand knowledge about linguistic specificity and community-based written conventions through a corpus-based analysis of disciplinary variations using LAs in research articles in two different disciplines: Applied Linguistics and Nursing. The results of such a study will shed light on the role linking adverbials play in constructing scholarly knowledge across different disciplinary areas, and how their use is restrained by the communicative needs of a particular field.

## II. LITERATURE REVIEW

### A. Terminology Issues of Linking Adverbials

Different terms have been used to refer to LAs. Carter and McCarthy (2006) referred to them as "linking adjuncts". Hyland (2005) labeled them as transition markers that function as signposts to guide the reader throughout the text. Other terms include "discourse markers" (Liu, 2004), adverbial connectors (Altenberg & Tapper, 1998), and linking adverbials (Biber et al., 1999). Biber et al.'s terms and definitions will be used throughout this paper. Biber et al. (1999) referred to LAs as devices whose primary function is to explicitly project the writer's perception toward the relation between two stretches of discourse, stressing that linking adverbials are "important devices for creating textual cohesion" (p. 875). Based on their semantic functions, LAs were grouped by Biber et al. (1999) into six semantic labels:

1. Enumeration and addition: This category includes adverbs (e.g., *first, second, third...*etc.) or prepositional phrases (*for one thing...*) that are used to guide the reader as additional informational items are added.
2. Summation: This category signals a summary of a previous argument (e.g., *in summary, to sum up*, etc.).

3. Apposition or code glosses (Hyland, 2005): These are used to further explain a previous argument (e.g., *that is, for example, for instance, etc.*).
4. Result/inferences: Devices such as *therefore, as a result*, indicate that the preceding segment is a result of a preceding patch of discourse.
5. Contrast/concession: Such devices are used to attract attention to contradictory or alternative ideas like *to the contrary, anyway, though, etc.*
6. Transitions: These refer to items that are loosely connected to the previous discourse such as *by the way* or *incidentally*.

Given their various semantic functions, LAs reflect not only textual coherence but also communicative needs pertinent to a particular community. Underscoring the need for more specificity in analyzing language, Hyland (2009) called for more detailed research that accounts for disciplinary variations in using cohesive devices. His notion of specificity triggered more interest in the use of cohesive devices, particularly linking adverbials, across various disciplines and registers, as will be discussed below.

#### B. Specificity and Disciplinary Variation in the Use of Linking Adverbials

Specificity in Hyland's (2009) term emphasizes the idea "that we communicate as members of social groups and that different groups use language to conduct their business, define their boundaries, and manage their interactions in a particular way" (pp. 7-8). He underscored the need for more specificity in researching and designing materials for ESP learners, acknowledging that our "fixation with genre" (p. 7) and the difficulty of specifying the notion of discipline turned our focus from disciplinary variation, which is the basic core of specificity. The findings of Hyland's (2005) analysis of research articles across various disciplines pointed to major differences between research articles under the label of the academic genre. Acknowledging the significance of genre analysis in demystifying the structure of research articles, Hyland (2009) accentuated the need for deciphering disciplinary written conventions, as knowledge of conventions restraining the use of language in a particular community is a prerequisite for effective writing. As such, discipline specificity was found to affect the distribution of linking adverbials across various disciplines. Soft or non-scientific disciplines rely heavily on logical argument to warrant their claims rather than relying on "multimodality" (i.e., graphs, tables, etc.) in presenting proof. Therefore, more transitions were found in soft-science textbooks than in their hard-science counterparts (Hyland, 2005). Biber et al. (1999) found variations in the type, stylistic preferences, and position of LAs across different genres, as will be discussed in the coming section. Unlike other researchers (Crismore et al., 1993; Vande Kopple, 1985) who perceive LAs to be straightforward text connectors, Hyland (2005) contends that they either take experiential/propositional or interpersonal functions. In the former, LAs act as textual devices logically connecting the various patches of the text. In the latter, they are oriented toward promoting reader/writer interaction rather than being purely devoted to textual cohesion. Despite their indispensable role in shaping and organizing academic writing, differences in the use of adverbial connectors were mainly constricted to comparative studies on Ns versus NNs on both novice and professional levels.

#### C. Previous Empirical Research on Adverbial Connectors

Since Halliday and Hasan's (1976) work on the role of cohesive devices in written language organization and comprehensibility, a substantial body of research has investigated their use in written materials. Three major directions can be identified in this field: comparative studies on the use of linking adverbial between non-native learners and their native peers, studies comparing native versus non-native professionals, and finally, studies on the variation of use across disciplines. Regarding research on natives versus ESL learners, findings pointed to a general tendency toward overusing linking adverbials (Altenberg & Tapper, 1998; Appel, 2020; Field & Yip, 1992; Granger & Tyson, 1996; Hosseinpur & Pour, 2022; Hyland & Tse, 1996; Lei, 2012; Shaw, 2009). The second type of studies, which focused on linguistic variation between native and non-native professionals rather than learners, revealed variations in the frequency of certain types and a relative underuse of certain LAs by non-native professionals (Gao, 2016; Luisa & Pastor, 2013).

Fewer studies, however, were directed to either disciplinary differences or variations of use across different registers. In a large-scale study, Biber et al. (1999) examined four registers in the Longman Spoken and Written English (LSWE) corpus, and findings revealed that more linking adverbials were used in conversation and academic prose than in fiction and news. It was also found that summative, appositional adverbials are more widely used in academic prose than in any of the other registers. Single-word adverbials (e.g., *therefore, however*) were found to be the most common syntactic realization of linking adverbials in the academic register. Regarding stylistic preferences, it was found that *however* is the topmost preferred in all registers whereas result adverbials *therefore, thus, and hence* seem to be interchangeable. The analysis of LAs position preferences in academic register revealed that they were more frequently used in the initial position. Hyland (1998) found a higher density of linking adverbials in textbooks compared to research articles. Liu (2008) found significant differences in LAs use across five registers (spoken English, academic writing, news writing, fiction, and others) in the BNC corpus. Although exhibiting the least use of adverbials, fiction was found to use more sequential type than other registers. News writing was found to have the lowest rate of LAs.

Focusing on the form and function of restatement markers across various disciplines, Hyland (2007) found that these markers have two main functions: exemplification and reformulation. The former was achieved through using examples

whereas the latter was attained through either expansion or reduction of meaning. It was found that exemplification was more often used than reformulation in all disciplines. Although soft disciplines showed a slight tendency to reformulate statements as implications, reformulation through specification was far more common in the whole corpus. Peacock (2010) compared LAs use in four sciences (Chemistry, Computer Science, Material Science, and Neuroscience) versus four non-sciences (Economics, Language and Linguistics, Management, Psychology) research articles. It was found that contrast/concession, addition, and apposition were the most commonly used semantic categories. Although findings revealed that linking adverbials are less frequently used in science, significant variations were detected among the four disciplines of science. The variations were attributed to differences in projecting and consolidating the proposed claims or arguments.

A critical look at the corpus-based studies reveals that the majority of studies are native versus non-native based with more focus on learners' language. Studies on disciplinary-specific use of linking adverbials, are, however, limited and are largely generic with a more quantitative orientation. The focus on frequency of use has to some extent shifted attention from association patterns that LAs may display in different contexts. Hence, there is a need for more research that relies on both quantitative and qualitative analysis to illuminate disciplinary variations in the use of linking adverbials by proficient writers.

### III. METHODOLOGY

#### A. Rationale of the Study and Research Questions

A critical examination of the research on the use of adverbials discloses a shortage of studies on disciplinary variation in the use of LAs and even scarcer research on how written language, particularly research articles, not only manifests disciplinary linguistic variation but also in how reflective it is to the general values and communicative purposes of their corresponding fields. Familiarity with disciplinary conventions is vital in academic writing, especially research articles. As such, the current study aims to expand our knowledge of linguistic variations in the use of LAs across different disciplines by examining their use in two main hypothetically different disciplines: Applied Linguistics (AL) versus Nursing. The rationale behind this selection is twofold: first, most studies on LAs' disciplinary variation focused on the big picture (i.e., arts and humanities versus science rather than specific disciplines). Second, the choice is related to the academic needs of second language learners as both disciplines recruit a large number of EFL students and are primarily taught in English even in countries in which English is not the native language. With this goal in mind, the study aims at addressing the following questions:

1. How does the use of linking adverbials differ in AL and Nursing research articles in terms of frequency and taxonomy?
2. How do AL and Nursing research articles differ in their placement of linking adverbials?
3. How do the linking adverbials function in AL and Nursing research articles?

#### B. The Corpus

The corpus used in this study consists of 80 research articles: 40 articles in Applied Linguistics and 40 articles in Nursing. Research articles in this study were restricted to empirical research articles published in peer-reviewed journals with traditional sections of Introduction, Review of Literature, Method, Results, and Conclusion. The articles were compiled from four peer-reviewed journals in each discipline. Ten articles were compiled from each of the following AL journals: *TESOL Quarterly*, *Applied Linguistics*, *Language Learning and Technology*, and *English for Academic Purposes*. Another ten research articles were extracted from each of the following Journals: *Applied Nursing Research*, *Journal of Advanced Nursing*, *Journal of Clinical Nursing*, and *Research in Nursing and Health*. The journals in AL were chosen based on my personal experience in the field. Journals in Nursing were selected, however, based on recommendations from informants in the respective field. Each article was then scanned for its match with the operational definition of empirical research articles. The files were then converted to text files using an AntConc converter or the pdf in-built-text converter. Each text was then manually edited, and all page headers, footers, and reference lists were removed.

#### C. Method

Data were analyzed both quantitatively and qualitatively. AntConc software was used to examine the frequency and position of linking adverbials in research articles of the disciplines in question. Concordance lines were then examined manually so that only markers acting as linking adverbials were included. The general position tendency was calculated by dividing the raw number of LAs in the inter-sentential position by that of the non-inter-sentential (Shaw, 2009). Inter-sentential position refers to the use of LAs to connect two sentences marked by the use of a full stop (Shaw, 2009). If the ratio is 1, then both positions have equal frequency. If it is larger than one, it means a higher frequency of initial placement whereas less than one indicates a higher tendency to non-initial placement (Shaw, 2009). Given the differences in the size of the two corpora, the frequency was normalized to per/10000 words. A qualitative analysis of findings was conducted based on the semantic functions of LAs, phraseological association, and communicative purposes in the reviewed disciplines. Biber et al. (1999) general classification of LAs was adopted (see Appendix A). However, the category of transition was excluded in this study due to the rare occurrence and almost zero occurrence of

the respective adverbials in both corpora. To make the list more comprehensive, additional linking adverbials were added from various studies (Peacock, 2010; Shaw, 2009).

#### IV. RESULTS

The total number of linking adverbials used in both corpora was 5,583 out of 569,611 tokens in total. The two corpora revealed sizable differences in their overall use of linking adverbials. Linking adverbials were found to be more common in AL than in Nursing research articles. The total number of linking adverbials in AL was 3,992 with 115.7 frequency as opposed to 1,591 in Nursing research articles with a normalized frequency of 70.8. Differences were found in the distribution of semantic functions, as well as the frequency of individual forms within each semantic category, as will be fleshed out in the coming section. I will first discuss the variations in the frequency of semantic functions. Discipline-based variations in the placement and frequency of linking adverbials will be then highlighted. Analysis of the functions and the common structural patterns of linking adverbials found in Nursing and Applied Linguistics research articles will be further investigated. Finally, a discussion of the findings with relevance to the communicative purposes of the respective disciplines will be conducted.

##### A. Variation in the Frequency of Semantic Categories

Linking adverbials, as depicted in Figure 1 and Table 1, tend to be more frequently used by AL researchers than their Nursing counterparts across five semantic categories. Applied Linguistics research articles seem to use a larger number of additives, appositives and contrast, results, and summation compared to Nursing research articles. Additives and appositives are considerably higher in AL as their frequency is almost twice that in Nursing (40.35 versus 26.4 per 1000 words). The two fields show similar preferences in the ranking use of specific LA semantic categories with additives being the most frequent category in both fields and categories of “result” and “summation” being the least used in both corpora. Further examination of the use of individual forms within each semantic category points to slight variations in their frequency distribution in the academic articles in the two disciplines, as will be illustrated in the coming section.

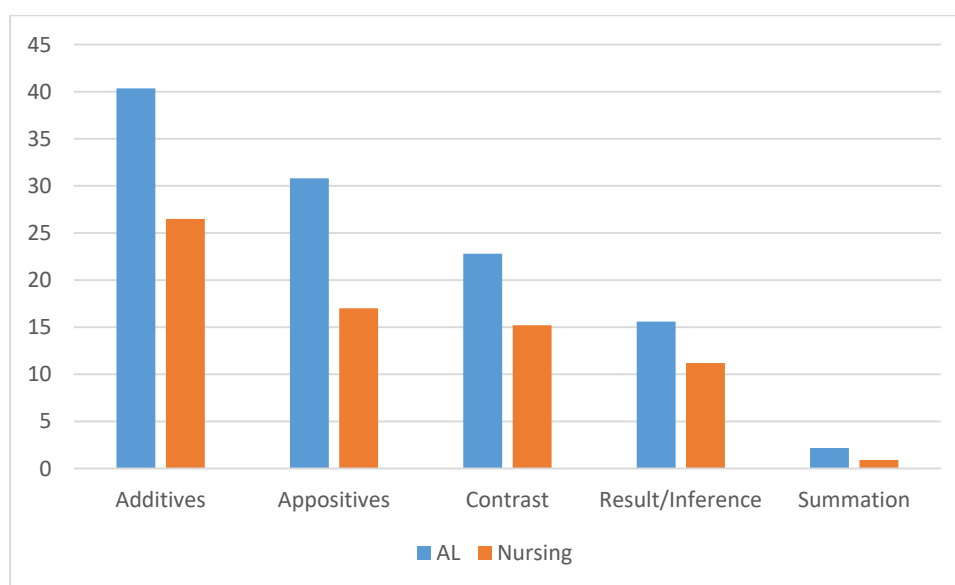


Figure 1. Normalized Frequency of LAs in AL and Nursing Articles

TABLE 1  
FREQUENCY RANK OF SEMANTIC CATEGORIES IN AL AND NURSING RESEARCH ARTICLES

Total LAs in Al Corpus	Raw frequency	Per/10000	Total LAS in Nursing	Raw Frequency	Per/10000
Additives	1392	40.35	Additives	595	26.49
Appositives	1203	30.8	Contrast	382	17.0
Contrast	785	22.8	Appositives	342	15.2
Result/Inference	537	15.6	Result/Inference	252	11.2
Summation	75	2.17	Summation	20	0.9
Total LAs in Al Corpus	3992	115.7	Total LAs	1591	70.8

##### B. Variation in Frequency and the Position of Linking Adverbials

Table 2 shows that three forms of additives are dominantly used in both corpora with different ranking order: *also*, *as well*, and *in addition*. The findings revealed notable differences in the frequency of *also*, *And*, and *finally*. The first is more frequently used in Nursing with a frequency of 26.49 compared to 23.19 in AL. The use of *And* as an intersentential linking adverbial seems to some extent to be acceptable in Al articles, as it occurs six times, though

confined to a single article. In Nursing, only one occurrence of *And* was encountered. Moreover, AL makes greater use of *finally* than Nursing (2.14 versus 0.71). Although having almost the same meaning, *additionally* and *lastly* are rarely used in both corpora compared to their equivalents *in addition* and *finally*.

TABLE 2  
FREQUENCY RANK OF ADDITION LINKING ADVERBIALS IN NURSING AND AL

Additives in AL Corpus			Additives in Nursing Corpus		
<b>also</b>	800	23.19	<b>also</b>	304	26.49
<b>as well</b>	142	4.12	<b>in addition</b>	74	3.29
<b>in addition</b>	90	2.61	<b>as well</b>	70	3.12
<b>finally</b>	74	2.14	<b>first</b>	28	1.25
<b>moreover</b>	56	1.62	<b>finally</b>	16	0.71
<b>first</b>	55	1.59	<b>furthermore</b>	28	1.25
<b>furthermore</b>	22	0.64	<b>second</b>	15	0.67
<b>similarly</b>	41	1.19	<b>moreover</b>	15	0.67
<b>second</b>	33	0.96	<b>further</b>	13	0.58
<b>likewise</b>	19	0.55	<b>third</b>	9	0.40
<b>and</b>	15	0.43	<b>similarly</b>	8	0.36
<b>secondly</b>	11	0.32	<b>likewise</b>	4	0.18
<b>third</b>	11	0.32	<b>fourth</b>	4	0.18
<b>next</b>	9	0.26	<b>lastly</b>	4	0.18
<b>besides</b>	7	0.20	<b>next</b>	2	0.09
<b>lastly</b>	4	0.12	<b>and</b>	1	0.04
<b>additionally</b>	1	0.03	<b>besides</b>	0	
<b>thirdly</b>	1	0.03	<b>thirdly</b>	0	
<b>to begin with</b>	1	0.03	<b>to begin with</b>	0	
<b>Total</b>	1392	40.35	<b>Total</b>	595	26.49

Regarding apposition (Table 3), both corpora almost used the same range of appositives with various frequencies. One considerable difference is the zero occurrence of the rephrasing expression *in other words* in Nursing research articles. As for contrast/concession (Table 4), the predominant forms in both disciplines are *however* and *rather*. The other subsequent forms *yet*, *in contrast*, and *but* are more frequently used in AL whereas *still*, *yet* and *instead* are most preferred in Nursing. The AL corpus shows a slight preference for using contrast markers: *in contrast* (1.16 in AL compared to .3 in Nursing) and *but* with 1.6 per 1000 words compared to almost zero occurrence in Nursing articles.

Although the summative function is the least presented in both corpora (Table 5), differences are found in the use of individual summative forms. Applied Linguistics articles seem to use a wide range of summative linking adverbials compared to Nursing research articles, in which only one form (i.e., *overall*) is used in the whole corpus. Some forms (e.g., *all in all*, *or altogether*) show no appearance in both corpora. Others, such as *in conclusion*, are rarely used in AL and have zero occurrence in Nursing articles. As for result/inference (Table 6), the use of *thus*, *so*, and *hence* is considerably higher in AL than in Nursing. The use of *thus* is almost double that in Nursing. In Nursing, however, greater use is made of *therefore* than in AL with a frequency of 5.25 versus 3.4. The least used forms in both corpora were *consequently*, *accordingly*, and *for this reason*. Concerning position, both corpora display a preference for using linking adverbials in the initial position as illustrated by (Table 7). However, Nursing articles often use *thus* and *hence* in the initial position, whereas AL articles tend to prefer non-initial placement. Another difference can be found in the placement of *finally* and *nonetheless*. The former always occurs in the initial position in Nursing, but in AL it appears in both initial and non-initial positions. The latter also always appears initially in Nursing, but it has equal initial and non-initial distribution in AL.

TABLE 3  
FREQUENCY RANK OF APPPOSITION LINKING ADVERBIALS IN NURSING AND AL

Applied Linguistics Corpus			Nursing Corpus		
Appositives	Raw frequency	Frequency Per/10000	Appositives	Raw freq	Frequency Per/10000
<b>e.g.</b>	336	9.7	<b>such as</b>	120	5.34
<b>such as</b>	259	7.5	<b>e.g.</b>	99	4.41
<b>for example,</b>	242	7.0	<b>i.e.</b>	56	2.49
<b>that is</b>	154	4.5	<b>for example</b>	40	1.78
<b>i.e.</b>	140	4.1	<b>namely</b>	13	0.58
<b>in other words</b>	33	1.0	<b>That is</b>	9	0.40
<b>Specifically</b>	23	0.7	<b>specifically</b>	5	0.22
<b>namely</b>	16	0.5	<b>In other words</b>	0	0.00
<b>Total</b>	1203	25.1	<b>Total</b>	342	15.2



TABLE 4  
FREQUENCY RANK CONTRAST/CONCESSION LINKING ADVERBIALS IN AL AND NURSING

Applied Linguistics Corpus	Raw Frequency	Frequency per 10000	Nursing Corpus	Raw Frequency	Frequency per 10000
however	400	11.59	however	226	10.06
rather	170	4.93	rather	41	1.83
yet	41	1.19	still	30	1.34
in contrast	40	1.16	yet	25	1.11
but	40	1.16	instead	14	0.62
instead	22	0.64	nevertheless	9	0.4
nevertheless	21	0.61	conversely	9	0.4
otherwise	18	0.52	in contrast	8	0.36
nonetheless	10	0.29	otherwise	5	0.22
though	10	0.29	on the other hand	5	0.22
after all	5	0.14	nonetheless	5	0.22
still	3	0.09	in spite of	2	0.04
alternatively	2	0.06	after all	1	0.04
conversely	2	0.06	though	1	0.04
in any case	1	0.03	alternatively	1	0.04
Total	785	22.76	Total	382	16.9

TABLE 5  
FREQUENCY RANK OF SUMMATION LINKING ADVERBIALS IN AL AND NURSING

Applied Linguistics Corpus	Raw Frequency	normalized	Nursing Corpus	Raw frequency	Frequency per/10000
in sum	24	0.70	Overall	20	0.9
in short	8	0.23	in sum	0	
to conclude	6	0.17	To sum up	0	
To summarize	5	0.14	in short	0	
to sum up	2	0.06	to conclude	0	
in conclusion	1	0.03	to summarize	0	
Overall	29	0.84	in conclusion	0	
altogether	0	0.00	altogether	0	
all in all	0	0.00	all in all	0	
Total	75	2.17	Total	20	0.9

TABLE 6  
FREQUENCY RANK OF RESULT/INFERENCE LINKING ADVERBIALS IN AL AND NURSING

Applied Linguistics Corpus	Raw Frequency	Frequency Per/10000	Nursing Corpus	Raw Frequency	Frequency/per10000
thus	185	5.4	therefore	118	5.25
therefore	133	3.9	thus	62	2.76
so	59	1.7	thereby	18	0.80
then	45	1.3	hence	13	0.58
hence	40	1.2	so	13	0.58
as a result	26	0.8	as a result	9	0.40
consequently	18	0.5	then	8	0.36
thereby	16	0.5	consequently	7	0.31
accordingly	11	0.3	accordingly	2	0.09
for this reason	4	0.1	for this reason	2	0.09
Total	537	15.6	Total	252	11.22

TABLE 7  
FREQUENCY OF LAS IN INITIAL POSITION

Linking Adverbial	LA Corpus	Nursing Corpus
thus	0.9	1.6
therefore	0.5	0.8
hence	0.2	3.3
also	0.0	0
overall	6.3	4
finally	4.7	All initial
otherwise	1	0.3
nonetheless	1	All initial
however	2.1	3.9
yet	1.6	1.3
TOTAL	18.2	15.2



### C. Functions of Linking Adverbials

Linking adverbials in this study seem to display similar functions to those described by Biber et al. (1999). However, some semantic categories seem to be used differently in Applied Linguistics and Nursing. A discussion of the functions of linking adverbials and their structural patterns in both AL and Nursing will be provided below along with illustrative examples. Given the difficulty of covering all instances of use, the analysis of function and phraseological patterns will be restricted to the most commonly used linking adverbials.

#### (a). Additives

Biber et al. (1999) indicated that additives are used to add new information or sometimes to show a logical sequence. This was found to be true in the current corpus. For example, *finally* can be used to add additional information (1) or to indicate a logical sequence (2). Interestingly, occurrences of these two functions were found in AL but only the first function (i.e., adding new information) is found in the Nursing corpus (3).

1) **Finally**, German adjectival inflection is somewhat opaque in DeKeyser's (2003, 2005) sense, with the same endings potentially signaling different combinations of numbers (AL).

2) **Finally**, they were asked to rate the level of appropriateness of each underlined request on a 5-point scale (AL).

3) **Finally**, in the hypothesized model, duration of diabetes and education would directly affect knowledge (Nursing).

Moreover, authors of Applied Linguistics and Nursing seem to use forms of additions to serve different communicative purposes. Relying heavily on the validity of methodology, authors in Applied Linguistics, tend to use additives to establish and support the validity of argument through describing and providing more details on rationale as in (1), procedures of the research process (2). Conversely in Nursing articles, additives were used mainly to add new information or to give more elaboration on the pursued issue, with less emphasis on validating procedures (3, 4):

1) **In addition**, by selectively sampling stimuli, input to participants could be limited to items from the domain of interpersonal vocabulary. **Furthermore**, possible confounds such as the number of adjectives describing each noun in the sentence could be controlled, **as well as** the degree of evaluation and potency of the words. (AL)

2) The screen recording program Camtasia Recorder (2004) was used to capture participants' moves through the activity. **In addition**, the whole group was observed by one of the authors. (AL)

3) Education programs with a team of professional healthcare providers can improve glycemic control and the progression of long-term complications of patients with type 2 diabetes. **In addition**, telephone care is a strategy for extending diabetes management services into patients' homes. (Nursing)

4) **Also notable** was that research found that, except for one study with dietitians and one study with physicians, the HCPs' own weight status did not influence the HCPs' attitudes... (Nursing)

One interesting finding in the numeration analysis is the use of the sentence-initial *And*. Although such use is academically non-preferable, it seems to gain some acceptance in Applied Linguistics research articles, but not as much in Nursing articles. Serving seemingly a supportive function of the proposition or argument introduced, it is also used frequently with other additive forms *furthermore*, *further*, *finally* (1, 2, 3), referral expressions (4), and subordinate adverbials (5-6-7). When comes to non-initial position, *finally* is usually preceded by *and*.

1) **And, further**, Hyland (2005, p. 49) argues that.....(AL)

2) **And, finally**, a pedagogical question that has been raised by several researchers but has not been investigated is when learners should.....(AL)

3) **And, moreover**, he points out that he reported to the director of the division...(AL)

4) **And, as mentioned earlier**, recent researchers have extended the study of narrative to encompass small stories which are often fragmented and less coherent(AL)

5) **And when** ESL writers are required to write multi-draft compare-contrast, opinion, and research compositions all in the same semester, they must tend to the rhetorical or generic novelty of each composition... (AL)

6) **And, while** the experiment as a whole encourages learner autonomy in ways that are consistent with Schwienhorst (2003), the empirical study presented limits itself to studying the potential effects of learner autonomy on L2 production. (AL)

7) **And, if** s/he were to approach a message dialog such as that of Figure 2 more than once, his or her repeated message events count would increase (AL)

#### (b). Contrast/Concession

Contrast items are, as indicated by Biber et al. (1999), used mainly to draw readers' attention to some important points that the author wishes to emphasize. To further attract readers' attention, a noteworthy pattern is supporting contrastive adverbials with evaluative or emphatic expressions (examples 1-4):

1) **Scarce, however**, is research investigating, in a controlled fashion, the impact and interaction between such reader-based factors in L2 lexical inferencing and retention. (AL)

2) **Clearly, however**, this conjecture requires further substantiation. (AL)

3) It is **noteworthy, however**, that while reference to the theoretical notion of language-analytic ability is relatively widespread, the operationalization of the construct has varied somewhat. (AL)

4) *The focus in this review, however, is not on task complexity per se but on how this variable interacts with strategic planning.* (AL)

In the AL corpus, contrastive forms were apparently used to highlight particular research procedures and conclusions (5), and they were also used to display a writer's knowledge and familiarity with the key issues in the field (6). When used in a medial position, *however* seems to prepare the reader for a piece of unexpected information or conclusion (7-8) or to justify particular results (9). In example (7), the reader is informed unexpectedly that learners can cope with listening tasks without explicit instruction. For example, (9) the concessive adverbial is used to soften the impact of the seemingly unexpected findings. In Nursing research articles, however, contrast forms are used mainly to constrain the generalizability and highlight the limitations of the proposed conclusions (10-11). A similar function can also be found in AL articles but mainly when referring to limitations of previous work as in example (6):

5) *However, due to the high Pearson correlation between the passage sight vocabulary scores for the more and less familiar passage ( $r = .944$ ,  $p = .0001$ ) I calculated the average of the two scores.*

6) *He concluded that participants were attending to audio; however, it is not clear whether the same would be true for lower-level learners.* (AL)

7) *Participants in problem-solving and structured input tasks without explicit information groups, however, were still able to cope with the demands of the listening test because their explicit knowledge was firmly entrenched.*

8) *June initially showed an unfavorable attitude toward corpora. Her attitude, however, became positive.*

9) *The conditions in this experiment had no measurable impact on comprehension accuracy, however, the instrument was not designed with that purpose in mind.* (AL)

10) *Evidence that these activities effectively treat POI remains unconvincing. However, there is consensus other positive benefits occur for the postoperative patient to include reducing pulmonary complications.* (Nursing)

11) *The results indicated that psychologists were negatively influenced by a client's weight and were more likely to rate obese clients negatively on appearance. However, they did not stereotype the energy level of clients, nor did the negative impressions of the clients' appearance generalize to more negative diagnoses or treatment recommendations.* (Nursing)

#### (c). Result/Inference

The function of these linking adverbials is to signal results or consequences (Biber et al., 1999). This function appears evident in both corpora with a common pattern of using *and* with (*thus, hence*) in the medial position (1-3). When used in the medial position, *thus, thereby* can also be followed by an *ing*-clause of result (4-6). However, no instances of such occurrences were found with *therefore* in either corpus. Concerning 'hence+ resulting clause' construction, only one instance was found in both corpora (7):

1) *Parents and children from both the experimental and control groups received NEEP and some form of exercise training, and thus, outcomes improved in both groups.* (Nursing)

2) *Group 4 was the control group and therefore did not receive WCF.* (AL)

3) *Participants were recruited from the endocrinology out-patient department of a university-affiliated hospital and hence are unlikely* (Nursing)

4) *However, the authors of the original TNQ claimed that the instrument collected data in a semi-opaque (indirect) way, thus avoiding this distortion.* (Nursing)

5) *Rude is more negative in effect than awkward or ungainly, thus capturing the affective meaning of hobbledehoy better than the definition provided by the non-corpus-based dictionary.* (AL)

6) *Participants in the problem-solving tasks had the opportunity to discuss the metapragmatic features of target structures, thereby reinforcing pragma linguistic... connections.* (AL)

7) *Because they can add redundancy to the aural input by changing the input mode from its aural form in the video into the textual form of subtitles and a transcript, hence addressing different learning styles* (AL).

#### (d). Summation

One noteworthy finding of this study is the variation displayed in using summatives, as they are relatively rare in Nursing research articles, with *overall* being the only form used in the current corpus. Summative adverbials are used in AL research articles mainly to attract the reader to the significance of the study in hand by summarizing and pointing to gaps in previous arguments or previous research. Thus, the most frequently used expressions are used mainly to introduce a summary of the findings or literature review (1-2). On the other hand, the use of the only summative form in Nursing articles (i.e., *overall*) seems to act as a phrase of generalizability rather than summation (3-4).

1) *In sum, research investigating the relationship between WM capacity and comprehension in the L2 provides support for the view that L2 WM capacity is directly related to L2 comprehension, with L1* (AL).

2) *In short, the previous studies did not fully illuminate students' corpus use in L2 writing... (AL).*

3) *Demographic characteristics of the study participants are shown in Table 1. There were no significant differences between groups in age, gender...diagnosis. Overall, male participants in this study were significantly older ... than female participants but this demonstrated only a small effect size ... (Nursing).*

4) *Once again, as one can see in Fig. 2, although there were a few differences in extreme cases, overall, the two criteria give the same picture in terms of rank orders* (Nursing).

*(e). Apposition*

Biber et al. (1999) indicated that linking adverbials of apposition are used to clarify ideas and to add further explanation. Hence, the second unit is considered equivalent or part of a preceding segment. This definition, however, seems to be broad given that exact equivalence is barely used in this corpus; the functions of exemplification and reformulation proposed by Hyland (2007) seem more appropriate in describing the function of apposition here. Exemplification where instances of a previous category are introduced is presented mainly by *for example*, *such as*, and *e.g.*, and is widely employed in both corpora but more often in AL (1-2-3-4). However, unlike Nursing, where exemplification is geared often to clarify ideas, exemplification markers in Applied Linguistics seem to be used in supporting claims rather than mere clarification of meaning. The appositive marker *that is*, on the other hand, has a reformulation function and tends to be used in both corpora for specifying or constraining the previous contention and bringing readers' attention to a particular conclusion (5-6-7-8).

1) *All the physical problems that led to the patients eating less were dealt with, **for example**, constipation, pain, or bad oral hygiene (Nursing).*

2) *Such differences are due to restrictions in the range of retention scores from the more familiar passage, perhaps are result of several factors **such as** fewer words to learn, greater ease... (AL).*

3) *L2 vocabulary development through reading is complex. It takes place through various component processes involved in text processing and comprehension. For example, it involves noticing that particular words are unfamiliar. Then, in the absence of dictionaries or human assistance, it requires inferring meaning (lexical inferencing) (AL).*

4) *A repeated-measures design where each participant reads both conditions would have allowed for a direct comparison of reading times enabling control for individual differences. Individual differences in reading speed are considerable. Jackson and McClelland (1975), for example, show mean reading speeds to vary from 260 words per minute for average readers to 586 words per minute for fast readers (AL).*

5) *Race was a significant moderator of the pain–disability relationship; **that is**, the impact of more pain (greater severity and number of painful body locations) on physical and social limitations was worse for Whites than for Blacks (Nursing).*

6) *From a public health perspective, intervening with these abstinent girls represents a true primary prevention opportunity; **that is**, HIV prevention can take place preemptively, prior to the girls' sexual debut (Nursing).*

7) *The study adopted an incidental acquisition design that **is** we investigated whether the target words and collocations were acquired without learners' deliberate attempt to commit them to memory (AL).*

8) *Evaluation is how good or bad something is, **that is**, whether the entity has peoples' approval or disapproval (AL).*

## V. DISCUSSION

The findings of this study reflect not only the different communicative purposes of each discipline but also writers' awareness of their readership needs. Writers of empirical research articles in Applied Linguistics, presuming less homogeneity in their readers' background knowledge, seem to be more concerned with persuading their audience of their field knowledge and the significance of their research. On the other hand, researchers in Nursing assume more shared scientific knowledge and, thus, tend to be more interested in informing their readers about the proposed therapies or treatments drawing their attention to the limitations of their conclusions. Prioritizing informative over involved production, Nursing research articles use fewer linking adverbials almost half of those used in Applied Linguistics research articles. This result was expected and comes in congruence with the characteristics of hard and soft science discussed in second-language literature. Hyland (2005) contended that the use of cohesive devices, including linking adverbials, serves not only textual but more importantly interactional functions. Hence, empirical research articles of Applied Linguistics used more forms of addition, summation, contrast, and apposition than Nursing. Additives were found to be the most frequent function in both disciplines. The results were similar to Peacock's (2010) findings where *also*, *as well*, and *in addition* were predominantly used in both science and non-science disciplines.

However, the frequency of semantic functions is to some extent different from that reported by Biber et al. (1999) and Biber (2006) in which result/inference, opposition, and enumeration were found to be the most frequent categories in academic prose. In this study, the semantic function of contrast was more frequent in both corpora than the result/inference category. Nevertheless, the two corpora differ in their frequency rank of apposition. Applied Linguistics research articles employ apposition more than contrast whereas Nursing articles use more contrast than apposition. This was unexpected given the nature of topics in each discipline. It was thought that Nursing would use more apposition to clarify medical terms and therapies. It seems that in Nursing articles, researchers are concerned with specificity in making conclusions and, hence, employed contrast markers to emphasize what should not be concluded or drawn from the study in question. This assumption is also supported by the use of the reformulation marker *that is* to support the specificity of statements. This is in congruence with Hyland's (2007) findings, where markers of exemplifications were far more commonly used in soft than hard sciences. In Applied Linguistics, however, apposition was not only used to clarify concepts, but was also utilized along with additives to advance researchers' proposed argument. The use of appositives in each field reflects the writers' awareness of the processing needs of their readers given that, unlike Nursing, where scientific knowledge is cumulative and relatively well-established, applied linguists deal with more

controversial theorized issues and, hence, need more examples to facilitate the comprehension of a supposedly less cohesive audience.

Serving also a persuasive function, contrastive adverbials in Applied Linguistics tend also to be used in highlighting limitations of previous research and, thereby justifying a given path of exploration. Alternatively, contrastive adverbials are used to support the methodology or findings by justifying unexpected results. The variations in the use of contrast/concessive forms in Applied Linguistics and Nursing research articles are an exemplary model of how writers in different disciplines mitigate their argument to gain support for their claims or counterclaims.

Results and summation were found to be the least used functions in both disciplines. Nevertheless, the use of summation in nursing research articles is limited to one form (i.e., *overall*) which is used to indicate generalizability rather than summing or rephrasing propositions. On the other hand, research articles in Applied Linguistics use a wide range of summatives serving apparently as signposts to draw readers' attention to the important points the author wishes to emphasize. This, as mentioned earlier, seems to be influenced by reader-writer mutual expectations. Researchers in Nursing articles seem to trust their readers' ability to infer the importance of their work focusing instead on elaborating their propositions and highlighting possible limitations. Writers in Applied Linguistics presuppose that their readers may not be able to make such a connection and, therefore, utilize more summatives to ensure their readers' understanding and consequently their appreciation of the writer's field knowledge and the overall value of the research.

In sum, the disciplinary variations in the frequency and function of linking adverbials in empirical research articles in Nursing and Applied Linguistics indicate that linking adverbials perform more than a textual function and are, thus, utilized differently in different disciplines. They seem to reflect how writers in different disciplines are involved with their readers. In Applied Linguistics, where researchers assume less agreement from their readers, linking adverbials are employed to persuade the seemingly less cohesive readership. In Nursing, however, where researchers build upon a seemingly well-established shared scientific knowledge, linking adverbials serves to introduce more elaborative and cautious propositions.

While contributing to the existing literature on disciplinary variation in the use of LAs, the findings of this study merit further research on how linking adverbials interact with other rhetorical devices, such as hedges, boosters, and stance markers, to project writers' arguments not only in Nursing and Applied Linguistics but across various disciplines. This study was limited to empirical research articles and no distinction was made between quantitative and qualitative research. Future research may examine the use of linking adverbials across both types of research and theoretical research papers. Another limitation is that no statistical tests of significance were employed. Future studies are encouraged to confirm the reported variations via appropriate statistical tests.

## VI. CONCLUSION

Crafting coherent, well-organized research articles that adhere to disciplinary conventions is what most ESL teachers and learners aspire to achieve, especially at the university level. Unfortunately, the traditional way of presenting cohesive devices, particularly linking adverbials, does not account for the differences in use across disciplines. This study shows that some linking adverbials are not used at all in both disciplines, while others might be used in one field but not the other. The placement of linking adverbials receives little if any attention in ESP courses. Nevertheless, this study revealed that Nursing and AL research articles show variations in their placement preferences of some linking adverbials. Overall, the variation in the frequency and function of linking adverbials displayed in this paper reflects not only the different communicative purposes of different fields but also the writers' awareness of the needs and expectations of their readers. ESP course designers are therefore invited to utilize the findings of corpus-based studies that incorporate both quantitative and qualitative analysis in their materials design. Such a step would probably help to narrow the gap between what is taught and what is actually practiced in disciplinary academic writing. It is hoped that the results of this study will advance the knowledge of the discursal role of linking adverbials by displaying the logic and the stylistic preferences of their use in different academic communities.

## APPENDIX

Addition	Summation	Apposition	Result/Inferences	Contrast/concessive	Transitions
Additionally	All in all	e.g.	Accordingly	After all	By the by
Also	all in all	For example	As a result	Alternatively	incidentally
And	altogether	For instance	Consequently	Anyhow	meanwhile
as well	In conclusion	In other	For this reason	Anyway	Now
besides	in conclusion	words	hence	At any rate	
by the same token	In short	namely	In consequence	Beside	
Finally	In sum	Such as	so	But	
First	overall	That is/i.e	Then	By comparison	
First of all	To conclude	Which is to	thereby	conversely	
Firstly, secondly....	to conclude	say	Therefore	However,	
For one thing...for another	To sum up		Thus	In any case	
further/furthermore	To summarize			In contrast/ by contrast	
In addition				In spite of that	
In the first/second place				Instead	
In the same way				Nevertheless/nonetheless	
lastly				notwithstanding	
likewise				On the contrary	
moreover				On the other hand	
Next				otherwise	
Second				Still	
Similarly				Though	
Third				Yet	
To begin with					
What is more					

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# The Role of Partial Desemanticization in the Emergence of Grammatical Subsystems: The Case of Epistemic Modality in Northern Rural Jordanian Arabic

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**Abstract**—Desemanticization, a mechanism of language change, is either full or partial. The former is the total loss of the lexical content while developing a gram from a lexical source, whereas the latter is the reduction of the lexical content. One of the merits of partial desemanticization reported in the relevant literature is that the remaining lexical residue in a gram often determines its function, especially through metaphor and metonymy. The present paper, from a broader perspective, sheds light on the role of partial desemanticization in developing grammatical subsystems in natural languages. Based on an acceptability judgment task and the main synchronic characteristics of the target items, this paper argues that partial desemanticization is the underpinning factor in the grammaticalization of a possibility-denoting epistemic modality in northern rural Jordanian Arabic. Its role is manifested in the derivation of the target modal auxiliaries from their lexical counterparts. The content of their sources, mostly lexical, is not fully bleached out when they develop into modal auxiliaries. The semantic residue of the source in each grammaticalized modal auxiliary, in turn, causes the variation in use of these modal auxiliaries, and therefore inevitably leads to developing a possibility-denoting epistemic modality.

**Index Terms**—grammaticalization, partial desemanticization, possibility-denoting epistemic modality, northern rural Jordanian Arabic

## I. INTRODUCTION

Grammaticalization is a type of language change that occurs in pathways and involves interacting phonological, morphosyntactic and semantic processes that apply gradually to form grammar typically by selecting items from the lexical domain and dropping them into grammar (Bybee et al., 1991; Lehmann, 1995; Narrog, 2012). It mainly relies on the following four main mechanisms: (1) desemanticization, (2) decategorization, (3) phonetic reduction and (4) obligatorification.

In the relevant literature, desemanticization or semantic bleaching, which is the main concern of the current study, is regarded as an important mechanism of grammaticalization that branches into full and partial. Full desemanticization leads to the total loss of the meaning of the lexical source in the developed gram, whereas partial desemanticization reduces it (Meillet, 1912; Heine et al., 1991; Hopper & Traugott, 1993; Lehmann, 1995; Heine, 2013, among others).

What can be inferred from the relevant literature is that partial desemanticization is prevailing in natural languages. Consider the following examples from English that assert this inference. The development of the Old English lexical verb *willan* ‘to want’ that denotes volition into the epistemic modal auxiliary *will* that expresses futurity (Véiz Campos, 2007) is accompanied by partial desemanticization of the lexical verb *willan*. To clarify, the modal auxiliary *will* in *the wall will collapse* does not denote volition, as the subject is inanimate, yet this meaning is yielded in sentences where the subject is human, such as *I will leave in a minute* where the speaker wants to do something in the future. Another English modal auxiliary is *may* that is derived from the Old English lexical verb *magan* which denotes ability. Specifically, *magan* means to be able to or have the power to (Véiz Campos, 2007). What emphasizes partial desemanticization in this example is that one of the possible uses of the modal *may*, which is permission, is clearly linked to the lexical meaning of *magan*, which is ability. Specifically, it is a common grammaticalization pathway in many natural languages that a lexical source denoting ability can acquire other meanings, such as permission (Bybee, 1985, 1988), and permission in essence comprises the meaning of ability. It can be reinterpreted as follows: someone is able to do something, as s/he is given the opportunity to do it. Another modal auxiliary in English that indicates that partial desemanticization is common is *ought*, which is developed from a verb that means to owe (van der Auwera & Van Olmen, 2019). The semantic relation between the modal *ought* and its lexical source is manifested in their shared

meaning of obligation. Lexical *ought* means that it is obligatory to pay in return for receiving something and the modal *ought* is used with moral obligations and duties, as in *you ought to show respect*.

The inference that partial desemanticization seems the norm in natural languages is self-explanatory, as partial desemanticization often does not deprive grams of all the content of their lexical sources. Otherwise, all the developed grams that serve similar functions, such as modal auxiliaries, will not differ in use, and therefore most of them will be subject to be abandoned by language speakers over time. In contrast, the leakage of some of the content of each lexical source to its developed gram causes grammatical richness. Specifically, two or a few related grams could serve one function, yet each one has its own peculiarities, such as the variation in the use of the English modal auxiliaries mentioned above. Hence, partial desemanticization, which has a vital role in developing new grams in language, can be crucial to the evolution of grammatical subsystems within language.<sup>1</sup>

From a diachronic perspective, the regularity of semantic change and the degree of semantic reduction and expansion while grammaticalizing a function word from a lexical source or another functional element, have gained much attention in the relevant literature (e.g., Givón, 1971; Bybee, 1985; Bybee & Pagliuca, 1985; Traugott, 1982, 1988). Further, some efforts have been made to determine what aspects of lexical content are preserved and what are lost in grams (e.g., Sweetser, 1988). However, investigating how semantic change in the form of reduction leads to the emergence of a grammatical subsystem within a language, as far as I can tell, has received little or even no attention in the relevant literature on grammaticalization. For example, there are some scholarly attempts to diachronically and/or synchronically investigate the development of single instances of English modal verbs (Bybee, 1985). Nonetheless, the scarcity of studies that comprehensively explore the development of the members within a grammatical subsystem of a language, underestimates the importance of partial desemanticization (or conversely the persistence of some lexical content in a developed gram) in the emergence of these grammatical subsystems.

The current study is to highlight the role of partial desemanticization in developing grammatical subsystems within a language. Particularly, it shows that this mechanism paves the way for the grammaticalization of possibility-denoting epistemic modality in northern rural Jordanian Arabic (henceforth NRJA), which comprises the following modal auxiliaries: *bidzuuz*, *jimkin*, *xaaf* and *laa jkuun*. This possibility-denoting epistemic modality relies on the variation in use, which is due to the extra-meanings beyond possibility that some of these auxiliaries convey. Specifically, *bidzuuz* and *jimkin* neutrally denote possibility, whereas others express speaker's attitude. Specifically, *xaaf* expresses worriedness and *laa jkuun* conveys the unlikelihood of the occurrence of an event or the truth of a proposition (i.e., weak possibility). Thus, these modals cannot be used interchangeably except for *bidzuuz* and *jimkin* that equally denote possibility with no attitude. The role of partial desemanticization in the development of this type of modality in NRJA is manifested in the derivation of these four modal auxiliaries from their sources which are often lexical. More specifically, the meaningful content of their sources is not fully bleached out when some of them develop into modal auxiliaries. This implies that the semantic residue of the sources in these modal auxiliaries causes the variation in use, and therefore helps in grammaticalizing possibility-denoting epistemic modality in NRJA.

The rest of this section sets the stage by showing that modality in Arabic gained little attention and having a quick look at the uses of the target four possibility-denoting modal auxiliaries in NRJA.

#### Setting the stage

Epistemic modality is concerned with the degree of speaker's commitment to the truth of a particular proposition following the modal auxiliary (Palmer, 2001; Bybee & Fleischman, 1995). When modal auxiliaries are used epistemically, they indicate the certainty, probability or possibility of a specific proposition based on evidence or previous knowledge. To illustrate, as a reply to 'Where is John?' *must* shows certainty in 'He must/might be in his office', whereas *might* indicates possibility. The use of *must* indicates that the speaker has solid evidence that *John* is in his office (e.g., the speaker knows well that John has some work to finish in his office today). On the other hand, the use of *might* indicates that the speaker suggests that it is possible that John is in his office due to the lack of such evidence. It could be based on the circumstantial evidence that today is a working day. Therefore, *John* is expected to be in his office.

Modality, in general, has gained little attention in the relevant literature on Arabic. Moreover, Arab linguists refrain from proposing that Arabic has explicitly grammaticalized modality, unlike English. One possible reason is that various expressions can express one aspect of modality in Arabic (Hassan, 1990). To illustrate, English *may* that denotes possibility in 'may be at home' can be translated as *jumkinu*, *rubbama* or *qad jakuunu* in Standard Arabic. What also argues against the proposal that Arabic has a system of modality is that there is no (or tiny) difference in use among the lexical expressions that convey a particular aspect of modality. *jumkinu* and all of its alternatives above can be used interchangeably, keeping the meaning constant. Another counterargument is syntactic: more than one syntactic category of a lexical item can be exploited in expressing modality in Arabic, such as the verb *juhtamalu* and its prepositional counterpart PP[P[*mina*] NP[*ʔal-juhtamali*]].

<sup>1</sup> Partial desemanticization has another function. It asserts that the meaning of a gram is not necessarily assigned by the grammar system of a language (i.e., the gram is not necessarily primitive and has no lexical source). Instead, it provides evidence supporting the proposal that a gram inherits its grammatical meaning from the semantics of its lexical source (Bybee, 1988).



This paper focuses on NRJA, a spoken Arabic variety. It argues that it has epistemic modality expressing possibility.<sup>2</sup> More specifically, it has a number of grammaticalized modal auxiliaries expressing possibilities with some variation in use. These grammaticalized modal auxiliaries are *bidzuuz*, *jimkin*, *xaaf* and *laa jkuun*. In this study, the argument for this type of modality is supported by the observation that most of the modal auxiliaries mentioned above are not interchangeable, as they vary in use. To realize the variation in the use of these modal auxiliaries, consider the example in (1). To contextualize, a couple left their house for a short period while their relatives were talking. At the current moment of talking, they are back and are standing at the front door. Speaker 1, the husband, is looking at Speaker 2, his wife, and is showing his astonishment that there is no one in their house. The wife in (1b) can use one of the modal auxiliaries *bidzuuz* or *xaaf* to comment on the truth of the proposition in *they left*. However, they are not interchangeable. The modal *bidzuuz* neutrally shows that the proposition that *they left* is possible. On the other hand, *xaaf* adds some extra meaning expressing speaker's attitude. It indicates that the wife wants to show her *worriedness* that they left. She, maybe, wanted them to stay longer.

- (1) a. Speaker 1: *mif faajif hada b-il-beet*  
 NEG see.GER one in-DEF-house  
 'I see no one in our house.'  
 b. Speaker 2: *bidzuuz/xaaf rawwaahu*  
 may left-3PL.M  
 'They may be, left.'

The second goal of the current study is to investigate the source of this variation in use, more specifically in speaker's attitude. It proposes that the cause of this variation in use is captured by referring to the grammaticalization of these auxiliaries. It is shown that the semantic residue of the source that is preserved in these auxiliaries is the main factor in determining the speaker's intention expressed by some of these auxiliaries. To illustrate, some semantic content of the source item persists in its grammatical counterpart, the modal auxiliary. Thus, partial desemanticization, a mechanism of grammaticalization (Heine, 2003), is the main factor in the emergence of epistemic modality that expresses possibility with various meaningful extensions (i.e., speaker's attitude) in NRJA. On this basis, this study proposes that partial desemanticization is not only a grammaticalization mechanism that applies while creating a new gram, but also a factor that can be crucial to developing a grammatical subsystem in language (e.g., possibility-denoting epistemic modality with variation in use).

This research paper is outlined as follows: Section 2 offers the acceptability judgment task that is structured to determine the denotation and use of each possibility-denoting auxiliary in NRJA. Based on the results of this task and some synchronic properties of the target four auxiliaries, Section 3 shows that most of the target verbs expressing possibility in NRJA differ in use. In the same section, the grammaticalization pathways to the target modal auxiliaries are proposed and the importance of partial desemanticization in forming possibility-denoting epistemic modality with variation in speaker's attitude in NRJA is explicated. Section 4 concludes the paper.

## II. METHOD

To determine whether the target four auxiliaries used by native speakers of NRJA are possibility-denoting epistemic modals with variation in use, a test consisting of 20 items was designed by the researcher, who is a native speaker of NRJA. It was assigned to 20 native speakers of this Jordanian sub-variety (10 males and 10 females). Their ages range from 18 to 52 and they all were raised in the rural areas of the governorate of Irbid in the northwestern part of Jordan.

Participants were asked to evaluate 20 contextless conversational turns to ensure that they could not rely on the context to guess the attitude that each modal expresses. These turns were divided into 4 groups. Every 5 turns are to decide the denotation of one of the target modal auxiliaries, namely *bidzuuz*, *jimkin*, *xaaf*, and *laa jkuun*. The total number of answers is 400 (20 turns x 20 native speakers of NRJA). The turns were randomly presented.

The participants were asked to decide the interpretation of each sentence. Does it neutrally denote possibility or is it paired with one of the following semantic extensions (i.e., speaker's attitudes): speaker's worriedness or speaker's attitude that expresses the unlikelihood of either the occurrence of an event or the truth of a proposition. Based on the intuition of the researcher as a native speaker of NRJA, the native speakers are predicted to treat *bidzuuz* and *jimkin* as neutrally possibility-denoting modals. Concerning the rest, they are predicted to be associated with different attitudes; *xaaf* with worriedness and *laa jkuun* with unlikelihood (of the truth of a proposition or the occurrence of an event).

Consider the contextless conversational turn in (2b), where the target sentence from NRJA that embeds *bidzuuz* is followed by 4 possible *interpretations*. The task of each participant is to select the option that *bidzuuz* expresses. The full list of NRJA turns is provided in the appendix. Option a is expected to be selected if the target sentence embeds *bidzuuz* or *jimkin*.

- (2) a. Speaker 1: *mif faajif hada b-il-beet*  
 NEG see.GER one in-DEF-house  
 'I see no one in our house.'  
 b. Speaker 2: *bidzuuz rawwaahu*

<sup>2</sup> Modal auxiliaries that denote certainty and probability are out of the scope of the present paper.

may left-3PL.M  
 ‘They may be, left.’

- (a) It is possible that people left.  
 (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened.  
 (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.

Option b should be chosen if the target sentence hosts *xaaf*. Concerning Option c, it should be selected when the target sentence hosts *laa jkuun*.

### III. THE GRAMMATICALIZATION OF POSSIBILITY-DENOTING MODALITY IN NORTHERN RURAL JORDANIAN ARABIC

The results of the acceptability judgment task indicate that the initial predictions provided at the end of Section 2 are borne out. First, all the participants invariably selected Option a when the target sentence embeds *bidzuuz* or *jimkin*. Likewise, Option b is constantly selected when the host sentence contains *xaaf*. These results assert that *bidzuuz* and *jimkin* neutrally denote possibility, whereas *xaaf* denotes possibility paired with worriedness. Regarding *laa jkuun*, Option c was selected 92 times (out of 100) when this item is used. Three participants selected Option a as the correct interpretation of 8 sentences containing *laa jkuun*: one male participant chose Option a one time, one female participant chose the same Option a 2 times, and the last female informant selected Option a as the optimal interpretation for all the five sentences. These 8 answers may mean that it is possible that *laa jkuun* can sometimes be used or interpreted by some native speakers as a neutral indicator of possibility. However, the selection of Option c as the best interpretation 92 times clearly indicates that *laa jkuun* is often paired with the intention of unlikelihood in NRJA.

Based on the findings of the acceptability judgment task and the main characteristics of the target modal auxiliaries, it is argued in the rest of this section that they are possibility-denoting modal auxiliaries developed from different sources (mainly lexical) in NRJA with different meaningful extensions, namely neutrality, worriedness and unlikelihood.

All the examples from NRJA in this section were composed by the researcher and their grammaticality and acceptability were judged by 6 native speakers of NRJA (3 males and 3 females) who did not participate in the previous acceptability judgment task. Their ages range from 24 to 46.

#### A. Possibility-Denoting *Bidzuuz* and *Jimkin*

In this part, it is argued that *bidzuuz* and *jimkin* develop into modal verbs that indicate possibility in NRJA. Their grammaticalization pathway is *permission-denoting verb* → *possibility-denoting modal auxiliary*. This pathway is attested in natural languages, such as *may* in English and some modal verbs in Brazilian Portuguese (Bybee, 1985; Hattner & Hengeveld, 2016).

To visualize the grammaticalization of the two modal auxiliaries *bidzuuz* and *jimkin*, their lexical sources should be investigated first. Lexical *bidzuuz* means ‘is allowed’. As for the lexical *jimkin*, it is formed from the tri-consonantal root *mkn* whose semantic core is ability. Thus, the evolution of the functional *jimkin* is analogous to that of the English modal verb *may*, which is derived from *magan* ‘to be able to’ or ‘to have the power to’ (Véliz Campos, 2007).

The first piece of evidence arguing with the grammaticalization of these two modals (i.e., they are grams with lexical sources) is that their lexical counterparts did not evolve into modal auxiliaries in all Arabic varieties. Standard Arabic, for example, has the two lexical items but lacks the epistemic modal counterparts. Consider the sentence in (3) which is unattested in Standard Arabic, as *jadzuuz* and *jumkin* in this Arabic variety cannot be used to denote possibility.

- (3) \**jadzuuz-u/jumkin-u inna-hum saafar-u*  
 allowed-NOM/is possible-NOM COMPL.-3PL.Mtravel-3PL.M  
 Intended: ‘They may be traveled.’

Exceptionally, *jumkin* can be used in Standard Arabic to denote general epistemic possibility if it is based on scientific evidence (i.e., undeniable facts), as in (4). This observation implies that *jumkin* is evolved to an epistemic modal denoting general possibility that could only refer to scientific facts; however, it does not develop further into a possibility-denoting modal that may be paired with different events, actions and propositions. Note here that the grammaticalization pathway *general epistemic possibility* → *possibility-denoting epistemic modal auxiliary* is a common grammaticalization pathway in natural languages, as reported in Bybee (1985, 1988) and Bybee et al. (1991). This common pathway indicates that further grammaticalization of *jumkin* occurred in NRJA but not in Standard Arabic.

- (4) *jumkin-u ?an jas<sup>s</sup>da? ?al-hadiid*  
 May-NOM COMP. rust.3SG.M DEF-iron  
 ‘Iron may rust.’

The mechanisms of the grammaticalization of *bijuuz* (but not *jimkin*) in NRJA can straightforwardly be synchronically diagnosed. The first mechanism pertaining to the grammaticalization of *bijuuz* is decategorization, which is the shift from a major category to a minor category that causes the loss of some or all characterizing properties of the lexical source (Hopper & Traugott, 1993; Heine, 2003; Heine & Kuteva, 2002).

To explain the shift to the grammatical domain, the semantic, syntactic and morphological changes are identified below.

The lexical *bijuuz*, which denotes permission, acts as the predicate nucleus of a phrase and selects arguments. In (5), for instance, it is the predicate of the sentence and takes *?is-safar* as its external argument. It also selects the prepositional phrase *la-ħmad* as its complement.

- (5) a. *?is-safar*      *bidzuuz*      *la-ħmad*  
 DEF-travelling    allowed.3SG.M    to-Ahmad.  
 ‘Ahmad is allowed to travel.’

Furthermore, lexical *bijuuz* must get inflected for the phi-features of its subject. In (6), it agrees with the feminine subject *?il-binit* in gender. The omission of the feminine *-t-* in *bitdzuuz*, for instance, will render the sentence in (6) ungrammatical.

- (6) *?il-binit* *bi\*(t)dzuuz*      *la-?ibin*      *ħamm-ha*  
 DEF-girl allowed.3SG.F    to-son      uncle-3SG.F.POSS  
 ‘The girl is allowed to be married to her cousin.’

In contrast, the possibility-denoting modal auxiliary *bidzuuz* cannot act as the predicate of a sentence and does not get inflected for phi-features. Because of de-inflectionalization, it is invariably in masculine 3<sup>rd</sup> person singular form. In (7), for example, the lexical verb *tsaafir* ‘travel’ is the predicate of the sentence, not the modal verb *bidzuuz*. Further, *bidzuuz* cannot establish agreement with the subject. Instead, the main verb *tsaafir* carries out this task. It is marked as feminine to agree with the feminine subject.

- (7) *zeena*      *bidzuuz*      *tsaafir*  
 Zeina      may      F-travel.3SG  
 ‘Zeina may travel.’

The difference between the sentence in (6) and that in (7) also emphasizes that *bidzuuz* underwent syntactic reanalysis, which is one of the signs or sub-processes of grammaticalization (see Heine, 2003; Heine & Kuteva, 2007). In the present context, it means that when a lexical verb evolves into an auxiliary, it is raised to up from the lexical domain to the functional domain (e.g., little *v* or higher) in the syntactic structure, and therefore is expected to be morpho-syntactically invariable.

To wrap up, the previous discussion supports the directionality of the grammaticalization of *bidzuuz* from a lexical verb denoting permission to a possibility-denoting modal auxiliary.

Regarding *jimkin*, the current form of NRJA does not support its lexical nature, as *jimkin* with a lexical component does not (or no longer) exist in this variety. It cannot denote ability or permission. Instead, the passive participle form *mumkin*, which is derived from *jimkin*, can be used to denote permission. Consider the example in (8):

- (8) *mumkin* *tihki*  
 allowed talk.2SG.M  
 ‘You may talk.’

Notwithstanding the absence of clear synchronic evidence to the grammaticalization of possibility-denoting modal *jimkin* from an ability and permission-denoting source, this grammaticalization pathway is intuitive, as it has been observed in other languages, such as the evolution of the possibility-denoting modal *may* from ability-denoting *may* that first developed a new function, which is permission, before possibility in English. Further, the example in (8) asserts that the root *mkn* in NRJA involves the meaning of permission.

Similar to *bijuuz*, *jimkin* is an epistemic modal auxiliary, as it cannot act as the predicate in a sentence, cannot be inflected, and therefore it cannot establish agreement with the subject in phi-features. Consider the sentences in (9) where *jimkin* is inflectionally invariable although the subject is feminine singular in (9a) and masculine plural in (9b). Instead, the main verbs *tsaafir* and *ijsaafar-u* are the members that got inflected for number, person and gender to establish agreement with their subjects.

- (9) a. *zeena*      *jimkin*      *tsaafir*  
 Zeina      may      F-travel.3SG  
 ‘Zeina may travel.’  
 b. *dziiraan-na*      *jimkin*      *ijsaafar-u*  
 neighbours-1PL.POSS      may      travel.3PL.M  
 ‘Our neighbours may travel.’

Based on the previous discussion, partial desemanticization unsurprisingly plays a role in the development of a permission-denoting verb into a possibility-denoting epistemic modal auxiliary in NRJA. To illustrate, both modal auxiliaries neutrally denote possibility. This neutrality springs from the meaning of the sources of these two modal auxiliaries which is permission. The meaning of permission of the source verbs developed into possibility in their modal counterparts and no lexical remainder is left to seep into the newly developed modal auxiliaries. This can be regarded as the partial transfer of some of the meaningful content of permission. When somebody is given the permission to do something, s/he is told that an action is possible. This means that permission entails possibility but not vice versa (i.e., permission embeds possibility). This entailment is yielded, as it cannot be imagined that the one who gives permission to do a certain action, believes that this action is impossible. This entailment asserts that part of the meaningful content of the lexical source is preserved in its modal. More specifically, possibility, which is a requirement of permission, is maintained in the modal.

Below, it is shown that partial semantic desemanticization has a deeper influence while grammaticalizing the modal auxiliaries *xaaf* and *laa jkuun* in NRJA. The rest of this section investigates the grammaticalization pathways of these two modal auxiliaries and their synchronic diagnostics and shows that possibility is not the only meaning that exists in these modal auxiliaries, as the former expresses worriedness and the latter expresses unlikelihood beside possibility. The significant role of desemanticization in the grammaticalization of these two modal auxiliaries lies in preserving some of the meaningful residues of the sources of these modals. Particularly, part of the meaning of fear of the source *xaaf* is preserved in the modal *xaaf*. The meaning of fear embeds worriedness but not vice versa. Likewise, part of the meaning of negation of the negative particle *laa* is maintained in the modal *laa jkuun*, as negation entails unlikelihood but not vice versa.

### B. *Xaaf*

Since possibility-denoting *xaaf* has also a lexical counterpart, it is argued in this part that the lexical verb *xaaf* is grammaticalized into a modal verb in NRJA. Its grammaticalization pathway is *verb that means fear* → *possibility-denoting modal auxiliary*. It is worth highlighting that this pathway has not been previously reported in the literature on the grammaticalization of modal auxiliaries, to the best of the researcher's knowledge.

The mechanisms of the grammaticalization of the lexical *xaaf* into a modal auxiliary in NRJA are supported by synchronic evidence. It undergoes decategorization (and syntactic reanalysis), as the modal *xaaf* cannot act as the predicate nucleus of a phrase and cannot select arguments, unlike the lexical *xaaf*. In (10a), the lexical *xaaf* is the predicate and selects its external argument. On the contrary, the modal auxiliary *xaaf* in (10b) is not a predicate. Instead, the main verb *jigaʕ* in (10b) is the predicate. What also supports the decategorization of *xaaf* is that it lost its ability to get inflected. In (10a), the lexical *xaaf* is obligatorily inflected as feminine to agree with the feminine subject. In contrast, the modal auxiliary *xaaf* in (10b) does not exhibit any inflectional properties (i.e., it is maintained as it is), whereas the main verb *tigaʕ* is determined as feminine to agree with the feminine *ʔil-binit*.

- (10) a. *ʔumm-u bitxaaf ʔal-ee*  
 mother.3SG.M.POSS fear.3SG.F on-3SG.M  
 'His mother fears for him.'  
 b. *xaaf tigaʕ ʔil-binit*  
 may fall.3SG.F DEF-girl  
 'The girl may fall, I am afraid.'

Another example on lexical *xaaf* and modal *xaaf* distinction is provided in (11). Speaker 1, the mother, in (11c) uses the modal auxiliary *xaaf* to show her worries that her son is not in a safe place. In this example, the modal *xaaf* does not establish full agreement with the subject (the speaker). In other words, the form of this modal auxiliary is invariable. It remains in 3<sup>rd</sup> person masculine form although the subject is feminine.

- (11) Context: a mother (Speaker 1) is afraid that her son is in danger. She is talking with one of her sons (Speaker 2):  
 a. Speaker 1: *ween ʔaxuu-k ʔil-zʕayiiir*  
 where brother-2SG.M DEF-little  
 'Where is your younger brother?'  
 b. Speaker 2: *maa baʕrif*  
 NEG know.1SG  
 'I do not know.'  
 c. Speaker 1: *xaaf jruuħ ʕind ʔil-biir*  
 feared.3SG.M go.3SG.M at DEF-well  
 'He might go to the well!'

On the contrary, *xaaf* in (12) is a lexical verb, as it establishes full agreement in number, person and gender with the subject *ʔumm* 'mother' in (12a) and with *ʔahl* 'family' in (12b):

- (12) a. *ʔumm-i xaaf-at jruuħ ʕind ʔil-biir*  
 Mother-3SG.POSS feared-3SG.F go.3SG.M at DEF-well  
 'My mother is afraid that he might go to the well!'  
 b. *ʔahl-i xaaf-u jruuħ ʕind ʔil-biir*  
 family-3SG.POSS feared-3PL.M go.3SG.M at/near DEF-well  
 'My family (members) are afraid that he might go to the well!'

The previous discussion implies that the possibility-denoting modal auxiliary *xaaf* is the grammaticalized form of the lexical verb *xaaf* 'fear'. It also emphasizes that the impact of partial desemanticization in developing the modal auxiliary *xaaf* is obvious, as it partially maintains the lexical meaning of fear in this modal, resulting in a possibility-denoting epistemic modal that expresses speaker's attitude of worriedness. What asserts that worriedness is a residue of the meaning of fear is that fear, which is a feeling, is expected to embed the feeling of worriedness. Fear entails the existence of worriedness but not vice versa. The mental state of being worried may lead to developing fear, maybe, because of overthinking, for example. Hence, worriedness could be an initial stage that can develop the feeling of fear. The opposite direction seems counterintuitive albeit possible, which is accidentally developing the feeling of fear, and then finding out the cause of this feeling and worrying about it.

### C. *Laa Jkuun*

Another possibility-denoting modal auxiliary is *laa jkuun*. The pathway proposed for this auxiliary is *negation particle + copula* → *possibility-denoting modal auxiliary*. The negation particle *laa* is typically to denote negative imperatives in NRJA, as in *laa tihki* NEG. talk.2SG.M ‘Don’t talk!’ Concerning the copular *jkuun*, or any of its morphological variants, it occurs in equational sentences, as in (13).<sup>3</sup>

- (13) *ha ða ?iz-zalamah bikuun ?axuuʒ*  
 This DEF-man is brother-1SG.POSS  
 ‘This man is my brother.’

It should be noted at this point that the negative particle is a gram and the copula is closer to the grammatical domain than the lexical one. The lexical trace of the copula can be easily detected. The copula evolved from the existential verb *jkuun*, which is very similar to the existential verb *be* in English. This implies that the full version of the pathway above involves two stages, as follows: (1) *existential verb* → *copula* (2) *negative particle + copula* → *possibility-denoting modal auxiliary*.

Before presenting the morphosyntactic properties that support the grammaticalization of a modal auxiliary from the *negative particle + copula* sequence, the use of this possibility-denoting modal auxiliary is investigated. It is typically exploited when other alternatives (possibilities) have been suggested and all of them do not work (or do not fit). In other words, it is used when the suggested alternative or possibility is unlikely (off the table). Consider the example in (14) where a husband asks his wife about the keys. In (14b), she uses *bidzuuz* to suggest the first possible alternative (i.e., place) where the husband may find his keys, which are *on the table*. In (14d), she offers another alternative, which is *on T.V*. Finally, she uses *laa jkuun* to suggest the unlikely alternative: *leaving the keys in the door lock*. This alternative is the one that does not pop up early in the speaker’s mind.

(14) Context: A husband (Speaker 1) asks his wife (Speaker 2) about the keys.

- a. speaker 1: *hada faaf ?il-mafaatiih*  
 one saw.3SGM DEF-keys  
 ‘Did anybody see the keys?’
- b. Speaker 2: *bidzuuz ʔ-atʔ-tʔaawleh*  
 may on-DEF-table  
 ‘It may be on the table.’
- c. Speaker 1: *laa, miʔʔ-atʔ-tʔaawleh*  
 NEG, not on-DEF-table  
 ‘No, it is not on the table.’
- d. Speaker 2: *tʔab fuufuh foog it-tilfizjoon*  
 ok see over DEF-T.V  
 ‘Then, check whether it is on T.V.’
- e. Speaker 1: *wa-la foog it-tilfizjoon*  
 and-NEG. over DEF-T.V  
 ‘It is not even on T.V.’
- f. Speaker 2: *laa jkuun b-il-baab*  
 NEG. be.3SGM in-DEF-door  
 ‘May be, you left the keys in the door lock.’

Another context where *laa jkuun* indicates that a certain possibility is weak or unlikely to happen is in (15). Speaker 1 in (15a) is wondering what happened to his friend, Sami. Speaker 2 in (15b) uses *bidzuuz* to show that it is possible that Sami is sick, and Speaker 3 excludes this possibility in (15c). In (15d), Speaker 1 suggests an unlikely possibility.

- (15) a. Speaker 1: *maa bafuuf sami b-il-dzamʕah*  
 NEG. see.1SG Sami in-DEF-university  
 ‘I do not see Sami at school these days.’
- b. Speaker 2: *bidzuuz inn-o mariið*  
 may COMP.-3SG.M sick  
 ‘He may be sick.’
- c. Speaker 3: *laa, maa ?atwaqqaʕ. mbaarih lamahtu b-il-balad*  
 NEG, NEG expect.1SG yesterday glimpsed-3SG.M in-DEF-town  
 ‘I do not think so. I glimpsed him downtown yesterday.’
- d. Speaker 1: *laa jkuun tarak ?il-dzamʕah*  
 NEG. be.3SG.M.PRES left.3SG.M DEF-university  
 ‘He may have left school.’

Consider the third example provided in (16). The interlocutors think that the proposition that *their friend will pass Tawjihi* (secondary school exams) is not expected (or not even possible). Therefore, Speaker 2 uses *laa jkuun* to express his astonishment towards the possibility that their friend has passed his exams.

<sup>3</sup> The copular operator in predicational sentences in NRJA is typically null.

- (16) a. speaker 1: *fii hafleh bi-daar s'aahib-na*  
 there party in-house friend-1PL  
 'They have a party in our friend's house.'  
 b. Speaker 2: *laa jkuun nidzih b-it-tawdzihi*  
 may succeeded.3SG.M in-DEF-Tawjihi  
 'He may have passed Tawjihi!'

Hence, the use of *laa jkuun* in contexts where propositions are expected to be true or when actions or events are predicted to occur (or have occurred), is semantically awkward. For example, if passing Tawjihi is expected in (16), the use of *laa jkuun* is meaningfully odd.

Back to morphosyntactic evidence, what argues with the grammaticalization of the modal *laa jkuun* in NRJA is the decategorization of the copula *jkuun*. For example, *jkuun* in (16b) is not copular, as it is followed by the main verb *nidzih*. This means that *jkuun* does not link between two referring expressions in an equational sentence. Therefore, *laa jkuun* is a possibility-denoting modal expression in (16b). However, the decategorization of the copular verb is not paired with obligatory de-inflectionalization: the modal *laa jkuun* is optionally inflectionally sensitive. As shown in (17), it is optional that the modal *laa jkuun* agrees with the semantic features of the subject. This implies that the grammaticalization of the modal auxiliary *laa jkuun* has not reached the endpoint of the pathway yet, which is reached by obligatorification (see Lehmann, 1995). Specifically, the inflectionally invariable form *laa jkuun* is not yet the obligatory form of this modal auxiliary.

- (17) a. *laa jkuun badd-ha t-saafir*  
 AUX want-3SG.F 3SG.F-travel  
 b. *laa tkuun badd-ha tsaafir*  
 AUX.F want-3SG.F 3SG.F-travel  
 'She may want to travel.'

To wrap up, the grammaticalized *laa jkuun* is possibility-denoting modal auxiliary that expresses the speaker's attitude of the unlikelihood of the truth of a certain proposition or the occurrence of an event or action (i.e., weak possibility).<sup>4</sup> Similar to the modal *xaaf*, the case of *laa jkuun* points to the importance of partial desemanticization in the development of a modal auxiliary with a specific semantic extension. It indicates that the speaker is suspicious and thinks that the truth condition of a proposition or the occurrence of an event is unlikely. This is more likely inherited from the meaning of negation in the source of this modal. To illustrate, the negative meaning of the particle *laa* is partially shipped to the developed modal auxiliary *laa jkuun*. This is obvious in the developed modal as it weakly attempts to negate the truth of a proposition or the occurrence of an event.<sup>5</sup> This means that the strong negation function of the negative particle *laa* is weakened by partial desemanticization in the developed modal *laa jkuun*. Thus, the meaning of unlikelihood of the modal *laa jkuun* is derived from the meaning of negation.

#### IV. CONCLUSION

This paper has proposed that NRJA has possibility-denoting epistemic modality comprising the following auxiliaries: *bidzuuz*, *jimkin*, *xaaf* and *laa jkuun*. It has also highlighted the importance of partial desemanticization as the factor that determines the variation in the use of these modal auxiliaries. Specifically, *bidzuuz* and *jimkin* are neutrally exploited to express possibility. This neutrality springs from the meaning of the sources of these two modal auxiliaries which is permission. The meaning of permission in the source verbs developed into possibility in their modal counterparts and no lexical remainder is left to seep into the newly developed modal auxiliaries. This can be regarded as the partial transfer of some of the meaningful content of permission. When somebody is given permission to do something, s/he is told that an action is possible. Thus, possibility is embedded in permission (i.e., it is one of its prerequisites). Concerning the other two modals, they have other meaningful extensions beside possibility. *xaaf* expresses speaker's worriedness and *laa jkuun* indicates the unlikelihood of the truth of a proposition or the occurrence of an event. It has been demonstrated that this variation in the use of these two modals is a consequence of maintaining some of the meaning of the source words in these modals. The meaning of fear is partially preserved in the modal *xaaf* which expresses worriedness, and the meaning of negation is also partially maintained in the modal *laa jkuun* which expresses unlikelihood. Worriedness can be reinterpreted as the cause, the initial stage, or a weak form of fear. Likewise, unlikelihood can be reinterpreted as the weak form of the negation of the truth of a proposition or the occurrence of an event.

<sup>4</sup> Interestingly, none of the previously introduced modal auxiliaries in JA undergoes phonetic reduction, which is one of the mechanisms that could be taken as phonetic evidence to grammaticalization.

<sup>5</sup> It is worth noting here that this variety has another possibility-denoting modal which is *belki*. It has the semantic extension of hopefulness (i.e., the speaker uses it to express his hopefulness that a certain proposition is true or an event occurs or occurred). However, this modal is out of the scope of this study, as it is commonly believed that it is a loan word from Turkish.

## APPENDIX

TABLE 1  
FIVE CONTEXTLESS CONVERSATIONAL TURNS EMBEDDING *Bidzuuz*

1.	<p>Speaker 1: <i>mif' faajif' hada b-il-beet</i> NEG see.GER one in-DEF-house 'I see no one in our house.'</p> <p>Speaker 2: <i>bidzuuz rawwahu</i> may left-3PL.M 'They maybe, left.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
2.	<p>Speaker 1: <i>ween ?il-miftaah</i> where DEF-key 'Where is the key?'</p> <p>Speaker 2: <i>bidzuuz jkuun b-il-baab</i> may be.3SG.M in-DEF-door 'It maybe in the door.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
3.	<p>Speaker 1: <i>hada faaf' ?ali</i> one saw.3SGM Ali 'Did anyone see Ali?'</p> <p>Speaker 2: <i>bidzuuz ?ilf</i> may left.3SG.M 'He may have left.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
4.	<p>Speaker 1: <i>miin rah' j?all' hoon</i> who will stay.3SG.M here 'who will stay here?'</p> <p>Speaker 2: <i>bidzuuz ihmad j?all</i> may Ahmad stay.3SG.M 'Ahmad may stay.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
5.	<p>Speaker 1: <i>mata rah' tii'la? ?il-?alaamaat</i> when will F.show up DEF-marks 'When will the marks appear?'</p> <p>Speaker 2: <i>bidzuuz t-i'la? il-joom</i> may F-show-up DEF-today (a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>

TABLE 2  
FIVE CONTEXTLESS CONVERSATIONAL TURNS EMBEDDING *Jimkin*

1.	<p>Speaker 1: <i>mif faajif hada b-il-beet</i> neg see.GER one in-DEF-house 'I see no one in our house.'</p> <p>Speaker 2: <i>jimkin rawwahu</i> may left-3PL.M 'They may be, left.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
2.	<p>Speaker 1: <i>ween ?il-miftaah</i> where DEF-key 'Where is the key?'</p> <p>Speaker 2: <i>jimkin jkuun b-il-baab</i> may be.3SG.M in-DEF-door 'It may be in the door.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
3.	<p>Speaker 1: <i>hada faaf ?ali</i> one saw.3SGM Ali 'Did anyone see Ali?'</p> <p>Speaker 2: <i>jimkin t'il?</i> may left.3SG.M 'He may have left.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
4.	<p>Speaker 1: <i>min rah j?all hoon</i> who will stay.3SG.M here 'who will stay here?'</p> <p>Speaker 2: <i>jimkin ihmad j?all</i> may Ahmad stay.3SG.M 'Ahmad may stay.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
5.	<p>Speaker 1: <i>mata rah t'il?as ?il-?alaamaat</i> when will F.show up DEF-marks 'When will the marks appear?'</p> <p>Speaker 2: <i>jimkin t-il?as il-joom</i> may F-show-up DEF-today 'They may appear today.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>



TABLE 3  
FIVE CONTEXTLESS CONVERSATIONAL TURNS EMBEDDING *Xaaf*

1.	<p>Speaker 1: <i>mif faajif hada b-il-beet</i> NEG see.GER one in-DEF-house 'I see no one in our house.'</p> <p>Speaker 2: <i>xaaf rawwahu-u</i> may left-3PL.M 'They may be, left.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
2.	<p>Speaker 1: <i>ween ?il-miftaah</i> where DEF-key 'Where is the key?'</p> <p>Speaker 2: <i>xaaf jkuun b-il-baab</i> may be.3SG.M in-DEF-door 'It may be in the door.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
3.	<p>Speaker 1: <i>hada faaf ?ali</i> one saw.3SGM Ali 'Did anyone see Ali?'</p> <p>Speaker 2: <i>xaaf t'ilf</i> may left.3SG.M 'they may have left.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
4.	<p>Speaker 1: <i>min rah jð'all hoon</i> who will stay.3SG.M here 'who will stay here?'</p> <p>Speaker 2: <i>xaaf ihmad jð'all</i> may Ahmad stay.3SG.M 'Ahmad may stay.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
5.	<p>Speaker 1: <i>mata rah t'il'la? ?il-?alaamaat</i> when will F.show up DEF-marks 'When will the marks appear?'</p> <p>Speaker 2: <i>xaaf t-it'la? il-joom</i> may F-show-up DEF-today 'They may appear today.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>

TABLE 4  
FIVE CONTEXTLESS CONVERSATIONAL TURNS EMBEDDING *Laa Jkuun*

1.	<p>Speaker 1: <i>mif faajif hada b-il-beet</i> NEG see.GER one in-DEF-house 'I see no one in our house.'</p> <p>Speaker 2: <i>xaafrawwahu</i> may left-3PL.M 'They may be, left.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
2.	<p>Speaker 1: <i>ween ?il-miftaah</i> where DEF-key 'Where is the key?'</p> <p>Speaker 2: <i>xaaf jkuun b-il-baab</i> may be.3SG.M in-DEF-door 'It may be in the door.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>
3.	<p>Speaker 1: <i>hada faaf ?ali</i> one saw.3SGM Ali 'Did anyone see Ali?'</p> <p>Speaker 2: <i>xaaf ?il?</i> may left.3SG.M 'He may have left.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
4.	<p>Speaker 1: <i>miin rah j?all hoon</i> who will stay.3SG.M here 'who will stay here?'</p> <p>Speaker 2: <i>xaaf ihmada j?all</i> may Ahmad stay.3SG.M 'Ahmad may stay.'</p> <p>(a) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (b) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely. (c) It is possible that people left, and the speaker hopes that the event has occurred.</p>
5.	<p>Speaker 1: <i>mata rah tir'la? ?il-?alaamaat</i> when will F.show up DEF-marks 'When will the marks appear?'</p> <p>Speaker 2: <i>xaaf tir'la? il-joom</i> may F-show-up DEF-today 'They may appear today.'</p> <p>(a) It is possible that people left. (b) It is possible that people left, and the speaker is trying to show her worriedness that the event has happened. (c) It is possible that people left, but the speaker thinks the occurrence of the event of leaving is unlikely.</p>

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# Silent Letters in the Balinese Script *Adeg Adeg*: A Graphetic and Graphematic Feature Analysis

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



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**Abstract**—The concept of “silent letters” relates to graphic symbols that are not pronounced or that do not have mapping with a specific linguistic unit. In the context of processing the mapping of sequences of linguistic units to writing, this concept often results in ambiguity. The Balinese script, which refers to a silent letter, appears in a basic shape  *adeg adeg*. Scholars of Balinese script define *adeg adeg* as a process to eliminate characters (Akshara's), resulting in consonants without inherent vowels. This explanation is very metaphorical, ambiguous, and not based on adequate terms to describe graphetic and graphematic features that are related to mappings between graphic unit sequences and linguistic unit sequences. Balinese script  *adeg adeg* as primary data comes from the 16.162 lemma in the Balinese dictionary - Indonesian with Latin and Balinese script. *Adeg adeg* is analyzed both graphically and graphematically to identify its characteristics, with the stages of analysis adapted from the Multimodular Model of Writing System proposed by Meletis (2018). Graphetic analysis shows that the *adeg adeg* is identified as basic shapes  with three salient graphetic features: -recodability, -paired variants, and +additive. Graphematically, *adeg-adeg* is defined as a grapheme < with the following features: +lexical distinctiveness, +linguistic value, and +minimality. The clarity of graphetic and graphematic characteristics significantly contributes to a more comprehensive and transparent cognitive-linguistic mechanism depiction, especially in deciphering writing systems based on Akshara's highly complex characteristics.

**Index Terms**—silent letters, Balinese script, graphetic, graphematic

## I. INTRODUCTION

The contrast between spoken and written language is related to the differences in sensory perception involved in the process of reducing it. Klima (1972) introduced the term “language by ear and by eye” as an indication of this difference. The process of reducing language to writing is complex because it involves a mapping system between linguistic units and written units (Hanna et al., 1966; Pike, 1956). The systematic mapping problem (speech-to-text vs text-to-speech) has recently become a hot topic and a crucial issue in cross-script system studies and their applications in computational linguistic research (Divay & Vitale, 1997; Ehri, 2014; Fry, 2004; Pandey, 2014; Sproat, 2000; Tarsaku et al., 2001; Vadasy & Sanders, 2021).

Systematic mapping is closely related to several ideas in the study of writing systems, such as the relativity of writing systems (Pae, 2020; Pae & Wang, 2022), the degree of orthographic transparency (Protopapas & Vlahou, 2009), the orthography dichotomy of deep versus shallow based on the transparency of the correspondence between writing and phonology (Katz & Feldman, 1983; Klima, 1972; Liberman et al., 1980; Lukatela et al., 1980), the orthographic depth hypothesis (ODH) (Besner & Smith, 1992; Frost et al., 1987), and extensive orthography (Nag et al., 2010; Vaid & Gupta, 2002). All of these ideas converge on the conclusion that systematic mapping between linguistic units and written units (including the smallest grain size in sub-syllables, such as onset, coda, and mora) has an impact on reading and writing performance (Nag, 2014; Spencer, 2007).

One of the concepts in the mapping of linguistic units to written units that often causes ambiguity is the concept of “silent letter” (Apriani, 2016; Fedorova, 2013; Maulina, 2013; Protopapas & Vlahou, 2009; Pusfarani et al., 2021; Sukreni Riawati et al., 2021). This concept was originally introduced by Pike (1956). The term “silent letter” relates to graphic symbols that are not pronounced or do not have a mapping with a specific linguistic unit (Koda, 2007). The presence of silent letters poses a challenge in learning orthography because there is a mismatch between orthography and phonology relations (Sircar & Nag, 2014; Ziegler et al., 2010).

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The phenomenon that refers to the concept of “silent letter” has appeared in a number of operational technical terms and is defined very differently in several writing systems around the world. For example, in Abugidas writing systems based on Akshara’s or also called Alphasyllabaries (cf. Bright, 1996; Daniels, 1996), terms such as the following appear: the term “*halanta*” (Hindi) with basic shape |◌| refers to a subscript diacritic that does not have a mapping with a specific linguistic unit, indicating “the absence of an inherent vowel” (Pandey, 2014); the term “*tsec*” or also called “hanging dot” with basic shape |...·| (Tibetan) refers to a diacritic subscript that does not have a mapping with a specific linguistic unit. It functions to remove the inherent vowel attached to a consonant or C without a vowel (Fedorova, 2013); the term “*pangkon*” with basic shape |...<sup>᳚</sup>| (Javanese) refers to a diacritic subscript that does not have a mapping with a specific linguistic unit. It functions to present a dead consonant or a closing in a syllable or *panyigeging wanda* (Darusuprta et al., 2002); the term “*pat éi*” or “*pama éi*” with basic shape |...<sup>᳚</sup>| (Sundanese) refers to a diacritic subscript that does not have a mapping with a specific linguistic unit. It functions to remove the inherent vowel /a/ attached to the main consonant or *ngalangen* so that it becomes dead (Baidilah, 2008).

The Balinese script writing system, which is a derivative of the Abugida writing system, also has a term that refers to the concept of silent letters. This term is known as ‘*adeg adeg*’ with basic shape |◌̘| (Unicode character: U+1B44). *Adeg adeg* (◌̘) is a diacritical sign or character *pangangge* (cf. the term “garment” by Fedorova, 2013) that is grouped into *pangangge tengenan* (Medera et al., 2003; Simpen AB, 1979; Tinggen, 1994). According to three Balinese script experts, the *adeg adeg* function serves to “kill” (eliminate) the vowels in Akshara’s, resulting in consonants without inherent vowels, known as *nengen*. However, this explanation is metaphorical, ambiguous, and does not use adequate terms to describe the systematic mappings between graphic unit sequence and linguistic unit sequence. Based on these reasons, it is very important to conduct research that can explain and describe the characteristics of silent letters *adeg adeg* |◌̘| in the Balinese script writing system, especially studies that are based on adequate terms to describe systematic mappings between graphic unit sequence and linguistic unit sequence that are universal across writing systems.

The analysis of graphetic and graphematic features (as a main module of the Modular Theory of Writing Systems) is a methodological framework that can identify the systematic characteristics and mappings of basic shapes as graphemes, which are the basic units of writing systems related to the presentation of visual units and their connection with linguistic units (Meletis, 2018; Neef, 2012, 2015). Clarity of systematic characteristics and mapping significantly contributes to a more comprehensive and transparent cognitive-linguistic mechanism depiction, especially in deciphering writing systems based on Akshara’s that have highly complex characteristics, such as non-linear symbol arrangements (Sproat, 2000; Vaid & Gupta, 2002; Winskel & Perea, 2014), unmarked and inherent symbol features (Bhide et al., 2014; Nag, 2007), and visually complex symbol sets (Joyce & Meletis, 2021; Nag, 2014).

## II. STRUCTURE OF WRITING SYSTEMS

### A. Modular Theory of Writing Systems

In the field of grapholinguistics, it is imperative to establish a model that comprehensively outlines the structure and functioning of writing systems. A profound understanding of the organizational principles of writing systems is essential for effectively formulating and exploring grapholinguistic inquiries. However, this perspective has not always been universally embraced, and a significant portion of writing systems research often neglects to elucidate the underlying model or theory on which it is predicated. This oversight could be attributed to the absence of a foundational model or theory in much of the research (Neef, 2012, 2015). Modular Theory of Writing Systems serves as the foundational framework for this model, aiming to delineate the subsystems, or modules, that constitute writing systems. Figure 1 illustrates a modified version of this model from Meletis (2018, p. 61), featuring language systems, graphetics, and graphematics as obligatory modules, with orthography as an optional module within writing systems.

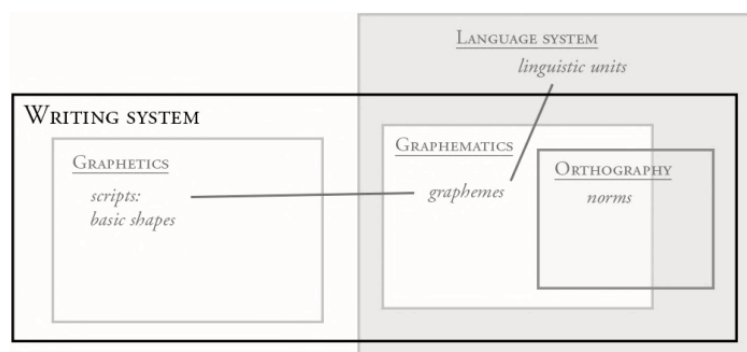


Figure 1. Multimodular Model of Writing Systems Adaptation

#### (a). Language System

The initial component of a writing system is the language system, which serves as the basis for its operation as a sign system based on language (Neef, 2012, 2015). Modular Theory divides each language system into two parts: grammar and lexicon. Grammar encompasses the regular aspects of a language, including phonology, morphology, semantics, and syntax. In contrast, the lexicon encompasses all the irregular properties of the same language and defines morphemes as the arbitrary associations of forms and meanings.

(b). *Graphetic*

Before delving into more abstract script ideas, it is essential to ascertain the status of concrete molds on paper that can be visually observed. In the study of grapholinguistics, graphetics refers to the forms or materialization of primary forms (and their names) in a writing system related to specific linguistic units (Neef, 2012). The central unit in this module in abstract form is called basic shape, and its concrete realization is called a graph. Basic shapes are material but sometimes abstract, representing the set of visual features needed to visually distinguish shapes from other figures in the visual form repertoire in a writing system (Meletis, 2019a). Basic shapes are defined as abstract units, groups with distinguishing geometric features from written signs, so that literate individuals will recognize them as embodiments of writing. Bredel in Meletis (2018, p. 114) proposed four features to distinguish the different graphetic segment materials used in the German writing system. These features are (1) context-free identification, (2) recodability, (3) combinability, (4) paired variants, and (5) additive (see Table 1). Feature 1 is graphetic, with determination based on visual properties. Feature 2 is graphematic, which includes linguistic units related to basic shapes. Feature 3 and 4 are graphotactic, depending on the graphematic perspective.

TABLE 1  
CLASSES OF BASIC SHAPES FEATURES

	diacritics	letters	digits	special characters	punctuation marks	empty spaces
identifiable without context	+	+	+	+	+	-
recodable	-	+	+	+	-	-
combinable	-	+	+	-	-	-
paired	-	+	-	-	-	-
additive	+	-	-	-	-	-

(c). *Graphematic*

A written representation of each word in a language, called a graphematic module, is facilitated by the language system (Neef, 2012, 2015). This module delineates all conventional associations between characters or character combinations and phonological segments that are permitted in the system. The minimal unit that represents the unity of shape or fundamental entity in the graphematic module is called a grapheme. Meletis (2019b, p. 17) suggests three criteria for defining graphemes that are applicable across all writing systems: lexical distinctiveness (condition 1), linguistic value (condition 2), and minimality (condition 3), as shown in Table 2.

TABLE 2  
CONDITIONS FOR THE GRAPHEME DEFINITION; GRAPHEMES ARE HIGHLIGHTED IN GREY

	Condition (1)	Condition (2)	Condition (3)
German <ng>	+	+ phoneme /ŋ/	- both <n> and <g> are already graphemes
German <ch>	+	+ Phoneme /ç/	+
German <sch>	+	+	- both <s> and <ch> are already graphemes
German <el>	+		+
German III (hasta) in <p> vs <b>	+	-	+
Chinese <河> 'river'	+	+ Morpheme {river}	+
Chinese [水]	+	- Semantic component 'water', which itself represents no linguistic unit	+
Thai <พ>	+	+ Phoneme /d/	+
Thai <อ>	+	+ Phoneme /i/	+

(d). Orthography

In reality, different spellings are used by convention to distinguish between homophones. Modular Theory explains this phenomenon through the orthography module called *systematic orthography*, which prescribes how to spell individual words correctly within the confines of the graphematic solution space. These constraints are systematic in the sense that they apply to a particular layer of the vocabulary. Systematic orthography does not always provide a single fixed spelling of a given word. For instance, the constraint on the well-formed spelling of [a] in German still leaves <a> <Wal> ‘whale’ and <ah> <Wahl> ‘choice’ as two possible representations of the segment. Instead of using these forms interchangeably, the German writing system has standardized conventions stipulating which form should be used on a word-to-word basis (e.g., <a> for [val] ‘whale’ but not for [val] ‘choice’). Modular Theory distinguishes such conventions from systematic orthography and refers to them as *conventional orthography* (Neef, 2012, 2015).

B. Balinese Script Orthography

Table 3 shows the primary consonant phonemes with inherent vowel /Ca/ (called *Aksara lagna*), which are represented by *Aksara wianjana* (*wresastra* and *sualalita*) (Medera et al., 2003). The Aksharas for independent vowels are represented by the basic shape | $\text{sa}$ | *akara* for /a/, | $\text{ta}$ | *ikara* for /i/, | $\text{ra}$ | *ukara* for /u/, | $\text{e}$ | *ekara* for /e/, and | $\text{o}$ | *okara* for /o/. There is no independent basic shape for the vowel /ə/ (Table 4 left). Table 4 right shows that the Balinese script for dependent vowels is represented by the basic shape | $\text{ha}$ | /ha/ or called *wisarga* with diacritic or *pangangge suara*. Dependent vowels in Balinese script appear in a combination of visual units | $\text{ha}$ | for /a/ from *wisarga* /ha/ | $\text{ha}$ | without diacritic (where the glottal stop phoneme /h/ is not pronounced or not verbalized); | $\text{hi}$ | /i/ from *wisarga* /ha/ | $\text{hi}$ | + | $\text{u}$ | (dependent vowel sign *ulu* /-i/); | $\text{hu}$ | /u/ from *wisarga* /ha/ | $\text{hu}$ | + | $\text{u}$ | dependent vowel sign *suku* /-u/); | $\text{he}$ | /e/ from *wisarga* /ha/ + | $\text{e}$ | dependent vowel sign *taling* /-e/; | $\text{he}$ | /ə/ from *wisarga* /ha/ | $\text{he}$ | + | $\text{e}$ | dependent vowel sign *pepet* /-ə/; and | $\text{ho}$ | /o/ from *wisarga* /ha/ | $\text{ho}$ | + | $\text{u}$ | (dependent vowel sign *taling tedung* /-o/) (Paramarta et al., 2023).

TABLE 3  
AKSARA WIANJANA (WRESASTRA AND SUALALITA)

Aksara Wianjana (consonant with inherent vowel /Ca/)																		
Poem	First Line				Second Line				Third Line				Fourth Line					
Aksara Wresastra	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛	𑄛
Aksara Sualalita	𑄛	𑄛		𑄛	𑄛	𑄛	𑄛	𑄛					𑄛	𑄛		𑄛	𑄛	𑄛
IPA	[ha]	[na]	[tja]	[ra]	[ka]	[da]	[ta]	[sa]	[wa]	[la]	[ma]	[ga]	[ba]	[ŋa]	[pa]	[dʒa]	[ya]	[ŋa]
Phonemic	/ha/	/na/	/ca/	/ra/	/ka/	/da/	/ta/	/sa/	/wa/	/la/	/ma/	/ga/	/ba/	/ŋa/	/pa/	/ja/	/ya/	/
Latin Transcription	ha	na	ca	ra	ka	da	ta	sa	wa	la	Ma	ga	ba	nga	pa	ja	ya	nya

TABLE 4  
INDEPENDENT AND DEPENDENT VOWELS

Independent vowel	Dependent vowel ( $\text{ha}$ + Pangangge suara)	Phoneme	Latin Transcription
𑄛	𑄛 → 𑄛	/a/	a
𑄛	𑄛 + $\text{u}$ → 𑄛	/i/	i
𑄛	𑄛 + $\text{u}$ → 𑄛	/u/	u
𑄛	𑄛 + $\text{e}$ → 𑄛	/e/	e
𑄛	𑄛 + $\text{e}$ → 𑄛	/ə/	e
𑄛	𑄛 + $\text{u}$ → 𑄛	/o/	o

Inherent vowel /-a/, which is attached to the *aksara lagna*, will disappear if it has received a diacritic or conjunct & ligature (*Pangangge aksara*) (cf. Fedorova, 2013). *Pangangge aksara* in the Balinese script writing system includes: *Pangangge suara* (Table 4), *Pangangge tengenan* (Table 5), and *Gantungan* and *Gempelan* (Table 6).

TABLE 5  
PANGANGGE TENGENAN

Balinese script	Phoneme	IPA	Latin Transcription	Name
𑄛	/h/	[h]	h	bisah
𑄛	/r/	[r]	r	surang
𑄛	/ŋ/	[ŋ]	ng	cecek
𑄛	/Ø/	[Ø]		adeg adeg

TABLE 6  
GANTUNGAN AND GEMPelan

Gantungan and Gempelan Aksara Wianjana										
Poem	First Line					Second Line				
Aksara	ᮊ	ᮃ	ᮄ	ᮅ	ᮆ	ᮇ	ᮈ	ᮉ	ᮊ	ᮃ
Wresastra	ᮊ	ᮃ	ᮄ	ᮅ	ᮆ	ᮇ	ᮈ	ᮉ	ᮊ	ᮃ
Aksara Sualalita	ᮊ	ᮃ	ᮄ	ᮅ	ᮆ	ᮇ	ᮈ	ᮉ	ᮊ	ᮃ
IPA	[ha]	[na]	[tʃa]	[ra]	[ka]	[da]	[ta]	[sa]	[wa]	[la]
Phonemic	/ha/	/na/	/ca/	/ra/	/ka/	/da/	/ta/	/sa/	/wa/	/la/
Latin	ha	Na	ca	ra	ka	Da	ta	sa	wa	La
Transcription										

Gantungan and Gempelan Aksara Wianjana									
Poem	Third Line				Fourth Line				
Aksara	ᮊ	ᮃ	ᮄ	ᮅ	ᮆ	ᮇ	ᮈ	ᮉ	ᮊ
Wresastra	ᮊ	ᮃ	ᮄ	ᮅ	ᮆ	ᮇ	ᮈ	ᮉ	ᮊ
Aksara Sualalita	ᮊ	ᮃ	ᮄ	ᮅ	ᮆ	ᮇ	ᮈ	ᮉ	ᮊ
IPA	[ma]	[ga]	[ba]	[ŋa]	[pa]	[dʒa]	[ya]	[na]	
Phonemic	/ma/	/ga/	/ba/	/ŋa/	/pa/	/ja/	/ya/	/na/	
Latin	ma	ga	ba	nga	pa	ja	ya	Nya	
Transcription									

The basic shape sign |·| *adeg adeg* is a diacritic sign or *pangangge aksara* that belongs to the *pangangge tengenan* group (Table 5). Tinggen (1994) reports that *adeg adeg* is only used in the last syllable of a sentence and to avoid stacking letters in threes. Currently, the use of *adeg adeg* is undergoing developments and improvements in the Balinese script writing system, becoming: 1) at the end of the word, 2) at the end of the sentence section or the end of the sentence, 3) the middle position of the word to avoid the arrangement of three-stack Akshara, and 4) mid-sentence position for affirmation of linguistic units, to maintain writing rules, and avoid misreading (Medera et al., 2003; Suasta, 2006).

Table 7, No. 1 shows the use of *adeg adeg* in the final position of the word *adan* 'name' which is presented after grapheme <ᮊ> /na/. Table 7, No. 2 demonstrates the use of *adeg adeg* in the middle of the word *Tamblingan* 'place name' after <ᮊ> /ma/ to avoid using triple-stack akshara's. Table 7 no.3 demonstrates the use of *adeg adeg* at the end of the word *lamaran* 'application' in the middle of the sentence and at the end of the sentence *pelengan* 'side of forehead' presented after <ᮊ> /na/. Table 7, Nos. 4-5 displays the use of *adeg adeg* in the middle of the sentence at the position of the end of the word to emphasize the language units that occur after <ᮊ> /na/ and <ᮊ> /ka/.

TABLE 7  
EXAMPLE OF THE USE OF ADEG-ADEG

No	Balinese script Latin transcription	Context of use			Translate
		The final position of the word/ sentence	Mid-word/ sentence		
			triple-stack avoidance function	affirmation function of language units	
1	ᮊᮃᮄ adan	√			'name'
2	ᮊᮃᮄᮅᮆᮇᮈᮉ Tamblingan	√	√		'place name Tamblingan'
3	ᮊᮃᮄᮅᮆᮇᮈᮉᮊᮃᮄᮅᮆᮇᮈᮉ Dugase nulis lamaran, I Nyoman mecik pelengan.	√			'When writing a proposal, I Nyoman held the side of his forehead'
4	ᮊᮃᮄᮅᮆᮇᮈᮉᮊᮃᮄᮅᮆᮇᮈᮉ I Nyoman Widya.			√	'proper name I Nyoman Widya'
5	ᮊᮃᮄᮅᮆᮇᮈᮉᮊᮃᮄᮅᮆᮇᮈᮉ Watek ksatriane ngamuk.			√	'knights rampage'



III. RESEARCH METHOD

This research method employs a qualitative and descriptive approach to describe the characteristics of graphetic and graphematic features of silent letters, denoted as  $\text{|\text{ꦱ}|}$  *adeg adeg*, in the Balinese script. The primary data is silent letters  $\text{|\text{ꦱ}|}$  *adeg adeg*, which comes from the 16.162 lemma in the Balinese dictionary - Indonesian with Latin and Balinese script (Nala Antara et al., 2016). Secondary data related to various contexts of silent letter  $\text{|\text{ꦱ}|}$  *adeg adeg* usage in Balinese script orthography is sourced from Guidelines for Writing Balinese Script (Medera et al., 2003). The silent letter in the Balinese script  $\text{|\text{ꦱ}|}$  *adeg adeg* that has been registered is then analyzed graphetically and graphematically to find its characteristics. The mapping of Balinese script sequences on lemmas to phonetic and phonemic sequences is conducted by adopting the principles of the Akshara writing system from Nag (2014). The data analysis stages in this research are illustrated in Figure 2 by adapting the Multimodular Model of Writing System from Meletis (2018, p. 61).

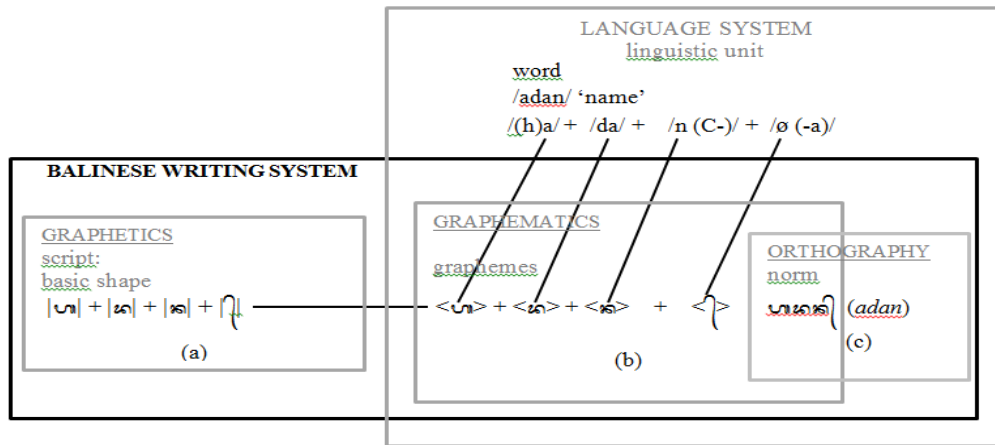


Figure 2. Multimodular Model of Writing Systems Adaptation

Silent letters, denoted as  $\text{|\text{ꦱ}|}$  *adeg adeg*, in the Balinese script, are graphically analyzed as a graphetic unit (referred to as the basic shape) using a combination of graphetic features, graphematic features, and graphotactic features. This analysis is an adaptation of the model proposed by Bredel in Meletis (2018). These features include: (1) context-free identification, (2) recodability, (3) combinability, (4) paired variants, and (5) additive. The visual unit of silent letters  $\text{|\text{ꦱ}|}$  *adeg adeg* as a grapheme is analyzed using the grapheme definition based on three criteria proposed by Meletis (2019b), which are: (1) lexical distinctiveness, (2) linguistic value, and (3) minimality. Although orthography is optional in the study of grapholinguistics (modular theory), it is still presented in this study to show the context of the rules for using *adeg adeg* in the Balinese script writing system.

IV. RESULTS AND DISCUSSIONS

The research results show that out of 16,162 lemmas in the Balinese script dictionary, as many as 7,905 lemmas use silent letters, denoted as  $\text{|\text{ꦱ}|}$  *adeg adeg*. The graphetic and graphematic analysis of the various contexts of the use of *adeg adeg* in the lemma is demonstrated in Table 8. Graphically,  $\text{|\text{ꦱ}|}$  *adeg adeg* is defined as a basic shape with several graphic features, namely: +context-free identification, -recodability, +combinability, -paired variants, and +additive. Meanwhile, graphematically the visual unit of *adeg adeg* is defined as a grapheme with the following criteria: + lexical distinctiveness, +linguistic value, and +minimality.

TABLE 8  
GRAPHETIC AND GRAPHEMATIC ANALYSIS OF THE VISUAL UNIT ADEG-ADEG

Unit Visual	Unicode / Name	Graphetics Features					Graphematics Criteria		
		context-free identification	recodability	combinability	paired variants	additive	lexical distinctiveness	linguistic value	minimality
$\text{ \text{ꦱ} }$	1B44 adeg adeg	+	-	+	-	+	+	+ (/Ø/)	+

A. Graphetics Representation of Silent Letters  $\text{|\text{ꦱ}|}$  Adeg Adeg

It is not possible to group basic shapes separately. However, specific characteristics can identify a basic shape within the writing system. The basic shape *adeg adeg* graphetically possesses a unique feature, -recodability, which is not recorded verbally. This means it is “not verbalized” or “not read” (see Figure 3).

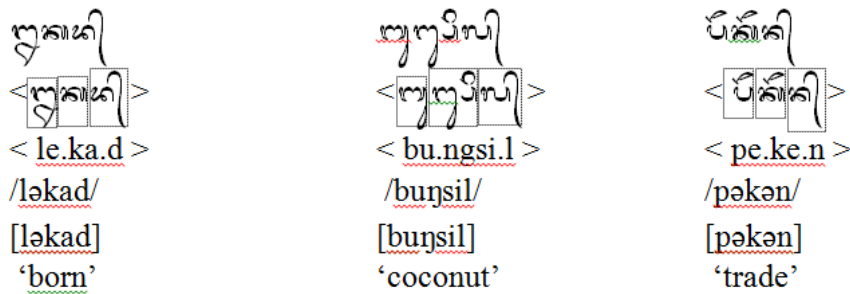


Figure 3. Illustration of Mappings of Balinese Script to Phonetic Sequence (Pronunciation)

Figure 3 shows an illustration of verbal representation from several basic shapes in Balinese script, adopting from Nag (2014, p. 112) to write the word: *leka.d* (‘born’), *buŋsil* (‘coconut’), and *peken* (‘market’). The word *leka.d* [ləkad], meaning ‘born’, is divided into three symbol blocks. The first symbol block is a basic shape (la lenga), which is pronounced [lə]. The second symbol block consists of a basic shape (ka), pronounced [ka]. The third symbol block consists of a basic shape (da), which, when added with shape (adeg adeg), can be pronounced [d] without the inherent vowel /-a/.

The word *buŋsil* [buŋsil], meaning ‘coconut’, is divided into three symbol blocks. The first symbol block consists of a basic shape (ba), which is pronounced [b] because it is combined with a diacritic for the dependent vowel (suku), to be pronounced [u]. The second symbol block consists of a basic shape (nga), which is pronounced [ŋ] due to the addition of a conjunct & ligature (gempelan sa), which is pronounced [s] because of the addition of a diacritic for the dependent vowel (ulu), pronounced [i]. The third symbol block consists of basic shape (la), which, when combined with (adeg adeg), read [l] without the inherent vowel /-a/.

Likewise, the word *peken* [pəkən], meaning ‘market’, is divided into three symbol blocks. The first symbol block is composed of a basic shape (pa), pronounced [p] because it is combined with a basic shape for the dependent vowel (pepet), to be pronounced [ə]. The second symbol block consists of a basic shape (ka), which is pronounced [k] because it get is combined with a basic shape for dependent vowel (pepet), to be read as [ə]. The third symbol block consists (na), which, when combined with (adeg adeg), is pronounced [n] without the inherent vowel /-a/.

The basic shape *adeg adeg*, although easy to identify visually, is not verbalized or readable because, in Balinese script grammar, *adeg adeg* is presented as a device that cancels the inherent vowel. For instance, in the aksara block dimension (Figure 3), it is read as [d], which is a representation of the basic shape [da] followed basic shape (adeg adeg), so the inherent vowel [-a] is not verbalized ([Ø]). In this context, it is clear that the basic shape of *adeg adeg* cannot be verbalized, read, or pronounced.

When compared to the Latin alphabet writing system, punctuation also has the same graphetic features as *adeg adeg*. Punctuation marks (commas, periods, and exclamation points) do not have a specific linguistic unit representation, so they are not verbalized or readable (Cf. Meletis, 2019b). This graphetic feature differs from other basic shapes with verbalized or readable representations of linguistic units. For instance, the basic shape [ka], basic shape (pa) when combined with the basic shape for diacritic or conjunct & ligature, is read as [p], like diacritic for independent vowel (ə) /ə/, which is read as read [ə].

Other special features of (adeg adeg) include the (+additive) characteristic. In the Balinese script writing system, *adeg adeg* can be added to several basic shapes for main consonants grapheme (*aksara lagna*) (refer to Table 9). Adding *adeg adeg* to most of the main consonant grapheme cancels the inherent vowel /-a/. Reports from Medera et al. (2003) also corroborate this (+additive) feature, explaining that one way to cancel the inherent vowel /-a/ in *aksara lagna* is to add basic shape (adeg adeg).

TABLE 9  
ADDING (ADEG ADEG) TO MOST OF THE MAIN CONSONANTS GRAPHEMES

Aksara lagna (phoneme representation)	Aksara lagna added adeg adeg (phoneme representation)	Word (Balinese script)	Phoneme transliteration meaning
na /na/	n /n/	ladder	/jan/ ‘ladder’
ka /ka/	k /k/	barak	/barak/ ‘red’
da /da/	d /d/	ilid	/ilid/ ‘hidden’
ta /ta/	t /t/	abut	/abut/ ‘unplug’
sa /sa/	s /s/	alas	/alas/ ‘forest’
la /la/	l /l/	sijal	/sijal/ ‘cradle’
ma /ma/	m /m/	guləm	/guləm/ ‘overcast’
ga /ga/	g /g/	sarag	/sarag/ ‘key’
ba /ba/	b /b/	uŋkab	/uŋkab/ ‘open’
pa /pa/	p /p/	alap	/alap/ ‘pick’



In grapholinguistic, the representation of the linguistic value of graphemes refers to the referential view. Referentialists view graphemes as being “present for” specific linguistic units. Graphemes represent linguistic units not only at the phonological level but also for syllables and morphemes, even words. This feature implies that the basic shape represents at least one linguistic unit (see Table 11). In essence, graphemes have linguistic value in all the contexts in which they occur. This feature assumes that every linguistic unit in a language, either at the phonological or morphological level, is represented by a basic shape, and does not apply vice versa. Meletis (2019b) provides an analytical direction that is suitable for these criteria, as illustrated by the relationship “basic shape → linguistic unit”.

TABLE 11  
LINGUISTIC UNIT REPRESENTATION FROM |ꦁ| ADEG ADEG

Balinese script Phoneme Transliteration Translete	Basic shape arrangement	Linguistic unit representation
ꦧꦸꦏ꧀ /buk/ 'dust'	ꦧꦸꦏ꧀	/b/ /u/ /k/
ꦧꦸꦠ꧀ /abut/ 'unplug'	ꦧꦸꦠ꧀	/a/ /b/ /u/ /t/ /Ø/ (abstraction of the /-a/)
ꦱꦭꦥ꧀ /alap/ 'pick'	ꦱꦭꦥ꧀	/a/ /la/ /p/ /Ø/ (abstraction of the /-a/)
ꦠꦩꦧꦭꦶꦚꦤ꧀ /tamblījan/ 'place name'	ꦠꦩꦧꦭꦶꦚꦤ꧀	/ta/ /m/ /Ø/ (abstraction of the /-a/) /b/ /l/ /i/ /ŋa/ /n/ /Ø/ (abstraction of the /-a/)

Table 11 shows the context of using basic shapes |ꦁ| *adeg adeg* in the final position in ꦧꦸꦏ꧀ /buk/ ‘dust’, ꦧꦸꦠ꧀ /abut/ ‘unplug’, ꦱꦭꦥ꧀ /alap/ ‘pick’, ꦠꦩꦧꦭꦶꦚꦤ꧀ /tamblījan/ ‘place name’ and in the middle of the word ꦠꦩꦶꦚꦤ꧀ /tam/ in the word ꦠꦩꦧꦭꦶꦚꦤ꧀ /tamblījan/. The combination of basic shapes representing specific linguistic units has composed all the Balinese words above. Specifically, for |ꦁ| *adeg adeg*, it does not appear to present a particular linguistic unit, but there is a linguistic unit that is not displayed (/Ø/ or zero or null phoneme), namely the inherent vowel phoneme /-a/.

To reveal orthographic transparency, the term zero or null phoneme is introduced in the context of strictly sequential grapheme-to-phoneme alignment (Protopapas & Vlahou, 2009; SIL, 2022). For students learning to read, write, and understand orthography, the presence of a "silent letter," which represents a null phoneme, often poses a challenge. The term "silent letter" relates to graphic symbols that are not pronounced or do not have a mapping with a specific linguistic unit (Koda, 2007; Pike, 1956).

Is zero (/Ø/) a linguistic unit? The concept of zero or null in language studies refers to a segment of language (sound, writing, morpheme, word, clause, even sentence) that is not spoken or written. This concept is crucial in linguistic analysis to indicate symptoms of element deficiency, where the element is considered to exist. There are two meanings for this concept. First, zero is a constituent proposed in the analysis to represent elements considered to exist at the abstract level but not realized in the data. Zero is a unit proposed as a contrast to an element that may or is considered to exist (SIL, 2021). If associated with the concept of zero, silent letters, denoted as |ꦁ| *adeg adeg*, can be interpreted as a visual form in Balinese script that is presented as a signifier for inherent vowels /-a/ which is not pronounced in the main consonant grapheme (C-). *Adeg adeg* is an abstraction of the inherent vowel /-a/ in the unspoken main consonant grapheme, contrasting with the main consonant grapheme with the inherent vowel (<C-> contrast <Ca>) (cf. grapheme notions from Fedorova, 2013).

Regarding the representation of linguistic units as one of the criteria for determining graphemes, it also presents a significant question. Are the linguistic values represented by singular graphemes in the form of concrete or abstract linguistic units, or do they even represent linguistic functions and information? Meletis (2019b) has not been able to

provide an answer to this question because the data from various world writing systems presented are not representative of that.

On the other hand, the characteristic of *adeg adeg* in the Balinese script writing system is very representative of this answer. Table 11 Nos. 1-4, shows that silent letters *adeg adeg* represents an abstract linguistic value, namely as an abstraction of the inherent vowel in the unspoken main consonant graphemes (/C-/) (Cf. Altmann, 1996).

If it is related to a wider alternative, it is clear that silent letters *adeg adeg* in the Balinese script writing system represent a linguistic function and linguistic information. This phenomenon shows that the function of linguistics and linguistic information in graphematic analysis is important to be discussed comprehensively in the study of grapholinguistics.

As one of the strategies for determining graphemes for cross-writing systems, the minimality criterion presents a fundamental question: What is minimal? For example, is it entirely based on linguistic units or semiotics? The basic assumption that needs to be addressed is the postulate that graphemes in some writing systems must be identified based on the writing side related to semiotics, not from the linguistic side (Fedorova, 2013; Meletis, 2015). As an implication, graphemes, in general, need to be determined graphetically, in other words, visually. The concept of minimalism strengthens the visually silent letters *adeg adeg* that meets the minimality criteria because it is the smallest visual unit in the Balinese script writing system. Graphetically, *adeg adeg* is different from other visual units in a Balinese script-based writing system. Data (a), (b), and (c) (in the sub-discussion of the lexical distinctiveness criteria) show that  $\text{|\text{ᮊ}|} / \emptyset / \text{adeg adeg}$  is visually different from  $\text{|\text{ᮊ}|} / i / \text{(ulu)}$  and different from  $\text{|\text{ᮊ}|} / u / \text{(suku)}$ . *Adeg adeg* in the Balinese script writing system is a separate visual unit that is very easy to distinguish from other visual units.

## V. CONCLUSION

Graphetic analysis reveals that silent letters  $\text{|\text{ᮊ}|}$  *adeg adeg* possesses several graphic features as a basic shape  $\text{|\text{ᮊ}|}$ . These include: +context-free identification, -recodability, +combinability, -paired variants, and +additive. Meanwhile, from a graphematic perspective, *adeg adeg* is defined as a grapheme  $\langle \text{ᮊ} \rangle$  with the following criteria: +lexical distinctiveness, +linguistic value, and +minimality.

Three graphetic characteristics that stand out from silent letter  $\text{|\text{ᮊ}|}$  *adeg adeg* are -recodability, -paired variants, and +additive. First, visually, the basic shape of *adeg adeg* is easy to identify. However, it is not verbalized, unreadable, or un-pronunciation because it phonemically represents a null vowel (zero) or is presented as canceling the inherent vowel device. Secondly, *adeg adeg* does not have a paired variants feature because it does not have paired visual variations representing the same linguistic reference. Third, *adeg adeg* has a feature that can be added to several basic shapes for the main consonant grapheme (*aksara lagna*) except  $\text{|\text{ᮊ}|} / ca /$ ,  $\text{|\text{ᮊ}|} / ja /$ ,  $\text{|\text{ᮊ}|} / pa /$ ,  $\text{|\text{ᮊ}|} / wa /$ ,  $\text{|\text{ᮊ}|} / ya /$ . *Adeg adeg* cannot be added to the basic shape at the end of the word because, in the Balinese phonological system, the phonemes /c/, /j/, /p/, /w/, and /y/ are never found distributed at the final position of the word.

The silent letters in the Balinese script  $\text{|\text{ᮊ}|}$  *adeg adeg*, are identified as a grapheme because they meet the three features of grapheme criteria that can be applied across writing systems, despite having some contradictory features. Firstly, based on the data presented and analyzed, it was revealed that *adeg adeg* presents and has the potential as a lexical distinguishing unit (this applies if the grapheme is structurally not aligned with the phoneme). In other words, the phoneme analogy is only used as a methodological model of how distinctive units can be found. The grapheme criterion, with the analogy of a minimal pair of phonemes that refers to a grapheme, is inadequately applied to *adeg adeg* because the paired phoneme does not exist (not presented). Secondly, silent letters  $\text{|\text{ᮊ}|}$  *adeg adeg* phonemically represent zero linguistic units for the null vowel / $\emptyset$ / because there is a linguistic unit that is not displayed, namely the inherent vowel phoneme /-a/. *Adeg adeg* is associated with several zero concepts in linguistic studies, referring to the visual form in Balinese script that is presented as a signifier for the inherent vowel /-a/ that is not pronounced in the main consonant grapheme (C-). *Adeg-adeg* is an abstraction of the inherent vowel /-a/ in the unspoken main consonant grapheme as a contrast for the main consonant grapheme with the inherent vowel ( $\langle C \rangle$  contrast  $\langle Ca \rangle$ ). Thirdly, several minimalism concepts emphasize that visually *adeg adeg* meets the minimum criteria because it is the smallest visual unit in the Balinese script writing system. Graphically, *adeg adeg* is a separate visual unit that is very easy to distinguish from other visual units.

The analysis of graphetic and graphematic features can identify the systematic characteristics and mappings of silent letters in the Balinese script, specifically  $\text{|\text{ᮊ}|}$  *adeg adeg*. *Adeg adeg* represents basic shapes and graphemes, which are the basic units of writing systems. These are related to the presentation of visual units and their connection with linguistic units. The clarity of systematic characteristics and mapping significantly contributes to a more comprehensive and transparent depiction of cognitive-linguistic mechanisms. This is especially important when deciphering writing systems based on Akshara, which have highly complex characteristics. These characteristics include non-linear symbol arrangements, unmarked and inherent symbol features, and visually complex symbol sets.

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# Exploring Cognitive Teaching Approaches for Inclusive Translation Online Classes: A Case Study During the COVID-19 Pandemic

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**Abstract**—This study explored teachers' lived experiences of teaching translation inclusively online for the first time during the lockdown of the COVID-19 pandemic. The participants teach English and translation in the English Department, College of Languages and Translation, at Imam Mohammed Ibn Saud Islamic University (IMSIU), Riyadh, Saudi Arabia. Data were collected using a 5-point Likert questionnaire and semi-structured interviews. The study delved into the teaching approaches that teachers used to achieve course objectives, and the technology tools they embedded into the Learning Management System (LMS). The results indicated (73%) positive experiences, with (86.8%) finding the LMS effective for delivering instructional plans and (78.5%) reporting an increase in awareness of continuous technology education. The emergent themes of cognitive approaches included project-based instruction (89%), collaborative techniques (71%), conference-based strategies (64%), and constructivist approaches (50%). The results also showed improvements in students' translation skills (80.7%), linguistic abilities (83.2%), social skills (78.5%), communicative skills (65.1%), and psychometric abilities (78.3%), indicating the positive effects of technology on cognitive domains. The findings illustrated that adopting effective instructional methods and integrating operative technological tools can significantly contribute to delivering enriched online content. The study recommends integrating Cultural Translation and Interpretation Studies (CTIS) and Cognitive Translation Studies (CTS) into professional development programs to enhance innovative teaching approaches for online settings. Consequently, the study contributes to language and translation education and technology by presenting an inclusive model that emphasizes the importance of incorporating translation theories, teaching methodologies, and appropriate technologies for effective online teaching.

**Index Terms**—cognitive approaches, COVID-19 pedagogy shift, teaching translation online, translation technology

## I. INTRODUCTION

One of the most profound experiences that teachers at higher education lived was shifting teaching from face-to-face classrooms into fully online settings during the COVID-19 pandemic. Online teaching has dominated as the essential mode in response to the pandemic crisis, impacting teacher experiences, opportunities, and challenges (Alwazna, 2021; Aldossary, 2021; Chen et al., 2020; Dhawan, 2020; Didenko et al., 2021). The sudden shift required teachers to not only design appropriate instructional plans, but also acquire technological skills to use Learning Management Systems (LMS) platforms, such as Blackboard, Microsoft Teams, and Zoom. Teachers needed to incorporate audio and video materials, online resources, and computer-aided tools into their teaching methods to ensure effective lesson delivery. Previous studies (Akmaliyah et al., 2020; Di Pietro et al., 2020; Pikhart & Al-Obaydi, 2023; Rapanta et al., 2020) highlighted challenges that encompass disparities in accessing reliable internet connections, insufficient technical support, deficiency in technology training, absence of social physical presence, as well as pedagogical issues pertaining to the adjustment of curriculum and instruction to conform to online environments. Consequently, it became necessary to enhance knowledge while acquiring online management skills, and incorporate virtual thinking methodologies, and innovative pedagogies while exploring virtual reality technology (Aroles & Kippers, 2021; Basilaia et al., 2020; Xiao & Muñoz, 2020). In other words, determining the most appropriate approaches for teaching translation in inclusive online contexts was a persistent challenge, especially for teachers who made this transition for the first time, including teachers in the English Department, College of Languages and Translation, at Imam Mohammed Ibn Saud Islamic University (IMSIU), Riyadh, Saudi Arabia. While previous research focused on examining the technological and social conditions of higher education during the pandemic, and the impact of online settings on students' perception and satisfaction, research on the initial experiences of teaching translation online, and the approaches adopted to deliver instructional plans remains scarce. Transitioning from traditional classrooms to online settings necessitates planning that goes beyond

just using LMS platforms. The current study aimed at exploring these experiences, probing into the cognitive approaches that teachers used for inclusive online teaching. Thus, this study adds to the body of knowledge concerning the worldwide investigation of pedagogy shifts that occurred during the COVID-19 lockdown.

## II. LITERATURE REVIEW

### A. *Translation Theories and Practices*

Early theories of translation (Nida, 1964; Catford, 1965; Vinay & Darbelnet, 1958, 1995) are rule-based, focusing on linguistic aspects for achieving formal equivalence and accuracy in translation. In contrast, contemporary theories are communicative, and socio-cultural-based, for achieving functional equivalence and quality translation (Munday, 2016). Contemporary theories focus on connecting translation practices to real-life, exploring cultures as polysystems, while emphasizing translation purpose and quality (Pym, 2014). Since the publication of Holmes' (1972, 2000), research evolved around Cultural Translation and Interpretation Studies (CTIS), and Cognitive Translation Studies (CTS). These studies highlight the role of translators in communicating information in various socio-cultural contexts, and the utilization of technology for enhancing translation quality. Scholars introduced new perspectives of translation theory. For example, Holz-Mänttälä (1981), Lefevere (1992), Nord (1997, 2018), Reiss (1977, 1989), Snell-Hornby (1988), Vermeer (1989) examined translation as human activities with specific communicative goals, that can be achieved through the texts. In these theories, translation is viewed as communicative performances that aim to establish a functional relationship between the source text (writer) and the target text (reader), emphasizing a 'skopos', i.e., a purpose for the messages across cultures. In the same light, Venuti (1995) proposed a translation theory, centered on a specific purpose, which is the reconstruction of the text from a cultural perspective, using domestication strategies, for making the text closely conform to the culture of the reader, or foreignization techniques for retaining information from the text, by intentionally breaking the conventions of the text to preserve its meaning.

In this context, previous research (Alves & Jakobsen, 2020; Chesterman, 1997; Liu, 2017; Schäffner, 2012; Wang, 2018; Wang & Gu, 2023) adopted interdisciplinary approaches to translation, highlighting the role of translation in enacting realities, representing historical, political, financial, socio-cultural, and media aspects. Additionally, utilizing technology in teaching translation has played a major role in developing computational translology, emphasizing the automated aspects of the translation process, such as machine translation, translation memory systems, and computer-aided translation tools (Muñoz Martín & Martín de León, 2020). Teachers use different concepts to help students understand the connection between theory and practice, bridging the gap between the text and its receiver in different social contexts. Teachers help students learn that translators serve as intermediaries when differences in language, knowledge, and viewpoints hinder effective communication. Therefore, in their online instruction, teachers need to enhance social presence through selecting diverse teaching materials, allowing students to search for information, discuss, identify and solve translation problems, in real-time environments. In this respect, previous studies (Guerberof & Moorkens, 2019; Hao & Pym, 2023; Malenova, 2019) found that utilizing machine translation, and cloud technology, while integrating translation theories into teaching, helps students develop competences for reconstructing discourses across different contexts. Research (Alves & Jakobsen, 2020; García & Giozza, 2019; Jakobsen & Mesa Lao, 2017; Kairong & Muñoz, 2020) examined the cognitive aspects of CTS, encompassing communicative production, reception and interaction of different contexts, indicating that CTS are centered on the translation process, translation contexts, and translator behavior and attitudes. Thus, the cognitive-oriented interdisciplinary approach connects translation with fields such as language studies, psychology, sociology, and technology, making it an effective method for teaching students to become professional translators, meeting the profession requirements.

### B. *Cognitive Approaches for Teaching Translation*

While some translation instructors adhere to conventional methods centered around standardized practices to enhance linguistic competences, others adopt cognitive approaches employing innovative techniques that emphasize intercultural communicative competences. Cognitive approaches encompass socio-cultural methods, and technology-based strategies. Cognitive approaches use socio-cognition, computer information processing, and neural networks to teach how translators carry out translation tasks. In other words, cognitive approaches often integrate technology and real-world texts, fostering a dynamic and adaptive translation process that goes beyond mere linguistic accuracy to ensure effective and contextually appropriate communication. Therefore, cognitive teaching approaches encompass project-based instruction, collaborative, constructivist, and interactive techniques. They also include lab training, incorporating audio and video tools, modeling (role-playing), conference-based approaches, and cognitive apprenticeship. In this regard, Venuti (2016) found that the less standardized methods used, the more innovative and humanistic approaches to teaching translation are employed. The advantages of cognitive teaching approaches stem from motivating students to fully use their mental abilities to perform the translation tasks in different socio-cultural contexts. In this respect, Xu and Ouyang (2023) examined the integration of social constructivist approaches (e.g., Braun et al., 2020; Chan, 2014; González-Davies & Enríquez-Raño, 2016; Kiraly, 2000; cited in Xu & Ouyang) and translation/ interpreting skills and competences (e.g., Kalina, 2000; Motta, 2016; Wang, 2015; cited in Xu & Ouyang). The study revealed that teaching translation as a process of transferring meaning from one linguistic and cultural code to another, contributed to the understanding of translation as a complex and multifaceted task. In other words, applying code theory in instructional

designs is effective since it encompasses understanding the linguistic, communicative, socio-cultural, and media symbolic representations. In this respect, Madkour (2018) argued that when emphasis is placed on constructing new knowledge while acquiring social skills, students develop mental capabilities to understand different cultures in various types of texts. Furthermore, previous studies (Chen et al., 2022; Chen et al., 2023; Ge et al., 2020; Lin et al., 2021; Murillo-Zamorano et al., 2019) investigated the effectiveness of the constructivist approaches used in flipped translation classroom, revealing better learning outcomes in the flipped classes through enhancing pre-class activities, critical thinking, and self-efficacy strategies. Li (2023) investigated the use of cognitive approaches within a project-based teaching, indicating that this approach, which is based on interacting with actual translation projects, produced better performance and quality achievements. Madkour (2015) applied the project-based methodology in teaching machine translation by transforming the classroom into a workstation equipped with computers where students collaborated, using technology tools, to create translation projects while exploring the benefits of machine translation. In Madkour's study, students' projects included concordance tools, barcodes, web translation, translation memory, and cultural learning. The study found that students in the experimental group developed better skills for translation analysis and quality production. Additionally, Bilić (2020) found that an online Computer-Assisted Translation (CAT) classroom enables students to utilize translation technology, gaining hands-on experience with remote software. In this virtual setting, students can collaborate with their peers, resulting in the production of high-quality translations. In this context, cognitive apprenticeship approach combines cognitive and metacognitive domains, changing the classroom environment from teacher-centered to students-controlled learning, emphasizing practice in a variety of situations to enhance intrinsic motivation, collaboration, and culture differences (Collins et al., 1991; cited in Schunk, 2019). In this approach, teaching materials are selected from real-world, including documents from local and international organization, and multinational agencies that need translation services.

### *C. Difficulties of Using Technology in Online Teaching Translation*

The difficulties of using technology in teaching translation online increased during the pandemic due to additional complications of the LMS platforms. Previous research (Akmaliyah et al., 2020; Alwazna, 2021; Di Pietro et al., 2020) found that teachers were required to teach and communicate through a digital medium, while maintaining a strong sense of presence despite physical separation. About 54% of teachers had difficulty implementing online teaching (Mazlan et al., 2022). Teachers faced difficulties regarding inadequate technology training, limited technical assistance, and unreliable connectivity. Previous studies (Basilaiia et al., 2020; Didenko et al., 2021; Enbaeva & Plastinina, 2021) indicate that teachers need more than just basic technological skills, they must also develop competences to create effective teaching methods, aligning course materials, content, and assessments, and designing customized environments for students. In other words, the online setting is not a single structure but rather a collection of online modes and technologies, and that online courses should be designed with certain characteristics of dynamism, engagement, and interactivity (Dhawan, 2020). Furthermore, research (Abbas et al., 2021; Alsager & Omar, 2019; Chen et al., 2022; Tao & Wang, 2022) found that while technology offers benefits to teaching translation such as increased efficiency, learner autonomy, and technological competence, but it also presents challenges related to teachers' authority, knowledge organization, and the need for a well-defined teaching philosophy and positive attitudes towards using technology. According to Perramon and Ugarte (2020), a complex problem in teaching translation/ interpretation involves the modification of online teaching approaches to accommodate larger classes, which required using collaborative approaches. The study found that teachers need to adjust the content and the methodologies to be in alignment with the changing demands of the profession in real-world practices. Additionally, Pym and Torres-Simón (2021) argued that increased automation involves an expansion of skills to blending translation with other communication forms to give authority for human inference to automated outcomes. In this regard, Bilić (2020) discussed the challenges associated with using Computer-Assisted Translation (CAT) tools, specifically addressing students' concerns about translation memory and segmentation, which necessitated a step-by-step approach to teaching CAT technology with a focus on terminology management. This approach motivated students to collaboratively proofread and edit the final outputs, producing high quality translation. Thus, despite the technological challenges such as complexity, accessibility, and adaptability, improving the training of both teachers and students can be a potential solution to address these issues.

## III. METHODOLOGY

### *A. Research Questions*

1. What were teachers' lived experiences with first-time inclusive online teaching during the pandemic?
2. What are the cognitive approaches teachers employed while using the LMS platforms?
3. What are the difficulties teachers faced while using technology?
4. How did translation technology influence students' performance?

### *B. Participants*

83 teachers participated in this study. They are staff members in the English Department, College of Languages and Translation, at IMSIU. The participants' age ranges between 25 to 65 years old. They are all female, with teaching

experience ranges between less than 5 to more than 10 years. They teach language and translation courses that focus on helping students acquire translation skills, preparing them to become proficient translators, capable of performing high quality translation/interpreting in local and international organizations. The instructional approaches they used before the pandemic were based on traditional methods, supported by 20-25% blended learning. They were not involved in inclusive online teaching prior to the pandemic lockdown.

### C. Instruments

A 5-point Likert questionnaire was used to collect quantitative data to identify the participants' demographic information, the LMs platforms they used for online teaching, and the technology applications they integrated into the platforms to carry out their instructional plans. A semi-structured interview was used to collect non-random data from 28 teachers, selected purposively from the total sample of 83, based teaching experience. This non-random purposive selection was employed to explore the participants' online experiences and gain insights to address the research questions.

### D. Procedures

The questionnaire and the interview were validated by pilot studies before collecting the data. IBM-SPSS® (version 28) was employed for statistical analysis, and statistical measures were computed, including: frequencies and percentages to responses to questionnaire items; Pearson correlation coefficient to assess the internal consistency and validity of the study tool; Cronbach's Alpha coefficient to determine the reliability of the study tool's different dimensions; and mean and standard deviation to examine the responses across study sections. NVivo (version 14.0) was used to analyze the qualitative data, which resulted in obtaining the emergent themes and invariant constituents of each theme.

### E. Research Limitations

The results of the study do not include teachers who teach in other universities or different courses. The study time span was only one semester, during the pandemic lockdown. The study purpose focused only on exploring the cognitive teaching approaches they used for achieving translation course objectives. Further studies may include different universities, and different courses with different technology applications.

## IV. RESULTS

Pearson correlation coefficient showed a significant (0.01) level. Cronbach's alpha indicated a value of (0.869), referring to high reliability. Pearson correlation coefficient also showed that variables exhibit statistically significant correlations at (0.001) level, reflecting notable validity, significantly at (0.01) level.

### A. Demographic Results

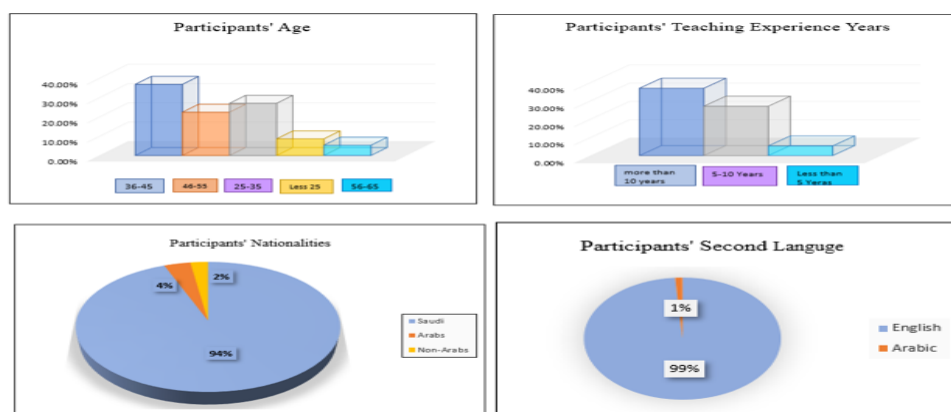


Figure 1. Participants' Demographic Data

Figure 1 illustrates the age distribution of the participants: (61.4%) fall within the 36-45 age range, (19.3%) within the 25-35 age range, (8.4%) within the 46-55 age range, and (4.8%) within the 56-65 age range. Approximately (6.0%) of participants are below 25 years old. Moreover, (61.4%) of participants have more than 10 years of teaching experience, (30.1%) have 5-10 years of teaching experience, and (8.4%) have less than 5 years of teaching experience. Regarding languages, (97.6%) of participants speak Arabic as their native language, while (2.4%) speak English as their native language. In terms of nationality, (94.0%) are Saudi nationals, and (6.0%) are non-Saudi.

### B. Answering Study Questions

*Q1. What were teachers' lived experiences with first-time inclusive online teaching during the pandemic?*

Approximately (78.3%) of participants, comprising (22.9%) who *always* had positive experiences and (50.6%) who *often* had positive experiences, reported positive encounters while teaching translation online for the first time. In contrast, (2.4%) referred to *rarely*, and (0.0%) pointed to *never*, with mean score (*M*) of (4.27) and standard deviation (*SD*) of (0.857), highlighting teachers' positive experiences of teaching translation online for the first time. A rate of (73.5%) indicated that the LMS helped them deliver the course objectives, comprising of (22.9%) *always*, and (50.5%) *often*, in contrast to (1.2%) for *rarely* and *never*, with (*M*) score (3.93), and (*SD*) is (0.793). Commenting on their lived experiences, one participant stated, "It was a sudden shift to an inclusive online environment, and it was quite challenging. The technology support we received helped a lot; I also considered students' preferences for the online resources they suggested, providing activities based on personalized choices." Another participant noted, "In spite of the difficulties of losing connection and not seeing my students' reactions and level of understanding face-to-face, my experience was positive." A third comment stated, "On the positive side, teaching translation online provided me with flexibility and accessibility to many materials. Actually, the multidimensional setting offered diverse learning opportunities, enriching discussions and exposing my students to various cultural contexts." However, one participant expressed a different view, stating, "Online teaching presents challenges, one of which is the loss of face-to-face interaction. I found it hard to build rapport and provide personalized feedback to my students." Furthermore, the results revealed that (78.5%) of participants increased their awareness of the importance of regular technology training. About (62.7%) observed better results in final exams among students, highlighting the positive effects of technology on students' performance. Table 1 displays the results.

TABLE 1  
PARTICIPANTS' FIRST EXPERIENCES TEACHING ONLINE DURING COVID-19 (N=83)

	Always	Often	Sometimes	Rarely	Never	Mean	SD
1. The Learning Management Systems (LMS) I used during COVID 19 was helpful in achieving course objectives.	22.9%	50.6%	24.1%	1.2%	1.2%	3.93	0.793
2. The Learning Management System (LMS) I used during COVID 19 did not require any additional technology to deliver my teaching materials.	14.5%	32.5%	39.8%	9.6%	3.6%	3.45	0.978
3. I had many difficulties in using LMS technology during COVID-19, and training was not adequate.	7.2%	14.5%	36.1%	30.1%	12.0%	2.75	1.08
4. Technical support was provided during COVID-19, for using LMS technology for teaching online.	27.7%	28.9%	22.9%	14.5%	6.0%	3.58	1.211
5. I received adequate training for using educational technology in teaching.	13.3%	27.7%	33.7%	19.3%	6.0%	3.23	1.097
6. The experience of COVID 19 raised my awareness that regular training in using new technology must be provided for teaching and learning.	50.6%	27.7%	19.3%	2.4%	0.0%	4.27	0.857
7. The results my students achieved in online classroom are the same as that of traditional classrooms during COVID-19.	8.4%	6.0%	27.7%	36.1%	21.7%	2.43	1.15
8. Based on the results of the final exams, using technology had positive effects on my students' language and translation proficiency, consequently performance.	6.0%	18.1%	38.6%	32.5%	4.8%	2.88	0.968

As displayed in Table 1, the results revealed that the participants encountered difficulties using the Learning Management System (LMS), with (57.8%) indicating inadequate training. However, (74.7%) reported receiving sufficient training in educational translation technology, suggesting that some participants successfully integrated technology into their teaching practices. Approximately (62.7%) stated that technology usage contributed to improved student performance, as evidenced by final exam results. Moreover, emergent themes from the qualitative data highlighted the challenges in managing the LMS platform (71.4%), the importance of integrating effective technological tools, and the impact of technology on translation students' performance (both reported by 78.5%). All participants (100%) noted the themes of enhancing online social presence and providing technology tutorials. Additionally, (89.2%) reported themes related to designing effective instructional plans, while using cognitive approaches, suggesting that only (10.8%) used traditional teaching strategies for online translation. Table 2 provides an overview of these themes.

TABLE 2  
EMERGED THEMES OF PARTICIPANTS' INTERVIEW (N=28)

Emergent Theme	Number of Participants	Percent
Managing the LMS platform	20	71.4%
Integrating effective technological tools	22	78.5%
Enhancing online social presence	28	100%
Designing effective online instructional plans	25	89.2%
Using cognitive teaching strategies for online translation	25	89.2%
Integrating online translation learning activities	23	82.1%
Providing technology tutorial for students	28	100%
Influence of technology on translation students' performance	22	78.5%

As displayed in Table 2, the theme of integrating online translation learning activities was reported by 23 participants, representing (82.1%), and the theme of providing technology tutorial for students, was reported by all 28 participants, representing (100%). Qualitative results also showed the theme of employing remote assessment, reported by (64.2%). Reporting on their lived experience, one participant stated, “I encountered some challenges in using the platform such as uploading the teaching materials, recurring internet disconnection, and taking students’ attendance.” Another participant stated, “I faced technical challenges using Zoom, while Telegram was more user-friendly for specific tasks, specifically, recording verbal responses.” Figure 2 shows the utilization of LMS platforms, indicating that (42.2%) used Microsoft Teams, and (39.8%) used Blackboard, while (13.2%) used Zoom. About (6%) reported using other platforms. Figure 3 shows Telegram as the most frequently used application for communication with (34.9%), followed by WhatsApp with (14.5%), Twitter (renamed X) by (8.4%), and emails by (7.2%). The results also revealed that (9.6%) of the participants used video conferencing to enhance communication with low-proficiency students.

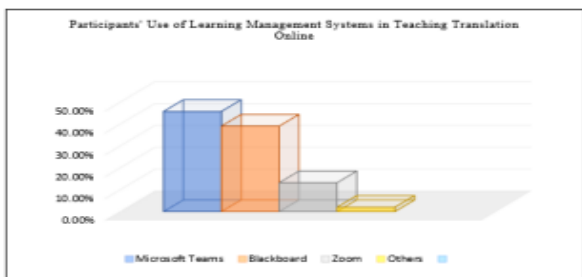


Figure 2. Results of Participants' Use of LM Teaching Translation Online

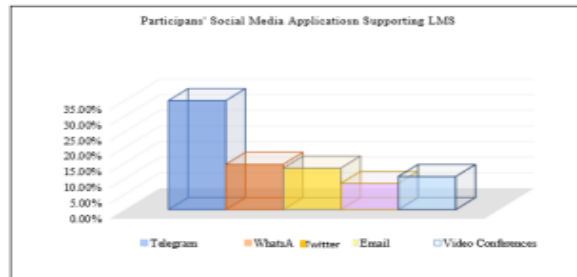


Figure 3. Results of Participants' Use of Social Media to Support LMS

*Q2. What are the cognitive approaches teachers employed while using the LMS platforms?*

The results revealed that the participants employed various cognitive approaches when using technology for teaching translation online. These approaches included project and problem-based instruction, collaborative techniques, and constructivist approaches. The emerged themes are presented in Table 3, indicating that the project-based approach was adopted by (82%), followed by the collaborative approach at (75%). Both the constructivist approach and lab training were employed by (68%) each. The taxonomy of cognitive skills, and conference-based approach were used by (64%) each, while the cognitive apprenticeship was used by (54%). The results also identified some participants’ responses regarding the employment of the cognitive apprenticeship approach. One participant stated, “I couldn't apply cognitive apprenticeship because it involves mentoring and guiding students in a real-world context, and the online platform made face-to-face interaction difficult for them.” Another participant noted, “It requires mentorship for a small group to understand the practices and methods used in this approach, and students weren't ready for it yet.” Table 3 provides an outline of these themes.

TABLE 3  
EMERGING THEMES IN COGNITIVE APPROACHES (N=28)

Emerged Theme	Number of Participants	Percent
Project-based instruction	23	82%
Collaborative approach	21	75%
Constructivist approach	19	68%
Lab training	19	68%
Taxonomy of cognitive skills	18	64%
Conference-based approach	18	64%
Cognitive apprenticeship	15	54%

The results presented in Table 3 indicate that participants most commonly utilized the project-based approach, underscoring its suitability for teaching translation online. This approach involves student collaboration, proving beneficial for acquiring translation skills in cooperative environments. Table 4 shows the invariant constituents of project-based teaching approach.

TABLE 4  
INVARIANT CONSTITUENTS FROM PROJECT-BASED APPROACH THEME (N=28)

Invariant Constituents	Number of Participants	Percent
Instructor provides ideas for translation projects	17	60%
Students suggests project materials	11	40%
Discuss /brainstorm the problems (link translation theory to practice)	18	64%
Explain translation problems	10	36%
Use audio/video resources for demonstration	25	89%
Ask students to search for additional information	22	78.5%
Use critical/ analytical thinking to review suggested solutions	21	75%
Allow collaboration	19	68%



Table 4 outlines the specific components employed to implement the project-based approach. Instructors contributed ideas (reported by 60%), while students made suggestions (reported by 40%). The consistent elements include brainstorming and explaining ideas, reported by 64% and 78%, respectively. Moreover, components involving critical and analytical thinking (75%) and audio/video resources (78.5%) were consistently applied. The invariant constituents also encompassed collaboration, as indicated by (68%). Participants shared their perspectives on the effectiveness of the project-based approach. One participant stated, “The project-based approach was suitable for helping students solve translation problems, encouraging critical thinking to develop essential problem-solving skills.” Another participant mentioned, “I asked my students to compare their translations with professional translations or other students' work, which helped them identify areas for improvement and gain a deeper understanding of translation choices”. A third participant noted, “The project-based approach was appropriate for the rubric assessment I used, as students knew in advance the requirements for assessing their translation, including identification and solution of translation problems”. Furthermore, in the context of assessment methods, quizzes and exams ranked first, with unanimous support from all 28 participants (100%). The second theme highlighted instructor feedback, reported by (82%). Other themes included the use of portfolios and rubrics (each reported by 71%), ongoing assessment and self-assessment (each reported by 64%). Commenting on the assessment they use, one participant stated, “I used cognitive teaching methods and I tried to integrate into them authentic such as rubrics and portfolios, but I had also to use quizzes and exams because they were compulsory in the syllabus, and I did not mind since they serve as effective tools for assessing students' comprehension and retention of course material”. Another participant noted, “I am an advocate for portfolio assessment, because it helps me monitor students' progress, providing a holistic view of their learning and growth over time, as well as encouraging students to practice self-reflection, helping them develop a deeper understanding of their progress and achievements”. In general, the results showed that the participants used appropriate assessment methods for their cognitive teaching approaches.

### Q3. What are the difficulties teachers faced while using technology?

The responses revealed various difficulties, including the complexity of technological tools, disparities in accessing reliable internet connections and devices, glitches or server crashes, technical challenges in navigating the Learning Management System (LMS) or resource websites, lack of proficiency in using appropriate technology, inadequacy of training, and the high cost of software or website access. Providing details about these challenges, one participant stated, “I felt the need to invest extra time in teaching digital literacy to cope with the advancement of technology”. Another participant noted, “As translators, students often work with physical texts such as books, documents, or handwritten notes. Therefore, online environments may not adequately replicate the tactile experience of working with physical texts”. A third comment highlighted “the prevalence of machine translation tools that students can sometimes rely on excessively, potentially hindering their language skills and translation abilities. Many students do not assess translation assignments done by machines, and I am always concerned about issues of academic integrity and preventing plagiarism”. The results identified themes related to the difficulties of using technology, including integrating effective technological tools (reported by 16 participants, 57%), managing the LMS platform (indicated by 50%), the high cost of software or website access (reported by 54%), inadequacy of professional development programs (represented by 42.85%), and disparities in accessing reliable internet connections and devices (indicated by 39%). Thus, the results indicated a high frequency for the theme of integrating effective technological tools into cognitive teaching strategies. Figure 4 displays the frequencies.

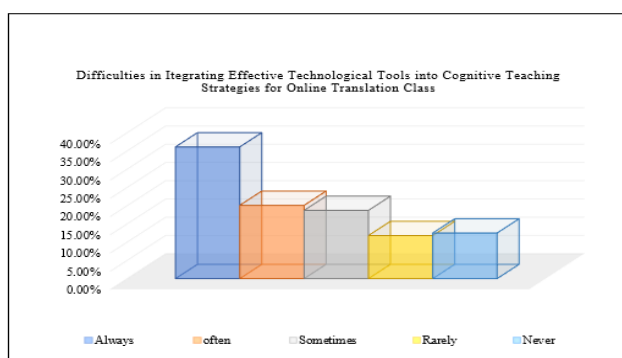


Figure 4. Results of Participants' Difficulties in Integrating Effective Tools Into Cognitive Teaching

As illustrated in Figure 4, the frequency for the theme of difficulties in integrating effective technological tools into cognitive teaching strategies was found to be (75.7%), with a breakdown of (36.1%) *always*, (20.9%) *often*, and (18.7%) *sometimes*, in contrast to (11.80%) *rarely* and (12.50%) *never*. These results emphasize the significance of providing continuous technology training.

### Q4. How did translation technology influence students' performance?

Both quantitative and qualitative data highlighted the positive influence of technology on students' performance, equipping them with effective tools to significantly enhance their translation capabilities. The quantitative data indicated that (62.7%) of students achieved better exam results when using technology in translation (see Table 1). The qualitative data revealed emerging themes, such as technology providing more learning opportunities beyond the classroom, allowing exposure to diverse socio-cultural settings, enabling collaboration that enriched students' learning experiences, offering various sources for feedback, and enhancing independent learning. One participant noted, "I used advanced computer-assisted translation (CAT) software, terminology databases, and machine translation systems, which helped my students increase their efficiency and accuracy." Another participant stated, "I believe that technology plays a dual role in shaping the performance of translation students. Full reliance on it can decrease their mental abilities, but when used properly, it can help them in various ways. This happened with my students who were empowered, using effective resources, software, combined with collaboration opportunities that enhanced their skills and improved their performance". Moreover, a rate of (62.7%) indicated that the results of final exams showed positive effects of technology on students' performance, evident in language and translation proficiency, in contrast to the lower rate of (37.3%). A significant rate of (83.2%) indicated that technology positively impacted students' linguistic levels. About (80.7%) believed that technology improved students' translation skills, and (78.5%) pointed to improvements in social skills. A rate of (65.1%) reported that technology aided in acquiring communicative skills. A percentage of (78.3%) indicated positive impacts of technology on students' psychometric abilities, enhancing motivation, self-assessment, and self-efficacy. Figure 5 shows the results.

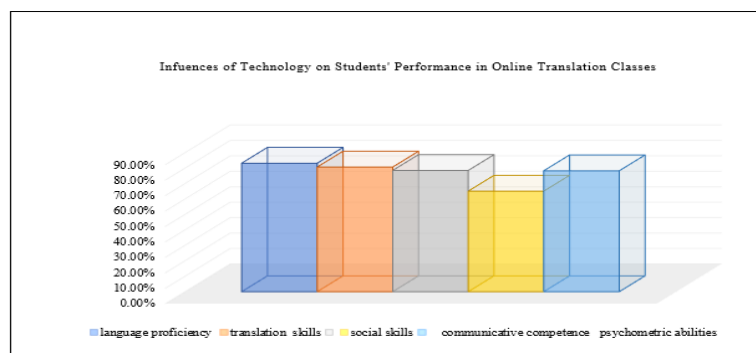


Figure 5. Results of Influences of Technology on Students' Performance in Online Translation Classes

## V. DISCUSSION AND FINDINGS

The findings unveiled positive experiences among participants in teaching translation online, as indicated by (78.3%). About (73.5%) of the respondents, comprising (22.9%) *always* and (50.6%) *often*, reported that the (LMS) platforms, including Blackboard, Microsoft Teams, and Zoom, assisted them in delivering course objectives, despite encountering difficulties (see Figure 2). Approximately (78.5%) reported that online experiences raised their awareness of the necessity for ongoing technology training (see Table 1). The findings emphasize the rate of (78.57%), corresponding to the theme of integrating effective technological tools into cognitive teaching approaches (see Table 2). Furthermore, the findings revealed that using social media, including Telegram, WhatsApp, and Facebook, enhances social interactions among teachers and students, compensating for the loss of physical presence (see Figure 3). In alignment with these findings, Alwazna (2021) reported that (40%) of the participants evaluated their online translation teaching experience during the COVID-19 outbreak as meaningful and enjoyable, despite the difficulties they faced. Similarly, Akmaliah et al. (2020), Chen et al. (2020), Di Pietro et al. (2020), and Mazlan et al. (2022) asserted that teachers had positive experiences playing their roles in fostering virtual classroom interactions, dealing with learners' psychological problems, and solving technical problems that occurred during online sessions. Consistently, Basilaia et al. (2020) found that LMS platforms are advantageous for enhancing teacher workflow due to their technical features and time-saving capabilities. Akcil and Bastas (2021) indicated that the effectiveness of online teaching/learning can be interpreted through individuals' social-psychological perspectives on how their experiences are reflected in reality and the impacts of technology on their outcomes. In alignment with this research, the present study's findings revealed that students' translation, linguistic, social, and psychometric abilities significantly improved while engaged in online translation classes. Another finding of the present study is the revelation of cognitive teaching approaches employed by teachers in online translation instruction. These approaches include project-based instruction (82%), the collaborative approach (75%), the constructivist approach, and lab training (68%). Additionally, teachers incorporated various technology tools such as computer-assisted translation (CAT), audio/video materials, online dictionaries, electronic/interactive textbooks, Google tools, and translation websites (see Table 3, Table 4, & Figure 4). Teachers reported that cognitive teaching approaches highlight the importance of achieving a profound understanding of the source text, aiding students in comprehending the contextual messages and leading to more accurate translations. The implementation of these approaches helps students develop critical thinking and problem-solving skills, enabling them to effectively tackle



complex linguistic and cultural challenges. In alignment with these findings, previous studies (Bilić, 2020; Chen et al., 2023; Ge et al., 2022; Kairong & Muñoz, 2020) indicate that researchers and teachers have endeavored to construct models illustrating various facets of translational cognition. They primarily draw upon concepts and theoretical foundations adopted from linguistics, neuroscience, sociology, psychology, and technology. The incorporation of these concepts and models helps teachers in delivering effective instruction, including the employment of the project-based approach and social constructivist approaches. In this respect, Kiraly (2018) found that cognitive approaches emphasize context and the impact of cultural and linguistic factors, enhancing the contextual accuracy of translations. Applying social constructivist approaches, for instance, helps students construct new knowledge, enhancing cultural values and competencies, with the maximum use and development of their cognitive, affective, psychomotor, and experiential potentials. Madkour (2015) found that using a project-based methodology is a constructivist authentic approach for teaching machine translation, which significantly improved students' performance while enhancing their creative thinking. In this regard, Schunk (2019) emphasized the importance of meaningful instruction, authentic context, and collaborative interactions, especially when incorporating computer-aided translation tools, in enhancing translator skills. Additionally, Xu and Ouyang (2023) affirmed that the constructivist approaches empower students with meta-knowledge of translation and interpreting, beneficial for their training, enabling them to effectively handle and transfer information across languages in diverse socio-cultural settings. Li et al. (2023) concluded that the effectiveness of cognitive approaches to teaching translation stems from focusing on achieving the translation skopos (purpose) while using technology and psychological resources to train students how to identify translation problems embedded in texts and implement appropriate translation strategies to solve them.

Other findings of the current study point to the difficulties that teachers face while using technology in teaching translation online, highlighting the complexity of the technological tools, disparities in accessing reliable internet connection and devices, technical problems of navigating the LMS, inadequacy of training, and the high cost of software or website access, as expressed by the percentages of (75.7%) (see Figure 4). In alignment with these results, previous research (Bilić, 2020; Enbaeva & Plastinina, 2021; Tao & Wang, 2022) asserted that while technology has many advantages for facilitating the teaching/learning process, however, it also involves some difficulties concerning teachers' authority, knowledge, competences, and philosophy and attitudes towards technology integration. In this respect, Wenchao and Defeng (2023) found that despite the effectiveness of CAT tools, some reservations were detected regarding its complex navigation, inaccurate segmentations, and inconsistent memory management. However, the present study findings revealed the positive effects of using translation technology on students' performance, indicating that technology expands their learning opportunities, fostering socio-cultural interactions, promoting collaboration for enriched educational experiences, offering multiple feedback sources, and strengthening independent learning, as reported by (62.7%). The results found that students' performances were better in online classes, based on the final exam results (see Table 1). These findings highlight students' development in language and translation proficiency by (83.2%), as well as improvements of (78.5%) in linguistic abilities, (78.5%) in social skills, (65.1%) in communicative skills, and (78.3%) in psychometric abilities (see Figure 5). These findings are in harmony with previous research (Aroles & Küpers, 2021; Chen et al., 2023; Ge et al., 2020; Gu & Zhao, 2021; Li et al., 2023; Wang, 2023), affirming a positive relationship between the use of technology and students' performance, as revealed in their final exams, assignments, and instructor feedback. In this context, Guerberof and Moorkens (2019) asserted that using machine translation for post-editing resulted in improved performance in students' assignments. Chen et al. (2023) further affirmed that students in flipped classrooms based on cloud computing outperformed students in traditional classrooms. Abbas et al. (2021) found that emerging technologies for innovative pedagogies contribute to teacher competency development.

## VI. RECOMMENDATIONS AND CONCLUSION

The present study has several implications, highlighting the benefits of teaching translation online and adopting cognitive approaches suitable for the features of the LMs platforms. These platforms offer a wide range of opportunities to enhance students' learning beyond the traditional classroom setting. Incorporating technology into language and translation education allows teachers to emphasize the relationship between translation theory and its practical implementation. Another implication is that teachers struggling with limited technology proficiency may benefit from professional development programs to assist them in implementing innovative approaches to foster students' critical and creative thinking. This study reveals that relevant implications of instructional pedagogy and the appropriate integration of technological tools are crucial for ensuring continuous success in delivering translation content using online settings. Technology also enhances the employment of authentic assessment, engaging students in self-assessment and motivating them to develop self-efficacy. However, using technology requires the development of technological competences. Therefore, the study recommends providing ongoing technology training, incorporating translation technology resources into language and translation curriculum and instruction. In conclusion, this study explored teachers' initial experiences of using inclusive online settings to teach translation during the COVID-19 lockdown at IMSIU in Saudi Arabia. The study delved into the cognitive teaching approaches implemented to achieve course objectives and the assessment tools that helped evaluate students' learning outcomes. The findings revealed that the social, technological, and pedagogical challenges teachers encountered were intertwined; however, with their

perseverance and technical support, they managed to overcome these difficulties. The use of translation technology, such as CAT tools, online dictionaries, memory databases, and website resources, helps teachers design learning environments that empower students to process information and use translation theories to identify and solve translation problems in real-time practices. Consequently, the study contributes to emphasizing the integral relationship between translation, cognition, and technology. Additionally, the study contributes to global reports on higher education conditions during the pandemic lockdown.


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# A Postcolonial Psychoanalytic Study of Indigenous Futurism in Ambelin Kwaymullina's *The Interrogation of Ashala Wolf* and Marianne De Pierres' *Nylon Angel*

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**Abstract**—This article aims to critically assess the projection of 'Indigenous Futurism' by examining the select Australian young adult novels using Jaques Lacan's Anamorphosis from a postcolonial perspective. Ambelin Kwaymullina's speculative fiction *The Interrogation of Ashala Wolf* (2012) projects a futuristic Australia where the tribal people are seeking independence from a colonial authority. Similarly, the plot of Marianne de Pierres' *Nylon Angel* (2004) revolves around the issues of the marginalized people in Australia in a technodystopian world. The objective of this article is to critically examine these two speculative novels using Lacan's anamorphosis concept to correlate how these authors have connected the contemporary issues in Australia and also how they have speculated the issues of the Aboriginal people in Australia in the future. Additionally, this article also aims to highlight how they have projected the 'Indigenous Futurism' from an Aboriginal man's perspective using anamorphosis.

**Index Terms**—postcolonial psychoanalysis, Indigenous futurism, stolen generation, anamorphosis, posthumanism

## I. INTRODUCTION

'Indigenous futurism' is a cultural movement propounded by Grace L. Dillon. This cultural movement strives to use the arts and other media to express the future of indigenous people. The outcome of this cultural movement is visible in literature, films, video games, comics, virtual reality and other forms of media. Lagace (2018) emphasizes the significance of 'Indigenous Futurism' in video games and also how it actually connects the culture and politics of the colonized nations. This movement tries to reconnect the past indigenous traditional stories and knowledge with the present and the future. This movement seeks to link the present and the future with historical folklore and traditional knowledge. The representative works of this artistic movement contain themes of imperialism, genocide, and environmental hazards.

Indigenous Futurism is also a style of art that envisions a sophisticated technology society for the Aboriginal people. For instance, in *Black Panther*, the story revolves around the technologically superior country of Wakanda, which is ruled by an Aboriginal king named T'Challa. The movie's key idea is 'Afrofuturism', since it makes an assumption that the native Africans are living in a technologically developed nation. Indigenous writers have embraced the topic of 'Indigenous futurism' as a tool of resistance against futuristic colonialism. This cultural movement brings the ancient customs of the Aboriginal people back together in a fantastic, technologically sophisticated future. For instance, in *Black Panther*, the Wakandans engage in a rite where they consume a heart-shaped plant to meet their ancestors before embracing the throne. "Communicating with the ancestral spirit is an important aspect in the African tradition as it connects the past and present lives" (Vijayasekaran & Alan, 2022, p. 9). In addition to this, they also have the practice of conducting a ritual fight to determine who the king is.

This article stresses on how the select Australian young adult fiction writers have employed "Indigenous Futurism" in their works which is similar to 'Afrofuturism'. This trend primarily promotes the mythology and traditions of the indigenous people in a futuristic setting. For instance, there is a myth in Australia that the continent's mountains and landscapes were shaped by supernatural entities with a close affinity with the natural world. Some Indigenous Australians still hold the concept that the ancient serpents created and guarded their land and were therefore venerated as gods. This is because their beliefs are deeply rooted along with their land and culture and this reference is given by the Aboriginal Australian writer Ambelin Kwaymullina in her young adult fiction *The Interrogation of Ashala Wolf*.

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The effects of colonization are frequently depicted in science fiction, a subgenre of speculative fiction in general. For instance, the colonization of Tasmania is allegorically depicted in H.G. Wells' *War of the Worlds*. Similarly, Eubanks (2018) in her thesis examines the employment of Indigenous Futurism and the impact of racism in Nnedi Okorafor's *The Book of Phoenix* which is a science fantasy novel. In this context, *Nylon Angel* (2004), a sci-fi novel written by Marianne de Pierres is chosen for this study. As Ambelin Kwaymullina's work extensively dealt with mythical representations of Australian Aboriginal people, Marianne de Pierres in her *Nylon Angel* projects the issues of the Aboriginal people in the slums who are victimized by the media and gang lords in future. However, the author places a strong emphasis on science-related catastrophes. This critical comparison is the central theme of this article and it is going to be scrutinized through the psychoanalytic lens.

## II. REVIEW OF LITERATURE

Weaver (2007) in the thesis titled "At the Ends of the World: Apocalypse and Australian Speculative Fiction" examines the theme of Apocalypse in the Australian context by examining the global issues like nuclear war, environmental degradation and the impact of colonialism by analyzing select Australian speculative novels.

Quealy-Gainer (2014) in the review article summarizes the plot of Kwaymullina's *The Interrogation of Ashala Wolf* (2012) in which the protagonist Ashala is betrayed by Justin whom she considered as her lover and also how she escapes from the doctor employed by the colonial government to capture her tribal people.

Murphy (2016) in the article titled "For Love of Country Apocalyptic Survivance in Kwaymullina's Tribe Series" critically analyzes the impact of apocalypse and colonialism in a dystopian future as represented in the tribe series *The Interrogation of Ashala Wolf* (2012), *The Disappearance of Ember Crow* (2013) and *The Foretelling of Georgie Spider* (2015).

Turcotte (2018) in the article titled "The Caribbean Gothic Down Under: Caribbean Influences in Pierres' Parrish Plessis Novels" examines the concepts like- Postcolonial theory, Caribbean culture and Indigenous Spirituality in the select works of Marianne de Pierres.

These are some of the research articles related to the select Australian speculative novels in which the authors have highlighted the concepts like apocalypse, postcolonialism and indigenous spirituality.

## III. RESEARCH GAP

Numerous scholars have critically examined the idea of a future apocalypse in Australian young adult novels, but the purpose of this article is to critically examine the select works using the anamorphosis concept to psychoanalytically interpret how both the authors have conjectured the problems of a futuristic Australia from a postcolonial standpoint. This article primarily focuses on how the Australian Aboriginal author Kwaymullina has highlighted the concept of indigenous futurism in her writing and how it is diverged from that of the work of the non-Aboriginal author Pierres.

### **Research Questions**

1. How the select Australian writers have exhibited the present crises of Australian Aboriginal people in their works?
2. What are the major themes employed by the select Australian and non-Aboriginal writers to speculate the futuristic issues of Australia?
3. How an anamorphic study of the select young adult fiction could speculate the futuristic issues of Australian Aboriginal people?

## IV. POSTCOLONIAL PSYCHOANALYSIS

Fanon was the pioneer in the field of postcolonial psychoanalysis. In his *Black Skin White Masks*, he expounded on Algeria's colonial legacy and prevailing racial politics. Fanon's psychoanalytic investigation was mainly focused on the racial discrimination and the affliction faced by the black men in Algeria. As Fanon (2008) argues that a Negro child having grown up in a normal family would become abnormal when it is exposed to the white world.

In the 1920s and 1930s, medical professionals looked at the physical and psychological health of the colonized people, but many psychiatrists came to the conclusion that European men suffered from guilt more than black men, and that they were also lazy, anxious and indulgent. Additionally, numerous critics who have made eminent contributions to the study of postcolonial psychoanalysis include Homi K. Bhabha, Ashis Nandy, Gilles Deleuze, and Felix Guattari. Greedharry (2008) argues that psychoanalysis is said to be a pertinent 'reoccurring methodology' in the context of colonial criticism and postcolonial theory (p. 4).

In the colonized countries, many psychoanalysts began to explore about the psyche of the colonizer and the colonized aftermath the European colonization. In the Australian context, numerous Australian psychoanalysts have investigated the effects of colonization in this setting by closely examining the Australian literature. For instance, Ravenscroft (2013), an Australian psychoanalyst in her *The Postcolonial Eye* examined the select Australian novels through a psychoanalytic perspective. The Australian Aboriginal people are facing numerous issues even after the end of the colonial era and this is expressed by several authors in their works. In addition to this, many contemporary Australian writers are addressing the Aboriginal people's issues through young adult literature. Two of such young adult novels

chosen for this psychoanalytical study are Ambelin Kwaymullina's *The Interrogation of Ashala Wolf* and Marianne de Pierres' *Nylon Angel*. These speculative novels are going to be scrutinized with anamorphosis which emphasizes the significance of the underlying meaning (gaze) rather than the straight view (eye).

## V. AN ANAMORPHIC STUDY OF *THE INTERROGATION OF ASHALA WOLF* AND *NYLON ANGEL*

### A. *The Interrogation of Ashala Wolf*

The psychoanalytic method of "Anamorphosis" developed by Lacan was initially used to analyze paintings and other visual media, but it is now frequently used to examine literary texts. An anamorphic image provides a distorted image when we perceive it from a normal viewpoint but the intended image of the artist can be viewed in a curved mirror or when we view it from a different angle. Likely, the same context can be applied in the literary texts too. In this research article, this concept is applied in the chosen young adult fictions to speculate the futuristic issues of the Australian Aboriginal people from a postcolonial perspective. The select young adult novels may appear to be 'young adult fiction' or 'science fiction' from a normal viewpoint but when we look at them from the perspective of the native Australian in a postcolonial setting, we might learn about potential crises that the Australian natives may face in the future.

Ambelin Kwaymullina is an Australian Aboriginal (Palyku) writer. In her young adult fiction, *The Interrogation of Ashala Wolf* (2012), the protagonist Ashala fights to free herself and her tribe from the control of the colonial government and a crazy doctor named Neville Rose. Kwaymullina has used the word 'Illegals' in this text, which is what the colonial administration used to calumniate the tribal people. The author uses this term to allude to some Australian settlers' colonial bias. She claims in her text that the "Illegals" (natives) went away from their houses before turning fourteen just to avoid going to the prison camp. This is a subtle representation of the stolen generation in Australia which was a serious issue that existed before the end of the colonial era in Australia because the European settlers kidnapped the Aboriginal children to annihilate their identity. As Greedharry (2008) emphasizes, a child grows only by looking at its family and the family members and she adds that the surrounding determines the character of a child. In this respect, when the Aboriginal child is removed from its family it would lose its identity.

The issues of the Aboriginal people such as climate change, colonial discrimination, inequality and stolen generation are clearly elucidated in this young adult fiction and this could be explored through an anamorphic study from a native man's perspective. Additionally, the author Kwaymullina (2012) hypothesizes in this work of fiction that there will be only about seven cities in the future which is an allegorical representation of a gloomy future. Neville, the story's antagonist argues that he is imprisoning the "illegals" (tribes) in order to keep the cities in harmony and ensure that they never pose a threat to humanity. However, according to Ashala, the apocalypse would not occur because of the 'Illegals' (the tribal people), rather it would happen because of the people like Neville, which in the postcolonial context signifies that the world would come to an end because of the political ascendancy of the imperial powers. Neville believes that the existence of 'illegals' will jeopardize the equilibrium of the planet. This represents the impact of colonialism, which occurred in Australia when European settlers took control of their lands after the Indigenous people's enslavement and it also projects how the authority would pose a threat to the freedom of the Aborigines in future.

Despite Ashala's imprisonment, she manages to communicate to her friend and the 'serpent' god through dream walking. These are some of the mythical fantasy elements employed by the author to try and communicate to the readers effectively and she tries to retrieve the Australian myth about 'serpent' god as the Australian Aborigines have a belief that the Australian lands are created by a huge serpent which is a symbol of deity for them. As Sommerova (2013) states that the Aboriginal people had their own customs, traditions and beliefs before the invasion of the Europeans. Apart from the mythical images, the author has imagined a futuristic Australia in which the tribal youths are born with supernatural abilities. This could be compared to the plot of X-men series through an anamorphic study as the mutants are considered to be marginalized by some of the white men in that film series. As Lund (2015) argues that Marvel Comics' mutants have been represented as 'others'.

### B. *Nylon Angel*

The plot of this fiction revolves around the protagonist Parish Plessis and her struggle against a gang lord Jamon Mondo in a media dominated society in a cyberpunk world. The plot of this fiction may appear to be a science fiction due to its inclusion of themes like posthumanism and urban fantasy. However, this article argues that this fiction could be analyzed as a postcolonial speculative fiction through an anamorphic reading as this fiction speculates the advanced forms of colonialism in future. According to the Lacanian notion of Anamorphosis, a shift in the perspective could deliver us several meanings. In this context, this research article aims to identify the issues of the Aboriginal slum people represented in this fiction through a native person's viewpoint. For instance, there are two cities in this fiction in which the Tert is a slum where the poor people use it as a residential place and Viva is the city of residence for the rich people. By examining this story from the perspective of an Australian Aboriginal man, it is possible to draw parallels between it and the current state of affairs in Australia, where a large number of Aboriginal people live in cramped quarters due to inadequate housing facilities.

The setting of *Nylon Angel* is a techno-dystopian society where crime lords and the media employ streetpunks and cyborgs to assault the populace and raise their ratings. Jamon Mondo, a crime boss wants to take over Tert city, but a

local named Daac (Dark) fights to defend his place from the cyberpunk culture. He asserts that “Tert” is his people’s property, and he vows to recover it. In the words of Weaver (2011), “To portray the sinister effects of a world dominated by multinationals, cyberpunk often employs a dystopian setting, almost invariably imagining a world worse than today” (p. 161). Numerous characters in this fiction are depicted as genetically modified hybrids and also humans altered with bio-robotic experiments. Despite the projection of an urban fantasy setting, the author has also introduced the indigenous tribes as the protectors of the Tert society. Death, in the Kurdaitcha people’s tradition is brought on by bad spirits or spells. The Kurdaitcha men were brought in to execute the offenders and convicted felons. This reference which the author has inserted into the story should be examined from the viewpoint of a native.

This fiction digs deep into the issues of the Aboriginal people when Parish enters Tert. Marianne de Pierres emphasizes the advantageous position of the Viva city people, which alludes to the white people in Australia. The projection of media control over the slums in this fiction is one of the futuristic perceptions of the author. In a technodystopian world, how the poor people would be affected by the media and megacorporation are exposed through the medium of this speculative fiction. The author tries to project the pathetic situation of the fishing families belonging to the ‘Tert’. They are only provided with polluted lands and contaminated water and this made them to suffer with severe health issues. In addition to this, the author also emphasizes that the constructions and pools in the futuristic Australia which are built on the old mortgages and backyards and people might not know what lies beneath their land. In this respect it could be considered a reminiscent of Australian Aboriginal past through an anamorphic study. It is a known fact that several restaurants and buildings are constructed in Australia in the places which were earlier used as Aboriginal prisons.

The slum people in the ‘Tert’ are employed as underground workers as they believed that the use of human labour would be cheaper rather than employing humanoids for this work and this represents the poverty of the slum people in the future which is also one of the major concerns of the Australian Aboriginal people. The people of Tert are ready to clean the place which is previously a place for feral creatures due to its unclean condition. As Junankar et al. (1991) emphasized in their article that the poverty level and the unemployment rate of the Australian Aboriginal people are higher than that of the non-Aboriginal Australian people.

## VI. DISCUSSION AND ANALYSIS

### A. *Depiction of Contemporary Politics*

This section of this article focuses on how the select young adult novels could be associated with the contemporary politics and issues of Australia through an anamorphic perception. For instance, the concept of stolen generation is projected in Kwaymullina’s *The Interrogation of Ashala Wolf* in a subtle way. In addition to this, the impact of Aboriginal people’s custodial deaths in Australia is also projected in this fiction as one of the chapters in this fiction deals with the death of Ashala’s sister, which is considered to be a custodial death but there is a twist in the story. The author wants to allude to the contemporary politics and issues of Australian Aboriginal people through her work. As several Australian journals suggest that the rate of Aboriginal people’s custodial deaths are higher than that of the non-Aboriginal people in the last ten years.

Similarly, Marianne de Pierres in her *Nylon Angel* highlights about the polluted soil, contaminated water and the emission from the industries and how it is affecting the marginalized people in the slum areas which could be associated with the contemporary situation of Aboriginal people in Australia. Allam (2020) in the guardian article states that the Aboriginal people in Australia have below 1% of all water licences in Australia and it is considered to be a form of economic and cultural dispossession. This aspect could be examined through an anamorphic study because Pierres has projected the water contamination as a major threat for the natives belonging to Tert which allegorically reflects the present Australian crisis as we all know that in the contemporary age, the Australians are facing environmental hazards including deforestation, clearing of agricultural lands, illegal fishing and the infrastructure development in the coastal areas. In addition to this, the Australian Aboriginal people are currently lacking basic household in many places of Australia. As Hudec (2013) argues that the indigenous people are still relying on government for basic household facilities and they definitely have an inferior housing facility system when compared to the household system of non-Indigenous people.

### B. *A Comparative Analysis of Major Themes*

Kwaymullina’s *The Interrogation of Ashala Wolf* highlights the cultural concepts of Australian Aboriginal people like Australian myths, Indigenous tradition and Dreamtime Storytelling. In addition to this, the author has also highlighted the impact of ‘stolen generation’ which is one of the major issues of the Aboriginal people. The concepts like ‘Dreamtime Storytelling’ and ‘Indigenous Futurism’ helps to reconnect the past with the present and the usage of mythical images and references makes a connection to revive the culture of native inhabitants. This fiction also tries to reconnect the myths of the Indigenous people with the present. This implies a meaning that the author has a deeper connection with the Australian myths and the Indigenous traditions and she tries to revive the culture of Aboriginal people in the futuristic context.

On the other hand, in Pierres’ *Nylon Angel*, the author has projected the impact of genetic experiments and the usage of cyborgs as a replacement for humans. This fiction envisions that how the artificial intelligence can be blended along



with the humans like the implantation of maps in human's retina as depicted in the novel. As Nayar (2014) states about the depiction of cyborgs in the film *Terminator*, in which Arnold Schwarzenegger played the role of a cyborg who develops the traits and feelings of a human person in the Terminator franchise's follow-ups. This is one of the pertinent futuristic aspects that how the human body could be blended with the machine in the futuristic world. However, this fiction also has the elements of Aboriginal clan names and their practice which is also one of the features of cyberpunk fiction, in the words of Cavallaro (2000).

Classical mythology, voodoo, spiritualism, neo-Christian cults and a whole theology of artificial intelligences constantly interact with modern and postmodern technologies. Cyberpunk has not only redefined current understandings of science fiction. It has actually forged a new language and image repertoire to describe and negotiate contemporary culture in relation to both the future and the past, and by stressing the enduring hold of mythology and fantasy (p. xii).

## VII. CONCLUSION

From the above analysis it is evident that Kwaymullina (Australian Aboriginal writer) has used "Indigenous Futurism" as a cultural movement to bridge the past, the present, and the future. She has incorporated Australian mythology and indigenous culture into the storyline of this work of fiction. On the other hand, the contemporary issues of the Australian Aboriginal people like water poisoning and subpar living facilities and also the science-related problems are speculated in *Nylon Angel*. Through an anamorphic study, this research article claims that both the authors are highlighting the present crises and also speculating the futuristic scenario of the Australian cities from their perspectives but from the viewpoint of an Aboriginal man, Ambelin Kwaymullina appears to be much more connected to the myths of her homeland. However, the Aboriginal people's household issues and the scientific-catastrophes are highlighted by Pierres in her *Nylon Angel*.

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# The Mechanism of Survival in Post-Apocalyptic Pandemic Narratives: A Comparative Study

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**Abstract**—Post-Apocalyptic Fiction is a subgenre of science fiction in which a global crisis takes its toll on the human population, leaving only a few with the luck of surviving the scene. However, survival slowly develops into a determining power as the remaining people try to reconstruct a new civilization with the use of different strategies and mechanisms of survival. This study is then based on post-apocalyptic texts, particularly ones that are concerned with pandemics, and carefully examines and compares two ground-breaking narratives of post-apocalyptic fiction: Stephen King's *The Stand* (1978) and Emily St. John Mandel's *Station Eleven* (2014). It attempts to explore the two narratives in terms of the strategies and mechanisms of survival as the two novelists recapture the survivors' experiences and their struggle to survive the ongoing post-apocalyptic setting.

**Index Terms**—pandemic, survival, Post-Apocalypse, Station Eleven, The Free Zone

## I. INTRODUCTION

One of the most distinctive and modern genres that literature withholds today is the genre of Post-Apocalyptic Fiction. This type of fiction, which makes use of elements from different narratives and artistic forms, includes a selection of different genres: science-fiction, futuristic, horror, utopian, and dystopian fiction. Typically identified by content, plot, and setting, Post-Apocalyptic Fiction depicts the collapse of a civilization and the demise of humanity as the aftermath of an apocalyptic event such as an environmental disaster, nuclear holocaust, pandemic, zombie outbreak, or alien invasion (Reddish, 1990).

The Post-Apocalyptic genre can be traced back to the early nineteenth century, yet it gained popularity in the twentieth century, particularly after the destruction caused by World War II and the atomic bombs against the Japanese cities of Hiroshima and Nagasaki, only to reach its peak of popularity during the Cold War tensions. All this promoted great fear that the next human holocaust would lead to the extinction of the human race (Stifflemire, 2017). A renewed interest in Post-Apocalyptic narratives started around the beginning of the twenty-first century, after the terrorist attacks of September 11, 2001, and the following global threats of terrorism, nuclear annihilation, and the growing calamities that surrounded the economy. Heather J. Hicks (2016), in her book *The Post-Apocalyptic Novel in the Twenty-First Century: Modernity Beyond Salvage*, points out that the pressure of society and the loss of modernity led to the evolution of contemporary 'the end of the world' narratives that have become part of the cultural imagination and social consciousness.

The Post-Apocalyptic genre is characterised by a variety of themes, but one of its central themes is survival. Relatively, most narratives of this genre envision a depopulated world in a post-cataclysmic wasteland whereby a group of survivors is exposed to harsh, arduous circumstances in the midst of chaos, destruction, and suffering as each one of the survivors tries to break away from a malevolent and corrupted society and retain social order. Together, they try to begin a new life "after the end of life on earth" (Curtis, 2010, p. 5). The protagonists of these narratives embrace self-sustaining survival strategies, beginning with storing food and weapons, and face different challenges in a more primitive and savage mode of existence. They form a community in an organised system and slowly find other small and similar communities with which they can link and from which humanity can rise once again (Curtis, 2010).

This paper tends to shed light on the mechanisms of survival that are evident in the fictional worlds of Stephen King's *The Stand* (1978) and Emily St. John Mandel's *Station Eleven* (2014), where both writers give a dual focus on the virus and human survival through the surviving parties involved in the pandemic and subsequent post-apocalyptic world.

*The Stand* is an interwoven narrative that starts with the outbreak of a deadly virus killing approximately 99.4% of the Earth's population. The virus's creators unintentionally released it after starting it in a top-secret laboratory in the United States. Spreading quickly from one state to another and eventually the whole planet, only 0.6% of the population was lucky enough to survive. The survivors had distinctive immune systems that disabled the deadly effects of the virus. They wandered the streets with fear, and all life supplies started to expire or were quickly consumed. However, the survivors crossed each other's paths, leading to a meeting where they could discuss their plans for collective survival.

Little did they know that another nightmare was awaiting them. A fierce battle between good and evil was initiated between Mother Abigail and Randall Flagg, and the survivors were set to fight for what they believed would finally lead them to a safe community. Representing good and evil, respectively, both characters try to reconstruct life by convincing the survivors to take their side. While Stuart Redman, Frances Goldsmith, Nick Andros, Glen Bateman, Ralph Bretner, Susan Stern, and Larry Underwood sided with the good side, Harold Lauder and Nadine Cross were mostly involved with the bad side. When Randall Flagg was on the verge of winning the conflict by detonating an atomic bomb, the two sides eventually engaged in combat in Las Vegas, where Trashcan Man ultimately prevailed. All of Flagg's followers evaporated within seconds, with Flagg miraculously surviving the blast. The survivors start thinking again about different strategies for a peaceful and healthy beginning.

*Station Eleven* also reflects upon a setting before and after the world is hit with the deadly 'Georgia Flu, causing a near-human extinction within days. The world shuts down quickly; technology stops, and cities turn dark and silent. Jeevan Chaudhary manages to survive amidst the crises, withholding many strategies to bear the pressure of survival. He eventually heads South and marries, signalling a new hope for life. Kirsten Raymonde also manages to survive the post-apocalyptic scene with the help of her brother and wanders around the city with a group of musicians, performing Shakespeare's plays among survivors. Years later, she shows how she has preserved several books that a fellow actor gave her during her childhood twenty years ago, one of which is entitled *Dr. Eleven*. The group finally arrives at a city named St. Deborah by the Water that was controlled by a religious man known as "The Prophet," who was in fact Tyler, Arthur, and Elizabeth's son. As the group was trying to leave the city, a girl named Eleanor, who was promised to become the Prophet's wife. A battle arises between the musical group and the Prophet, ending with the killing of the Prophet by one of his own followers. It is at this moment that new life can start.

Each novel is analysed individually, and the strategies of survival are identified through the lenses of several necessary steps that have to be taken to survive the virus. The strategies selected for analysis in this paper are isolation and solitude, community formation, cultural survival, and reinvention.

## II. THE FIRST STRATEGY: ISOLATION AND SOLITUDE

### A. *Isolation and Solitude in Stephen King's The Stand*

Isolation is an evident strategy of survival in *The Stand*. With the outbreak of the Super Flu, where 99.4% of the population is wiped away, isolation constitutes a natural response survivors depend on, trying to protect themselves from the reality of the ongoing mass extinction. The first factor of isolation is the setting, which mostly includes the desert. Survivors flee towards such areas, viewing them as an option where survival would be more promising, as they may be used as a hiding place far away from the dangers of the city. Departing the cities to survive is then the initial step in order to recollect the energy and resurrect the sustainability of life in the healthiest ways possible (Wampler, 2020). Among the characters who managed to escape were Frances Goldsmith and Harold Lauder. They realised that isolation would be the safest strategy for survival. They started travelling from one place to another carefully, where they would coincidentally meet others along the way, like Stuart Redman. It was difficult for Harold to trust anyone to join them, especially since most of the civilization's norms had perished with the nearly complete disappearance of humankind. Harold decides to preserve his isolated state and joins the opposing team rather than following the norms of his surroundings and his fellow survivors. This choice has led him towards unfortunate consequences and ultimately his demise. He is convinced that hate and pride are nobler than other features like love and community. On a wider scale, the zone in Las Vegas, which is under the control of Randall Flagg, is completely isolated from other parts and communities (Cassuto, 1992). Isolation also led to an increase in murder, suicide, and death because of the simplest health issues among survivors, leading to an even more diminishing number of the planet's population. No doctors were available in the Free Zone, a phase King refers to with the term 'aftershock', which included "people like Mark Braddock with his burst appendix, but also the accidents, the suicides, yes, and murder, too. That takes us down to 1.8 million" (King, 2020, p. 689). The missing role of a healthy community then forced the isolation of survivors and resulted in mental breakdowns, fear, and overthinking, causing a change in both appearance and behaviour. Larry Underwood is portrayed as having gotten a lot slimmer and skinnier than before. While he had once recorded a hit record, now he was "poised on some metaphoric (or metabolic) fence between scrawniness and emaciation. He had grown a beard and it was actually rather striking, a tawny red-gold two shades lighter than his hair. His eyes were sunken deep in his face; they glittered out of their sockets like small, desperate animals that had been trapped in twin pit-snare" (King, 2020, p. 469). Their isolation also led to a change in behaviour. Survivors had access to everything now, and they could simply "break the glass, walk in, and take it. Everything, that was, expect the companionship of your fellows" (King, 2020, p. 475). Surviving such a post-apocalyptic scene for pregnant women was even harder. The babies would not necessarily survive, even if their mothers were immune and isolated. Isolation might therefore be an option to protect survivors from any sort of danger, but it does not necessarily save the upcoming generation. On the other hand, the lifecycle of animals will most likely leave the world with an opportunity to be overpopulated with wild animals like deer since they will not be hunted as much as before. Isolation also made it difficult to keep track of time, as they were not sure which timing would be the correct one since the clocks read different times. Lucy states that the only correct one is found in a certain state that has the accurate time down to the smallest particle of seconds. She complains that her thousand-dollar Pulsar watch is useless now since it does not have the right timing. However,

Mother Abigail is the most significant character who lives in isolation. She lives alone on a farm, far away from the American society because of concepts like race, sect, and age. Although she is seen as some divine spirit who calls for the foundation of a new community, she also insists on being alone and even takes her distance when the community in The Free Zone needs her advice the most (Pharr, 1992).

### *B. Isolation and Solitude in Station Eleven*

Isolation is also a natural response to the pandemic that Mandel's characters experienced, given the fact that the Georgia Flu brought an end to life as the characters knew it through contact with others, thus indicating a need for containment. However, it is a theme in the book, and therefore a strategy for survival, that is framed in negative terms. For instance, Kirsten becomes separated from the travelling Symphony and, along with her sole companion August, must employ strategies of survival until she can find them again. Isolation is therefore a valid approach given how dangerous the landscape is for those who do not have safety in numbers, although it is not presented as a desirable one. Indeed, Kirsten appears to lose touch with her sense of morality in order to embrace a more savage need to survive, which colours her thoughts and approach to life: "She had once met an old man up near Kincardine who'd sworn that the murdered follow their killers to the grave, and she was thinking of this as they walked, the idea of dragging souls across the landscape like cans on a string" (Mandel, 2015, p. 297). This return to a primitive mode of survival therefore raises the question of how much isolation or solitude actually takes out of a person in terms of their behaviour and attitude, where survival becomes paramount and trumps everything else. Kirsten's experience is indicative of what Philip Smith refers to as the seeds of civilization, the shift from a society returned to primitivism that found the first shoots of modernity returning to redefine the collective (Mandel, 2015). These shoots provide a reminder that there is a need to remain civilised and nurture the values that are associated with civilization, despite the fact that little of it remains. Indeed, Bergeron refers to it as a battle against the profound dehumanisation that survivors face when they are forced to approach life alone as opposed to within structured societies that retain the social and cultural values that civilization held dear (Mandel, 2015). Such dehumanisation is visible in Kirsten's behaviour, if only in brief flashes, but that should not detract from the fact that isolation is a very visible strategy of survival in the novel.

Frank Chaudhary is another character who experiences isolation as a survival strategy, but, like Kirsten, it is a temporary one. This is largely because he recognises that such an approach is unsustainable in a new, unknown, and far harsher world where surviving favours both the brave and the able. Frank is disabled and uses a wheelchair, having been shot while working for Reuters in a war zone, but recognises the need to isolate in order to protect himself and his brother, Jeevan, from the dangers that await them outside their apartment as a consequence of the collapse of civilization. Frank is fully aware of his limitations and his dependence on others, but he is also aware of the incompatibility of his personal situation and the fall of the world as he knew it, as is made clear when he responds to Jeevan's naive expectation that they will return to normal with a simple yet pertinent question: "What makes you think the lights will come back on?" (Mandel, 2015, p. 179). Isolation is therefore the only possible choice for Frank to live, and even though he chooses suicide over the impossibility of post-apocalyptic life, it still remains a key strategy when the world around them collapses. Somewhat ironically, this choice leaves Jeevan alone to traverse the country in order to escape Toronto. The brothers are therefore victims of circumstance, much like Kirsten. As such, although isolation is a strategy for survival, it is not one that should be deemed desirable but rather borne out of necessity where community formation either fails or is not possible in the first instance.

## III. THE SECOND STRATEGY: COMMUNITY FORMATION

### *A. Community Formation in The Stand*

In *The Stand*, forming a community is the next step of survival. Psychologically proven, one of the major existential human instincts to survive is to be part of a community, a place where individuals find their value: "In other words, the instinct does not come from the need of an association with people in general, but from specific groups without which no individual has ever survived. The individual...brings to the group a predisposition to identify himself with it, and its influence on him arises from his own nature" (Miller, 1921, pp. 336-337). The formation of communities in this novel has two major concepts: communities based on good and others based on evil. Mother Abigail represents the individual with good values. She served as a surrogate mother for the good people, who took the eastern areas of the United States as their new starting point and Boulder as its centre (Magistrale, 2006). She was considered a "theocratic symbol" or "an earthly symbol of a covenant made with God" (King, 2020, p. 777).

On the other hand, Randall Flagg took Nevada, Las Vegas as his own new territory of evil. Communication was a much more difficult process now to help in the formation of both of the new communities. No possibility of long-distance communication was possible now, with only dreams, radio, and road signs providing a chance for these two communities to be reinvented. The earliest form of communication in this post-apocalyptic setting was when Harold marked the road signs to get survivors to Boulder, Colorado, which later came to be known as the 'Free Zone.' He also dated the signs so survivors would realise that they had been marked by a living human not too long before (Ratto, 2017). Mother Abigail also managed to call on survivors to head to Boulder, Colorado. Here, all the good citizens may stay safe, and Stuart Redman quickly suggests the necessity of establishing a government since they are currently only a few in number. A committee of seven people was selected temporarily to supervise the creation of this community.

They included Stuart Redman, Frances Goldsmith, Nick Andros, Glen Bateman, Ralph Bretner, Susan Stern, and Larry Underwood, stating that “We’re politicians here. The first politicians of the new age” (King, 2020, p. 756). They immediately started planning meetings, as the community was in need of restoration and organisation. The more meetings that were held, the more populated the community became. It was necessary to be notified of who exactly was present and who left, as they felt there might be some intruders present. That is why the people were counted. There were 814 people in the meeting, and their names were to be listed in alphabetical order the next time there was another meeting. During the meetings, they started noticing that Nadine and Harold had developed some strange attitudes. It was their isolation from this community that led them to join the community of darkness. Harold and Nadine were set up to destroy one of the private meetings that the seven main committee members were having by implanting a bomb before the meeting would start. Nadine felt uncomfortable with the fact that she was going to cause the deaths of people, but Randall Flagg never resisted to beckon her into bombing the place that claimed the lives of Nick Andros, Sue Stern, and Chad Norris when the bomb went off in their headquarter. Randall Flagg declared that their mission was over and that it was now time for her to head West with Harold to join his evil community. Their isolation had finally come to an end. The Free Zone community insisted on surviving the horrors of this post-apocalyptic world, and they made an effort to determine whether they could trust Mother Abigail with this newly formed committee and whether she would in turn approve of them. The meetings also suggested that the Free Zone should become a republic. They also wanted to have a new police system to get some of the peace restored with what they would call ‘The Law Committee.’ There was also ‘The Burial Committee,’ organised with Chad Norris as the head of the committee. The deceased were buried in masses and were put down into their graves with the help of Harold’s truck like “a grotesque human rain” (King, 2020, p. 845). They were even called “units” rather than people (King, 2020, p. 846). The bodies were removed from the houses and marked with an ‘X’: “In another month that mark would be all over Boulder, signifying the end of an age” (King, 2020, p. 879). Restoring the power was also taken seriously. They had several tests done on a day they named “Power Day”, when all the TVs and other electrical supplies started working. This overuse of power led to explosions and the destruction of many supplies in town. The next step was for them to turn off all devices and then try again. It was a successful plan that led to the restoration of power. They were also after legal order to prevent any disorder as much as possible, as everything was getting out of hand. All this proves that community offers greater chances of surviving the post-apocalyptic scene. More group work was done to reach an acceptable and healthy society. The Free Zone became a more stable place where it “had been transformed from a loose group of refugees into potential voters” (King, 2020, p. 730). In the meetings, the terror Flagg was causing was also deeply discussed. Protection must be offered in a community, and evil should be prepared to be deflected, especially when it was rumoured that Flagg would crucify anyone who went out of order in the areas he controlled: “The penalty for disobedience was crucifixion” (King, 2020, p. 987). They also discussed the possibility of him using nuclear weapons. Glenn says that he cannot read the future, yet he can assume what has been going on. Their existence was not due to being on a death trip, as human beings were never far from being on one. Rather, they were survivors because their visions had led them towards the idea of a new existence. That would be the real purpose—the start of a new life, or what Glen calls ‘irrationalism.’ Moments before Mother Abigail dies, she asks for all the remaining members to gather around her. She declares that God did not allow them to survive to create communities or committees, but to destroy Flagg first. She then points her finger to the remaining four members: Stu, Larry, Glen, and Ralph. They were to go West to fulfil this obligation. She has no knowledge of whether they will win the standoff, but she assures them that God will help them fight this supernatural being. Although many of them had doubts, Abigail assured them they should have faith in God and trust Him.

### B. Community Formation in *Station Eleven*

In a close analysis of *Station Eleven*, Murat Kabak notes that Mandel does not use the more well-trodden tropes of post-apocalyptic literature, one of which is the ragged bands of survivors that roam the landscape, engaging in violence with their fellow survivors (2021). Instead, she reworks and reframes the collective, constructing communities of survivors. Community formation occurs in two notable cases in *Station Eleven*. The first case is that of the Travelling Symphony, whose motto is “survival is insufficient”, thus indicating that merely surviving is not enough even in the unfamiliar post-apocalyptic world they are traversing. Indeed, their movement links the colonies that are surviving together and provides a point of attachment to their shared cultural and social heritage (Bergeron, 2019). This taps directly into the fact that the group are essentially strolling players who are brought together by their need to survive and their desire to take culture to the masses in order to give them something to live for rather than simply surviving from day to day. Movement, Susan Watkins contends, lends the community flexibility and the opportunity to adapt and thrive in their new environment, fostering inclusivity and the potential for transformation (Bergeron, 2019). In this sense, belonging is necessary for the survival of humanity insofar as maintaining specific and highly desirable behaviours, skills, and values is concerned.

The desirability of community formation is not framed as wholly positive by Mandel in *Station Eleven*. Instead, she frames it as a survival strategy that nurtures the mind and increases the chances that individual members of the collective stay alive. This is particularly pertinent in passages where she directly contrasts these two elements:

There were moments around campfires when someone would say something invigorating about the importance of art, and everyone would find it easier to sleep that night. At other times it seemed a difficult and dangerous way to survive and hardly worth it, especially at times when they had to camp between towns, when they were

turned away at gunpoint from hostile places, when they were traveling in snow or rain through dangerous territory, actors and musicians carrying guns and crossbows... (Mandel, 2001, p. 119)

This particular passage exemplifies the multifaceted nature of survival strategies that are grounded in community formation and taps into the need for meaningful cultural expression as much as human interaction and the safety in numbers that it induces. The latter point is actually vital when communities protect themselves against outsiders in a post-apocalyptic scenario. Therefore, it is not just cultural expression that is a necessity to overcome struggle (Feldner, 2018), but the collectivity it thrives on and underpins.

The second example of community formation is related to religion. Along with being a significant thematic concern of the novel, faith is a significant source of community formation in *Station Eleven* and therefore also manifests as a survival strategy. Faith is, after all, one of the major tenets of human culture that is worth preserving, according to Mandel (Abdullah, 2021). However, Tyler Leander's view of faith is funnelled through the religious fundamentalism of the cult he leads, based upon the belief that everything happens for a reason (Mandel 59). His "apocalyptic determinism" (De Cristofaro, 2019, p. 33) enables Tyler to justify the establishment of a violently misogynistic cult built on hegemonic masculine power and a doctrine that effectively blames humanity for its corruption and sin. This does, however, not justify Tyler's singular worldview and its exclusionary conservative evangelicalism, but it does set it against the spirit of the Travelling Symphony. The Prophet's strategy for survival and procreation is indicative of what Pieter Vermeulen refers to as "the fundamental contingency of all human forms of life" (9) in that the situation enables him to appeal to the worst instincts of those around him to obtain power via the exploitation of a community-based strategy of survival.

The worst instincts are clearly borne out by the actions of Tyler and his followers, who considered themselves "the only rightful interpreters and agents of the apocalyptic goal of history, the utopian renewal of the post-pandemic world" (De Cristofaro, 2019, p. 34). Kirsten interprets their actions of killing, enslaving, assaulting, and raping as indicative of the fact that there is nothing they cannot justify (Mandel, 2001), and this attitude is conducive to achieving the overriding goal of obtaining power through the creation of an exclusionary community. This is a strategy for survival because it sets the Prophet up as an arbiter of order and justice, enabling him to govern his community "[a]ll the time smiling, so peaceful like they've done nothing wrong" (Mandel, 2001, p. 273). Their actions are wrong, and the direct contrast with the community of the Travelling Symphony highlights how damaging faith can be when it is a source of manipulation, but that should not detract from the fact that both communities are mechanisms through which survival is possible. Mandel consistently promotes the idea that community can help to redraw the traditional lines and boundaries of society (Leggatt, 2018), and the communities referred to in the narrative demonstrate that in a highly effective way. However, all of them remain connected via a cultural network that appears to be preserved via a different strategy for survival.

It can be seen that individuals are capable of living in isolation for a while. For a period of time after surviving the flu, the characters are portrayed as being detached from being part of society. The reason is because they have been able to "see the skull beneath the skin," thereby activating the Gothic side of the Dark Romantics. It was the core reason characters had the desire to avoid the means of society and all that was related to it. They had a chance to either save what was left of the world or to destroy it (Magistrale, 2006).

#### IV. THE THIRD STRATEGY: CULTURAL SURVIVAL

##### A. *Cultural Survival in The Stand*

Cultural devastation is noticeable as one of the aftermaths of the Super Flu. The reinvention of communities calls for an urgent resurrection of a culture with common principles that match the moral codes of a healthy community. It is a clear battle between science and the divine. Science and people's curiosity are clearly backstabbing their own creators. While Project Blue was designed to fulfil certain scientific purposes, science was not able to save people from the virus. Because of the government, America has really become a nuclear-age American society with an interest in starting germ warfare (Morris, 2001). On the other hand, religion plays a crucial role in the reinvention of the post-apocalyptic scene in Boulder. Since evil did not have any key role during the creation of the world, Satan forced himself into the world, interfering with all that is good. A similar situation can be found after the flu has ended, leaving only a few to endure the aftermath. However, for some, it may have been considered a good start. Stuart, for instance, was not religious at all in the pre-apocalyptic phase of his life. His father had died when he was just seven, and he was forced to work to support his family at nine. He also lost a scholarship and membership in his school's football club because his mother was diagnosed with cancer. His brother, however, was able to maintain a scholarship and left home, while he became an employee at a calculator factory. Later, his wife suffered a miscarriage and died of cancer. It was a lifetime filled with hardships. However, the post-apocalypse was an opportunity to reinvent himself. He got together with the woman of his dreams, Frannie Goldsmith. He then became involved in the quest to fight against evil and was sent out into the desert to fight Randall Flagg. His faith was tested, and he showed his belief in God's process by taking full responsibility to continue the task God had assigned him in order to survive and start a new chapter of his life (Morris, 2001). In the meantime, survivors sing "The Star Spangled Banner," a song that shows devotion to the U.S. government, the ones who were responsible for the foundation of this virus. Despite such a fact, it symbolises order, and it contains

the original purpose of wanting to unify the different states together within one peaceful nation. They also read the Constitution of the United States and the Bill of Rights.

Cultural survival is also evident in Las Vegas, which looks more like Hitler's Germany. However, organisation and cultural reinvention were their mottos too:

From 8 A.M. to 5 P.M., everybody was working, either at Indian Springs or on the maintenance crews here in town. And school had started again. There were about twenty kids in Vegas, ages ranging from four (that was Daniel McCarthy, the pet of everyone in town, known as Dinny) up to fifteen. They had found two people with teaching certificates, and classes went on five days a week. Lloyd, who had quit school after repeating his junior year for the third time, was very proud of the educational opportunities that were being provided. The pharmacies were open and unguarded. (King, 2020, p. 1047)

Technology resumed its importance in the post-apocalyptic scene, just like before. But negative things were also inherited, as the desire to take down people of diverse nature seems to remain a priority, evidently seen in the last scene of the novel, where a nuclear bomb is set off in Las Vegas, the zone Randall Flagg controlled.

### *B. Cultural Survival in Station Eleven*

Community formation and cultural survival may be deemed two distinct forms of survival strategy, but in *Station Eleven*, they feed into each other. This is particularly prominent in the case of Kirsten. As a part of the Travelling Symphony, she actively spreads human cultural heritage through those communities that have formed in the wake of the impact of the Georgia flu via the plays of William Shakespeare. However, she also clings to any semblance of culture she can find. For example, she and August find magazines in a house that they are looting, and she is delighted to find that "at least the celebrity gossip survived" (Mandel, 2015, p. 201). At one point, Dieter also admits that the Travelling Symphony's motto "...would be way more profound if we hadn't lifted it from *Star Trek*" (Mandel, 2015, p. 119). This taps into popular culture and the fact that many of the characters in the novel are unwilling to forget the impact that creativity had on their lives prior to the Georgia flu pandemic, but also outlines the case for cultural survival being an important survival strategy in terms of making sense of who they are as individuals and as a collective with a shared cultural background (Leggatt, 2018). There is no apparent categorization or hierarchy of culture in the new landscape, but rather an appreciation of culture for culture's sake, and this manifests in a survival strategy that extends beyond simply existing.

There is also a particular pattern of survival present in the cultural release provided by Dr. Eleven, the comic book that Tyler uses almost as a manual containing a message that drives his decision-making, almost as if it were doctrine, and that fuels Kirsten's "escapist dreams" (Leggatt, 2018, p. 12). The comic itself provides a strategy for cultural survival by its very nature, according to Hilary Chute, who argues that the comic's spatial syntax can be harnessed to challenge notions of causality, linearity, and chronology to open up historical discourses and malleable spaces that give way to creativity without succumbing to the damaging potential of nostalgia (4). In effect, it is a form that allows individuals to make sense of narratives and events in their own way, thus nurturing individuality through the collective medium.

The survival of Dr. Eleven is indicative of cultural survival despite the way of life present before the flu outbreak ended. Indeed, Mandel makes it clear that many of the cultural elements of life succumb to the pandemic as human life itself struggles to survive:

No more Internet. No more social media, no more scrolling through litanies of dreams and nervous hopes, and photographs of lunches, cries for help and expressions of contentment and relationship status updates with heart icons whole or broken, plans to meet up later, pleas, complaints, desires, pictures of babies dressed as bears or peppers for Halloween. No more reading and commenting on the lives of others, and in so doing, feeling slightly less alone in the room. No more avatars. (Mandel, 2015, p. 32)

This list is just a snippet of the sixth chapter, which effectively accounts for what was lost as a result of the spread of the flu, but it also serves as a reminder of exactly what it is we take for granted and would soon miss should the worst happen (Bergeron, 2019). The minutiae of the culture that abruptly ended with the spread of the flu provides an insight into what was lost in the post-apocalyptic world depicted in Mandel's novel, but the graphic novel itself provides a record of that culture as a direct consequence of the recognition of events that occurred prior to Arthur Leander's death. It preserves the substance of life and society that was pervasive before the reset and therefore provides a means of ensuring cultural survival. It is interesting, however, that Mandel mentions connectivity, which makes the individual feel less alone, thus juxtaposing those who choose a solitary survival strategy with those who seek community. This is reflected in the analysis by Hannah Bellwoar, Daniel Dries, and Donna Weimer, who note how welded we are to technology and how the oral culture embraced by the community in *Station Eleven* is effectively a return to life before technology (Bellwoar et al., 2021). They note that oral culture is a feature of communal living, but it is also a means of ensuring that there is cultural survival via memory and the process of remembering.

The Museum of Civilization is indicative of the strategy to promote cultural survival via memory. The institutional preservation of culture stems from the belief that "survival without culture is insufficient" (Bellwoar et al., 2021, p. 20). This is a play on the motto Kirsten lives by when with the Travelling Symphony, but it also taps into the process of making sense of culture and the role it plays in community and indeed society formation. As librarian Francois Diallo puts it, "[t]he more we know about the former world, the better we'll understand what happened when it fell" (Mandel,



2015, p. 114). The collection of artefacts for display introduces a sense of nostalgia that is not present in other strategies for survival but may actively provide a reminder of what is lost and, beyond that, the need to adapt to a new world.

Many died in the post-apocalyptic scene, even if they were blessed with being immune. The loss of the social framework created defects in the security and health systems and an absence of authority, making it harder for people to survive. Technology, a human-based invention, grew out of control, and with this, the King wanted to highlight the role of the divine to decide the upcoming faith for survivors. The disease was not a natural one; it was a pure technological invention developed in labs that eventually managed to overpower its creators.

#### V. FOURTH STRATEGY: REINVENTION

There is a fourth strategy for survival present in both *The Stand* and *Station Eleven* that is somewhat ignored within academic analysis because it is not built upon the premise of physical removal from community or belonging to a collective. Instead, it is a more personal and individualised survival strategy, taking the form of reinvention.

##### A. *Reinvention in The Stand*

Reinvention is also a powerful factor found in *The Stand*. The nuclear bomb, which is normally considered a global threat, had a different impact in the concluding scene of this novel. Trashcan man enters Las Vegas with the bomb in front of Randall Flagg himself. The one with the dark and evil features once had “a pale face” as he knew that the bomb would mean the demise of him and his entire territory of Las Vegas. It was not too long after that the bomb was set off, and the entire population there was reduced to nothingness. It truly had destroyed a city, but it had also cleansed the evil project of Flagg (Collings, 2006). God’s interference saved Boulder from danger in the end. This parallels the incident of Abraham’s sacrifice of Isaac. Abraham remained faithful despite the pressure, and God eventually honoured his patience by sparing Isaac’s life. *The Stand* also reflects the loyalty of its characters, and even Larry, Ralph, Whitney, and Trash had some compassion at certain moments, and that is why God saved Boulder from the dangers of Randall Flagg. This might be a reminder of how Abraham asked God to save the cities from destruction. God gave the condition that there should be at least ten “righteous within the city” (Gen 18:24.32) in order to have the city saved. With the fulfilment of this condition, God indeed bestowed His mercy upon this city, which may reflect the way God saved Boulder from the destruction of a nuclear weapon since there are good people in the different cities of the United States. With this idea, King wants to restate the idea of God’s existence, which almost perished after the American Revolution and America’s independence (Morris, 2001).

The novel also reflects the reinvention of humanity’s lust for power. Even after the crucial phase of the post-apocalyptic scene appears to have ended, the desire for control still exists. It seems Flagg has survived the nuclear bomb and reinvented himself in a different form, already recruiting a new army to retain darkness. King concludes the narrative with hope and inspiration as well. Stu and Fran are portrayed to be overlooking a scene with playing children while deciding for their future and relocating themselves to a place they find more fitting. Although justice has prevailed for the time being, evil will always be around the corner to devastate the communities once more. That is why preparation and protection are the keys to a successful community in terms of survival. King creates a chain in the novel, opening it with the flu and closing it with the possibility of the reappearance of evil and the destruction of communities once more. This reflects the cycle of existence, where the two contrasting concepts are always destined to construct the essence of this cycle (Magistrale, 2006).

##### B. *Reinvention in Station Eleven*

Initially a paparazzo, Jeevan Chaudhary reinvents himself by becoming an entertainment journalist and then an EMT. His paraplegic brother, Frank, becomes a ghost writer after his job as a combat reporter is cut short. Miranda Carroll was initially an artist and the obsessed author of her graphic novel, *Dr. Eleven*, before becoming a highly successful businesswoman. Clark Thompson embarks upon a career as an actor before becoming a businessman and then a curator of obsolete objects for the Museum of Civilization in the post-pandemic world. Finally, Tyler Leander reinvents himself as the Prophet, the leader of the religious cult that is itself a form of survival strategy. This demonstrates a clear pattern simply by outlining the narrative arcs of several major characters in the novel, but it is also embedded within the premise of the novel from the start. For instance, Arthur Leander’s final lines from his performance of *King Lear* prior to collapsing are broadly unspoken in the text, with a single refrain being uttered: “I remember thine eyes well enough” (Mandel, 2015, p. 1). Those that precede this line in the play’s text reflect on what is to come in Mandel’s novel, though: “O ruin’d piece of nature! This great world / Shall so wear out to naught” (Shakespeare 19.129–130). These lines outline the need for reinvention on a much larger scale than simply changing jobs in order to survive. This particular strategy therefore crystallises the adaptability that all characters display in their determination to survive and truly live.

#### VI. CONCLUSION

This paper has explored the main strategies of survival presented in the post-apocalyptic worlds constructed in Mandel’s novel, *Station Eleven*, and King’s novel *The Stand*. The strategies of isolation, community formation, cultural survival, and finally reinvention are not all mutually exclusive and pursued by different characters; rather, they highlight the multi-layered nature of survival in the post-pandemic era. Community formation and cultural survival

heavily overlap and repeatedly reinforce the notion that simply surviving is not enough for the human race to thrive after the spread of a deadly flu. There is an overt need to get humanity back to the essence and promote the flexibility of reinvention, the importance of the collective, and the vitality of cultural expression. Although isolation and solitude do not immediately appear to be suited to this endeavour, the characters who engage in such strategies of survival ultimately prioritise the collective over their own individual approaches. However, despite the intersecting strategies of survival, the merits of each one must also be acknowledged individually. For instance, reinvention is a necessity based on the disjunction between pre- and post-apocalyptic life, but it keenly illustrates the will to survive on the part of those who also survived the virus initially. This pattern of behaviour is therefore naturally replicated in multiple ways and is a key strategy for survival. The same can be said of community formation, despite the fact that its representation moves slightly away from well-established post-apocalyptic literary tropes. Community solidarity is important in maintaining elements of social interaction that are not present when individuals become isolated, whether by choice or by accident. In contrast, cultural strategies for survival remind us of what has been lost and enable societies to rebuild without abandoning any semblance of cultural heritage. As such, each of the four strategies for survival that have been identified and discussed in this report produces different outcomes and contributes to the overall survival of the human race in both Mandel and King's novels.

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# Persuasion Strategies in Saudi Arabia Vision 2030 Document: A Critical Discourse Analysis Approach

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**Abstract**—By adopting a critical discourse analysis (CDA) approach, this paper explores the strategies of persuasion employed in the Saudi Arabia Vision 2030 document. More specifically, the paper attempts to identify the various persuasion strategies used in the document of the 2030 Vision, the way through which these persuasion strategies are linguistically manifested, and the different modes of persuasion used in the document. The primary research questions of this study are: first, what are the different modes of persuasion employed in the Saudi Arabia 2030 Vision? Second, what are the strategies of persuasion used in the document under investigation? Third, how are these strategies linguistically manifested in the document at hand? Findings reveal that there are five strategies that are highly representative as persuasion conduits in the Saudi Arabia 2030 Vision. These include lexical choices, the inclusive ‘we’, religionization, future promises, and compositional summarization. The five strategies accentuate the assumption that the process of persuasion is successfully communicated at the various levels of linguistic analysis: lexically, semantically, pragmatically, and stylistically.

**Index Terms**—persuasion, Saudi Vision 2030, critical discourse analysis, lexicalization, religionization, compositional summarization

## I. INTRODUCTION

Language plays a decisive role in shaping and reshaping politics and in directing the public towards the adoption of a specific argument. This function of language is totally based on the degree of the persuasive mode through which it is communicated to the addressees. The more persuasive language is, the more effective change it influences on the part of recipients. Accordingly, persuasion is the eventual target of politicians; they always aim for their views and meanings to be perceived and absorbed quite willingly (e.g., Mutz et al., 1996; Pardo, 2001; Khajavi & Rasti, 2020; Lu, 2021). Thus, it is very rare to find a political speech without specific intended meanings to be conveyed, and it is rare for these intended meanings to be successfully communicated without a dexterous use of persuasion strategies. Arguing from this point, approaching the theme of persuasion and the strategies employed to achieve it in political discourse is very essential for a comprehensive understanding of the way power is operated, manifested, exercised, and maintained in discourse and beyond discourse. This study, therefore, attempts to contribute to this type of political and ideological understanding by exploring the different persuasion strategies used in the Saudi Vision 2030 document. This is conducted by adopting a critical discourse analysis (CDA) approach to identify the various persuasion strategies used in the document of the 2030 Vision, the way through which these persuasion strategies are linguistically manifested, and the different modes of persuasion used in the document. In doing so, this study focuses on five strategies that are highly representative as persuasion conduits in the Saudi Arabia 2030 Vision. These include lexical choices, the inclusive ‘we’, religionization, future promises, and compositional summarization. Significantly, the five strategies accentuate the assumption that the process of persuasion is successfully communicated at the various levels of linguistic analysis: lexically, semantically, pragmatically, and stylistically.

This study is anticipated to contribute to the field of political and critical discourse analysis. Significantly, understanding the role of language in the political process, particularly its rhetorical dimension in communicating meanings and ideologies, is very crucial in managing interactions among interlocutors (Chilton & Sch äffner, 2002). As alluded before, language users should use it persuasively to achieve their goals; politicians are no exception. They intentionally employ certain persuasive strategies in their speeches to guarantee a successful delivery of their political and ideological message (Charteris-Black, 2005). This study, therefore, provides some sort of linguistic illumination to the use and abuse of language to achieve particular purposes in discourse. For the sole reason that he wants as many people as possible to support him, a political speaker/ writer will always need the audience to embrace his beliefs. Therefore, politicians need to be particularly aware of persuasion strategies that serve to achieve his/her intended goals.

### A. Research Questions

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The research questions of this study are:

**RQ1.** What are the different modes of persuasion employed in the Saudi Arabia 2030 Vision document?

**RQ2.** What are the strategies of persuasion used in the Saudi Arabia 2030 Vision document?

**RQ3.** How are the various strategies of persuasion linguistically manifested in the Saudi Arabia 2030 Vision document?

### *B. Research Objectives*

This paper aims to achieve the following objectives

1. To explore the different modes of persuasion employed in the Saudi Arabia 2030 Vision document.
2. To identify the various strategies of persuasion used in the Saudi Arabia 2030 Vision document.
3. To highlight the various linguistic manifestations through which the persuasion strategies are communicated in the document of 2030 Vision.
4. To shed light on the lexical, semantic, pragmatic, and stylistic levels via which persuasion is communicated in the Saudi Arabia 2030 Vision document.

The remainder of this paper is structured as follows: Section 2 is the literature review, which provides theoretical preliminaries on the concepts of persuasion, persuasion in political discourse, and critical discourse analysis, as well as the previous studies relevant to the current study. Section 3 is the methodology, which offers the description and collection procedures of the data used in the study, and the analytical procedures followed in this study. Section 4 is the analysis of the selected data. Section 5 is the discussion of the obtained findings based on the analysis of the selected data. Section 6 is the conclusion, which is entailed by some recommendations for future research.

## II. LITERATURE REVIEW

### *A. Persuasion*

Numerous scholars have come to terms that persuasion refers to the ability to influence others' attitudes and behavior in a way that guarantees the fulfillment of the persuader's views and desires (e.g., Pardo, 2001; Charteris-Black, 2005; Žmavc, 2018; Lu, 2021). For Lakoff (1982), persuasion is basically based on the ability to use the appropriate linguistic expressions to arrive at what one's needs are. Persuasion is one style of rhetoric, and its success is entirely based on the degree of using rhetoric in the process of argumentation and meaning communication. Persuasion in this sense can be said to be a site of power, wherein language is rhetorically employed as a conduit to communicate specific meanings that target the persuader's goals (Simons, 2001). For Pardo (2001), persuasion is perceived as a form of argumentation, with the exception that the element of intentionality is clearly representative of persuasion but is missing in argumentation.

Persuasion has great significance in politics since it is used to influence people's attitudes (Pardo, 2001). It is employed to sway other people's actions and mold their reactions to fit the persuader's viewpoints. The persuader either aims to validate or refute the receiver's preexisting ideas, attitudes, and actions in order to exert such influence (Charteris-Black, 2005). Any persuasive speech's primary objective is still to get total cooperation and surrender from the audience. According to Heinrichs (2017), persuasion has three modes of rhetorical appeal: ethos, pathos, and logos. Ethos pertains to the manner in which a speaker presents themselves, their personal credibility, their moral qualities, their eligibility to speak, and their capacity to engage in discourse. In this type of communication, the speaker must be sufficiently trustworthy to ensure that the audience will understand what they are trying to say. Pathos requires the use of attractive and emotive language that appeals to the recipients' emotions. This is conducted through the use of expressive and straightforward language, which, in turn, facilitates the acceptance of any arguments on the part of the addressees without raising any objections. In terms of logos, it indicates the quality of the argument, reinforced by adequate evidence delivered by a competent speaker in a specific communicative situation. For Seraku (2022), in all its discursive modes, persuasion operates not only on the emotional part of personality by using specific types of emotive language, but it also aims at stimulating a state of shared values and views between interlocutors involved in the persuasion process. Furthermore, because it is closely linked to and depends on power, persuasion, according to van Dijk (1997), is perceived as one crucial factor that limits the degree of freedom on the part of the addressees and, therefore, decreases the discursive options available during the process of persuasiveness. Such limitations on options for actions are entirely the product of a successful argumentation process on the part of speakers. Persuasion, therefore, is a rhetorically argumentative process that is based on the power of the word (Khafaga et al., 2023).

### *B. Persuasion and Political Discourse*

Numerous academics have examined the concept of persuasion in relation to political discourse. Their goal is to comprehend the many tactics that may be employed as a means of persuasion, as well as the ways in which a political discourse can be persuasive. Van Dijk (1997) defines persuasion as the process by which individuals are influenced to change their opinions as a result of a speech. According to Blommaert and Bulcaen (1997), persuasion, within the confines of political discourse, is the capacity to influence the audience's viewpoints while also ingraining the speaker's ideas into their minds. Additionally, he makes the point that text and talk inside institutional and political contexts are the true concerns of political discourse. Political speeches and persuasion are intimately related. Furthermore, some

contend that persuasion is the ultimate goal of all political conversation. According to Mutz et al. (1996, p. 1), "Persuasion is at the heart of politics". They also assert that persuasion has a central and dominant role in political discourse. In actuality, politicians frequently craft their discourse to grab listeners' attention by utilizing certain approaches, procedures, instruments, and strategies. According to Diamond and Cobb (1996), persuasion is a technique used to alter people's beliefs, attitudes, and perspectives on certain issues. Thus, the main goal of political discourse is to persuade someone to believe in something by providing them with a compelling argument to support their position. This is why political discourse is seen as a tool for influencing and ingraining ideas in people's brains, with the primary goal being persuasion rather than information or enjoyment. According to Swadley (2008), another important aspect to emphasize is that the goal of persuasion is not only to exert influence over the addressee but also to provide them with the freedom to decide whether or not to accept the suggested concept. Therefore, speakers can effectively convince individuals through the conviction that respects their right to free will. Thus, it is evident that the goal of political discourse is to grab people's interest and win them over.

### C. *Critical Discourse Analysis*

Starting in the late 1970s, a number of linguists, including Fairclough (2013), Fairclough and Wodak (1997), van Dijk (2001), Weiss and Wodak (2003), Wodak and Meyer (2001), and Widdowson (2007), have discussed CDA as a branch of discourse analysis. According to Widdowson (2007), CDA is a socio-politically driven method of analyzing language in use that typically gives texts ideological value based on linguistic characteristics. Critical discourse analysis, according to van Dijk (2001), operates effectively in contexts of political and social texts as an analytical tool for uncovering the various strategic uses of language in the different discourse types. CDA has basic pillars within its analytical agenda, as it usually addresses issues related to power use and abuse, ideology, dominance, and inequality. The two fundamental components of discourse, production and reception, as well as significant CDA entities, demonstrate how dominance is expressed in the creation of a text through the use of lexical, syntactic, persuasive, and rhetorical choices, and semantic structures (van Dijk, 1993).

CDA seeks to illuminate the less obvious ways that language functions in ideology, power/dominance, and social life. It also highlights areas that may be changed (Weiss & Wodak, 2003); alternatively, it is grounded in a radical critique of social relations (Billig, 2003). According to Widdowson (2007), CDA is described as critical because it challenges beliefs and presumptions that are accepted as self-evidently true on the grounds that they actually uphold a status quo that, by giving preference to the wealthy and powerful at the expense of everyone else, effectively perpetuates inequality and injustice. Political and social concerns are the main topics of CDA. According to van Dijk (2001), CDA reveals the ways in which discourse structures legitimize, implement, affirm, perpetuate, or subvert power and dominance relations in society. Therefore, the primary goal of CDA is to demonstrate how language transmits ideas, reproduces domination, and reflects power relations.

Van Dijk (1993) postulates that the main goal of CDA is to talk about the discourse aspect of power abuse and the injustice and inequality that follow. To differentiate it from other types of valid and acceptable power, such as the authority of parents over their children and instructors over their pupils, power abuse in this context is defined as dominance. Van Dijk maintains that discourse analysis is appealing to CDA because it seeks to provide a deeper understanding of urgent social concerns. In this sense, CDA focuses on a basic comprehension of social issues like inequality and power. It also gives the public access to various persuasion techniques used by politicians, presenters, authors, and leaders to sway public opinion in favor of their own agendas. For Fairclough and Wodak (1997), critical discourse analysts' job is essentially political because they aspire to bring about change. Such a type of change targets the cognitive background of recipients by affecting their unit of knowledge in a way that serves the persuader's purposes.

### D. *Related Studies*

Much previous research has approached the theme of persuasion in various discourse genres. Al-Khawaldeh et al. (2023) investigated the strategies of persuasion employed in President Biden's inauguration speech. Al-Khawaldeh et al.'s study is entirely based on Fairclough's (2013) approach of using CDA to analyze discourse by focusing on both micro and macro structures of discourse in the selected speech. Their study concludes that some persuasion strategies have dexterously been utilized in Biden's speech to communicate specific presidential meanings. These persuasion strategies include creativity, metaphor, contrast, indirectness, reference, and intertextuality. Khafaga (2021) also drew on CDA to investigate the ideological meanings of function words, particularly pronouns and modals, in George Orwell's *Animal Farm*. Khafaga's study also demonstrated that CDA contributes to revealing the ways in which language can be used and/or abused to persuade and/or manipulate. Almahasees and Mahmoud (2022) examined the persuasive techniques King Abdullah II of Jordan employed in seven speeches he gave between 2007 and 2021 to the UN, European Parliament, Arab League, and Islamic Countries Cooperation. Their study focused on certain persuasive tactics to determine how the King used rhetorical/persuasive techniques in his speeches, including intertextuality, creativity and metaphor, references, and circumlocution. Khajavi and Rasti (2020) also explored the different persuasive strategies used by Mitt Romney and Barack Obama and concluded that whereas Romney largely employed the other candidates' negative representation tactic, Obama regularly concentrated on appealing to the notion of the 'American dream', which, in turn, shows that Obama used certain persuasive strategies to successfully implement and

communicate his agenda.

In terms of the Saudi Vision 2030, some studies have approached the document of the Saudi Vision 2030 from different perspectives, by providing an explanation of current problems in the education system that do not align with the new Vision (Yusuf, 2017); examining the document's objectives and the policies outlined to attain them in light of the reformation plan (Moshashai et al., 2018); demonstrating the differences between the Saudi Vision 2030 and the Saudi Arabian National Transformation Program 2020 in order to ascertain the goals of the Kingdom of Saudi Arabia and how it intended to fulfill these ambitions through educational advancements (Mitchell & Alfuraih, 2018); exploring the extent to which Saudi Vision 2030's implementation of the value-added tax and higher gasoline costs affected traffic accidents, injuries, and fatalities (Dahim, 2018); demonstrating the adaptability of the Saudi healthcare system within the framework of Vision 2030 (Alharbi, 2018); looking at whether the increase in life expectancy suggested in the Vision 2030 manifesto might actually happen (Bah, 2018); investigating the way the 2030 vision affected the Saudi stock market's performance (Daghestani et al., 2018); conducting a critical discourse analysis of news articles pertaining to Vision 2030 by highlighting the primary Vision 2030-related topics found in the Saudi News corpus spanning the years 2013 through 2018 (Mohammad & Alshahrani, 2019); and discussing the persuasive use of public relations in Saudi Arabia 2030 Vision (Alqahtani, 2023).

Despite the fact that previous research has approached the Saudi Vision 2030 from various perspectives, no study has been done that focuses on the Saudi Vision document itself from the standpoint of the persuasion strategies encoded linguistically in the document. This, in turn, sheds light on the research gap that the current study attempts to fulfill, particularly in terms of the five persuasion strategies under investigation.

### III. METHODOLOGY

#### A. Data

The data of this study constitute the Saudi Arabia Vision 2030 document issued in April, 2016. This document has been produced in 85 pages and addresses many aspects at the social, political, economic, societal, and cultural levels. The rationale for selecting this document in particular to be linguistically investigated here is due to the fact that it abounds in many persuasion strategies that are linguistically manifested to communicate the various ideological meanings pertaining to the different issues presented in the document. The document has been structured around three main pillars: (i) a vibrant society, (ii) a thriving economy, and (iii) an ambitious nation. These three pillars constitute the main macro-propositions, encompassing the whole discourse production of the document. A link to the Saudi Vision 2030 is attached at the end of this paper (see **Appendix A**).

#### B. Research Procedures

This study will follow three procedural stages. First, the stage of collecting data, in which the Saudi Vision 2030 was downloaded and then prepared in a Word Office file to be ready for analysis. The second stage involves the identification of the various persuasion strategies that are employed in the document under investigation. This stage has resulted in identifying five main strategies to undergo the linguistic analysis in this study. These include lexical choices, the inclusive 'we', religionization, future promises, and compositional summarization. The third stage encompasses the work of CDA, wherein CDA's analytical tools will be employed to reveal the way the five persuasion strategies identified in this study have been linguistically manifested to communicate the meanings pertaining to the document persuasively. Crucially, throughout the analysis conducted here, both quantitative and qualitative methods are employed to achieve the objectives of the current study and to answer its research questions.

### IV. ANALYSIS AND RESULTS

This part is divided into two main subsections. The first discusses the macro-propositions presented in the Saudi Vision 2030, which functions to clarify the thematic framework of the document under investigation, and, the second provides an analysis of the five strategies that are highly representative as persuasion conduits in the Saudi Vision 2030 document. These strategies include lexical choices, the inclusive 'we', religionization, future promises, and compositional summarization.

#### A. The Macro-Propositions in the Saudi Vision 2030 Document

The macro-propositions refer to the global meaning presented in discourse or, in other words, what discourse is about. They are mostly deliberate and deliberately shaped by the speaker, convey the general content of mental models of events, and embody the subjectively most significant information of a text (van Dijk, 2009). The Saudi Vision 2030 document can be said to revolve around four main macro-propositions:

**MP1.** The Kingdom of Saudi Arabia will be a strong country with a vibrant society.

**MP2.** The Kingdom of Saudi Arabia will possess a thriving economy.

**MP3.** The Kingdom of Saudi Arabia will be an ambitious nation.

**MP4.** The Kingdom of Saudi Arabia is preparing to launch and will continue to launch a group of executive programs that will contribute to implementing the Saudi Vision 2030.

Each of these macro-propositions consists of further ancillary propositions pertinent to the global meanings persuasively presented in the document. Crucially, the four main macro-propositions are preceded by three opening statements: one by the Custodian of the Two Holy Mosques, King Salman bin Abdulaziz, the second by Crown Prince Mohammed bin Salman, and the third constitutes a summary statement for the whole 2030 Vision. Table I shows the macro-propositions presented in the Saudi Vision 2030 document as well as the subsidiary propositions pertinent to each one.

TABLE I  
MACRO-PROPOSITIONS IN THE SAUDI VISION 2030 DOCUMENT

No.	Macro-proposition	Ancillary propositions
MP1	The Kingdom of Saudi Arabia will be a strong country with a vibrant society	A vibrant society with strong roots  A vibrant society with fulfilling lives A vibrant society with strong foundations
MP2	The Kingdom of Saudi Arabia will possess a thriving economy	A thriving economy with rewarding opportunities A thriving economy with investment for the long-term A thriving economy that is open for business A thriving economy that leverage its unique position
MP3	The Kingdom of Saudi Arabia will be an ambitious nation	An ambitious nation that is effectively governed An ambitious nation with enabled responsibility
MP4	The Kingdom of Saudi Arabia is preparing to launch and will continue to launch a group of executive programs that will contribute to implementing the Saudi Vision 2030.	A number of great t projects will be executed to help and guarantee the implementation of Vision 2030

Table 1 clarifies the four macro-propositions pertaining to the Saudi Vision 2030 document as well as the ancillary propositions related to each macro-proposition. Significantly, the table accentuates the assumption that the socio-cognitive model of macro-propositions, as described in van Dijk and Kintsch (1983), allows for the analytical possibility of all textual propositions possibly being reduced to a single macro-proposition. Consequently, macro-propositions, in their role as discourse macrostructures, can, in principle, function as a socio-cognitive milieu in which the political or religious connotations of a linguistic signal are ingrained as global meanings that are consciously managed by the speaker and/or writer. This, in turn, emphasizes the fact that identifying the macro-propositions in discourse contributes to identifying the extent to which these global meanings, i.e., macro-propositions, are linguistically communicated and structured in a persuasive way.

## B. Persuasion Strategies in the Saudi Vision 2030 Document

### (a). Lexical Choices

One of the crucial strategies of persuasion that is used in the Saudi Vision 2030 document is the skillful employment of lexis. According to Fairclough (2013), words and phrases always have meanings that are formed from their regular usage. He maintains that carefully chosen language may be used to express and communicate an ideology in a persuasive way. Abdi and Basarati (2016) also argue that every word and/or phrase has an underlying meaning and a latent power that allows speakers to influence the behavior of their addressees. For Fowler (1996), the use of lexis is a basic structural component of language through which the use component of language can be revealed. In the Saudi Vision 2030 document, words are dexterously selected to convey the targeted meanings constituting the four macro-propositions persuasively. Table 2 displays the most indicative lexis used in the document under investigation.

TABLE 2  
LEXICAL CHOICES IN THE SAUDI VISION 2030 DOCUMENT

Word	No. of occurrences	Examples of the word in context
future(s)	24	our future; Kingdom's future; diversified future; the best future; future projects; brighter future
success/ful	13	the bedrock of our success; the main principles of success; the path to commercial success
work/s/ing	36	we will work tirelessly; working in partnership; we will work closely with the private sector
economy	46	our economy grows and flourishes; thriving economy; sustainable economy; prosperous economy
industry/ industrial	9	a global industrial conglomerate; industrial projects; industrial activities
entertainment	14	entertainment opportunities; entertainment corporations; entertainment projects
investment(s)	39	a global investment powerhouse; strong investment capabilities; investment fund
women	6	women's participation; young men and women are equipped for the jobs of the future
project(s)	20	future projects; recycling projects; entertainment projects; industrial projects
ambition(s)/ ambitious	20	ambitious nation; ambitious vision; the ambition of our people
Islam(ic)	27	Islamic principles; Islamic faith; Islamic values; Islamic heritage
business	21	we will improve the business environment; business regulations; new business incubators
family(ies)	22	caring for our families; families are the key building block of a society
job(s)	17	create more job opportunities for citizens; jobs of the future
health/y	26	health care system; living healthy; caring for our health; health care centers
improve/ improvements	25	year-on-year improvements; improve education planning; improve visa issuance; improve our productivity



Table 2 shows a number of words dexterously selected and used in the Saudi Vision 2030 document. It is obvious that the persuasive and ideological significance of each word is not completely attained without careful consideration of the accompanying words and/or phrases that are attached to each word in the discourse of the document. For example, the ideologically persuasive significance of the lexeme 'future', which has a total frequency of 24 occurrences in the document, is better perceived when it is collocated and combined with other words, such as in *our future, the Kingdom's future, diversified future, the best future, future projects, brighter future, future generations, and leaders of the future*. In all these combinations, the significance of the word 'future' is clearly evident as a carrier of persuasion that indicates particular meanings pertinent to the political goals targeted beyond the Saudi Vision 2030 document, either at the semantic or pragmatic level of making meaning. Despite the fact that the selected word in itself has a specific referential sense, its meaning is pragmatically extended when combined with other words to communicate further pragmatic meaning targeting persuasion.

In the same vein, words such as *economy, investment, projects, successful, entertainment, and jobs* summon further pragmatic meaning to their referential and semantic sense when collocated and combined with words such as *prosperous, strong, future, model, activities, and opportunities*, respectively. Crucially, content words, i.e., those representing the four major parts of speech (nouns, verbs, adjectives, and adverbs), are ideology-loaded categories, which, in turn, can be classified as persuasion carriers, given the reciprocal connection and influence between ideology and persuasion. Consequently, the strategy of lexical choices aims to use lexical elements from various register fields. These lexical elements reveal the text producer's ideology, attitude, values, and thematic focus, whether explicitly or implicitly.

(b). *Inclusive 'We'*

One of the most recurrent and influential strategies of persuasion that is used in the Saudi Vision 2030 document is the inclusive 'we' and its linguistic variants, i.e., 'our' and 'us'. In political discourse, Fairclough (2013) argues, the inclusive 'we' is employed to refer to both speakers/writers and listeners/readers. In this regard, the first-person plural pronoun is used to create an atmosphere of solidarity and cooperation between discourse interactants.

TABLE 3  
FREQUENCY OF INCLUSIVE 'WE' AND ITS VARIANTS IN THE SAUDI VISION 2030 DOCUMENT

MPs and Statements	Opening We	Our	Us	Total
Opening Statements	43	55	2	100
MP1	61	106	7	174
MP2	125	101	2	228
MP3	52	49	2	103
MP4	33	27	2	62
Total	314	338	15	667

Table 3 indicates that the first-person plural pronoun 'we' and its two variants 'our' and 'us' have been frequently used in the Saudi Vision 2030 document with a total frequency of 314, 338, and 15, respectively. In all its uses, the first-person pronoun and its variants are utilized inclusively to refer to the speaker/writer as a government/leadership. This inclusiveness further targets the creation of solidarity and cooperation, and persuasively conveys a feeling of the in-group that works for the benefit of the whole. The inclusive 'we' is employed to create an ongoing intention to establish a society characterized by unity, cooperation and solidarity. This further stimulates the potential of the public to work as a cooperative team so as to achieve the targeted goals of the Vision. The use of the inclusive 'we' also serves to create an atmosphere of mutual knowledge and reciprocal responsibility between the government and the public, which functions to make the latter effectively work in accordance with the former's plans. Unlike some of its uses to spread responsibility, particularly when the political decisions and plans are perceived negatively, inclusive 'we' and its variants in the document under investigation are employed to establish group unity, solidarity, and cooperation (Brown & Levinson, 1987).

One of the observations noticed from Table 3 is that the majority of the occurrences of the first-person pronouns are related to the pronoun in the possessive case (338 occurrences) and the subjective case (314 occurrences), whereas the fewest occurrences are related to the use of the pronoun in the objective case. The indication of this is that the Saudi leadership, when laying down the document of Vision 2030, has put itself in the position of an agent, doer, and possessor rather than in the position of a receiver or patient. This in turn emphasizes the ability of the Kingdom to execute the goals of its Vision, and also transfer a positive feeling to the public, which also facilitates the persuasiveness process in terms of what is listed in the document.

The use of the inclusive 'we', 'our', and 'us' in the document at hand functions to position the Saudi leadership in the position relative to the addressees, a position that indicates the collectivity of the in-group. This inclusive usage has entirely specific persuasive purposes on the part of language users. That is why language is perceived as an effective conduit for carrying ideologies and political goals (Toska & Bello, 2018). According to Chilton and Sch äffner (2002), such particular usages of the personal pronoun, specifically the first-person plural pronouns activate the cognitive background of language interpreters to summon specific conceptualizations pertaining to the persuasion purposes targeted on the part of speakers and/or writers.

(c). *Religionization*

A further persuasion strategy that is dexterously employed in the Saudi 2030 Vision document is Religionization. According to Sarfati (2014), politicians usually use religious sources pertaining to the culture of their addressees in order to influence their cognitive background towards the acceptance of what they say without any objection. Since they are considered a tool of control, religious scriptures have always been a source of discursive statements intentionally used to persuade because they activate dictation and understanding. The Saudi Vision 2030 document abounds in religious expressions that characterize its persuasive discourse. Consider the following extracts:

- (1) We take pride in what makes our nation exceptional: our *Islamic faith* and our national unity.
- (2) *Islam* and its teachings are *our way of life*. They are the basis of all our laws, decisions, actions and goals.
- (3) *The principles of Islam* will be *the driving force for us* to realize our Vision.
- (4) We have been given the privilege to serve the *Two Holy Mosques*, the pilgrims and all visitors to the blessed holy sites.
- (5) We are honored *to attend to pilgrims and Umrah visitors' needs*, fulfilling a role bestowed on us by Allah.

The above extracts demonstrate the great extent to which the whole document of Vision 2030 is shaped by many religious concepts that are inherited in the Islamic culture pertaining to the Kingdom. The document has emphasized that *Islamic faith* is one of two pillars that makes the Kingdom an *exceptional* nation. The *teachings* of Islam are the *basis* of all laws, decisions, and goals to be targeted in the Kingdom and the *principles of Islam* are the *driving force* to achieve the Vision. To communicate a persuasive message, the document sheds light on the services the Kingdom has been providing to serve the Two Holy Mosques as well as to serve the pilgrims and visitors of the holy sites throughout the year. Such a religiously Islamic nature that features the discourse of the document in many of its parts reaches its persuasive climax by linking all services related to the Two Holy Mosques to be something bestowed on the Kingdom by Allah (God), which further functions to add honor to the Kingdom and its leadership. Again, this ultimately serves to communicate the goals and principles of the document persuasively to readers as well as to the public.

Another linguistic manifestation of religionization is intertextuality, which is realized by using one of the Prophet Muhammad's traditions (Hadith) as an intertext to quote something related to the execution of the Vision: "*following Islam's guidance on the values of hard work, dedication, and excellence, Prophet Mohammed, Peace Be Upon Him, said: "that Allah loves us to master our work."* Such intertextuality adds more religious spirit to the document in a way that contributes to not only the understanding of the rules and goals of the 2030 Vision but also the complete acceptance of its foundations. Relating issues to religion has always been a successful way to communicate ideological meanings persuasively and, therefore, serves to achieve the targeted meanings of the language users.

Proceeding with the same religionization process in the whole discourse, the Vision document is entailed by a religious statement that carries wishes and hopes by seeking support and guidance from God to implement the listed goals of the 2030 Vision: *May Allah bless us and guide us to the right path*. This concluding sentence accentuates the extent to which the Saudi Vision 2030 document is textually religionized in many of its parts, which, in turn, sheds light on the assumption that religion is always employed by politicians to facilitate the absorption of what is said and/ or argued for/against without any further thinking.

TABLE 4  
LEXIS CARRYING LITERAL OR ASSOCIATIVE MEANING OF RELIGION IN VISION 2030 DOCUMENT

The word	No. of occurrence	The word	No. of occurrence
Allah	10	God	2
Islam	7	Islamic	20
religious	1	Prophet(s)	2
Holy	10	Mosques	7
Umrah	8	pilgrimage	2
pilgrims	9	Makkah	2
Medina	1	faith	1

Table 4 demonstrates that the Saudi Vision 2030 document abounds in words that carry the literal and associative meanings of religion. These words contribute to the process of religionisation, which, in turn, serves to communicate the meanings, goals, and principles of the document persuasively. These words are also collocated with other words to strengthen their religious meanings. For example, the adjective *Islamic* occurs in combination with words like *principles, faith, values, heritage, sites, mosques, civilization, duties, and society*. Such collocational combinations shed light on the religious atmosphere characterizing the document of Vision 2030.

(d). *Future Promises*

One fundamental fact about the Saudi Vision 2030 document is that it is highly a promise-bearer document. These promises are usually delivered to presage brilliant and better conditions in the future. This, in turn, makes it easy for language users to persuade their addressees of what they want and to make them acknowledge the availability and consistency of their policies. In the document under investigation, promises are employed as carriers of persuasion and manifested linguistically in the use of the truth modal 'will'. Crucially, one observation about the Saudi Vision 2030 document is that many of its meanings at the level of the sentence have been structured around the future operator 'will'.

TABLE 5  
‘WILL’ AS FUTURE PROMISES OPERATOR IN THE SAUDI VISION 2030 DOCUMENT

Opening Statements & MPs.	Will	Examples of ‘will’ in context
Opening Statements	21	- I will work with you to achieve that. - We will harness to stimulate our economy and diversify our revenues.
MP 1	77	- We will endeavor to strengthen, preserve and highlight our national identity - We will seek to offer a variety of cultural venue
MP 2	126	- we will create an environment attractive to both local and foreign investors - We will fully support our national industries,
MP 3	49	- We will set up a regulatory framework that empowers the non-profit sector. - We will promote greater financial independence.
MP4	16	- We will continuously review and assess our performance in achieving this Vision. - We will also establish a Decision Support Center
Total Occurrences	289	

Table 5 clarifies that the future operator ‘will’ is frequently used in the discourse of the document to communicate future promises to addressees, with a total frequency of 289 distributed among the four macro-propositions that constitute the whole compositionality of the Saudi Vision 2030 document. In all its uses throughout the four macro-propositions, the future operator ‘will’ is employed in the document to communicate a high degree of trustworthiness, certitude, and credibility in the arguments delivered. It is, therefore, used to convey future promises that guarantee better conditions for the Kingdom. This in turn serves to make the public accept the document’s principles and goals persuasively.

The very high frequency of ‘will’ in the document of the Saudi Vision accentuates the assumption that promises are produced in the discourse of the Saudi Vision 2030 document to persuasively motivate the potential energies of the public so as to work effectively to achieve the goals of the Vision and to face any difficulties for the sake of making these goals come to reality. Such an atmosphere of brilliant future is linguistically heightened by the combination of the first-person plural ‘we’ and the modal ‘will’ in almost all the occurrences of the document. This syntactic structure of ‘we+will+verb’ in the majority of the expressions carrying the future operator ‘will’ functions to emphasize collectivity, unity, and cooperation. Such collective solidarity can be clearly shown by King Salman’s future pledge that he *will work with you to achieve that*, in which ‘that’ refers to the goals of Vision 2030, and in Crown Prince Mohammed bin Salman’s emphasis that *we will harness to stimulate our economy and diversify our revenues*. These characteristics, i.e., unity, cooperation, and solidarity, are the required conditions to achieve the goals of the 2030 Vision. In political discourse, promises stimulate the potentialities of the public to work hard and overcome any hindrances (Khafaga, 2017).

(e). *Compositional Summarization*

Compositional summarization is another persuasive strategy that is dexterously used in the Saudi Vision 2030 document. It refers to the way the document is textually structured to deliver its message. This strategy is clearly shown from the very beginning when the topics addressed in the document are topically framed in titles and subtitles that serve to facilitate understanding on the part of addressees. Crucially, according to Adaval and Wyer (1998), a textually well-structured discourse is perceived more persuasively than any other form. The compositionality pertaining to the document has been persuasively initiated by setting up the fundamental reason beyond laying down such a document: *To build the best future for our country, we have based our Vision for the Kingdom of Saudi Arabia on three pillars that represent our unique competitive advantages*. Crucially, offering the reasons why specific procedures will be conducted paves the addressees’ cognitive background to perceive the arguments in a specific way that, in most cases, benefits the goals targeted by the speaker and/or writer. After providing a reasonable justification for the document, the process of compositionality continues to be a crucial ploy in the persuasion process. Such a persuasiveness process is textually enabled by a number of macro and micro summarizers that feature the whole written discourse of the document.

TABLE 6  
FREQUENCY OF MACRO AND MICRO SUMMARIZERS IN THE SAUDI VISION 2030 DOCUMENT

MPs. No.	Macro-summarizers	Micro-summarizers	Total	Examples
MP 1	4	16	20	We have enormous untapped Opportunities and a rich blend Of natural resources, but our Real wealth lies in our people And our society.
MP 2	4	22	26	We will reinforce the ability of our economy to generate diverse job opportunities and institute a new paradigm in attracting global talents and qualifications.
MP 3	2	13	15	The roles and requirements of Government have grown Significantly since the kingdom of Saudi Arabia’s founding.
MP4	3	13	16	We are preparing to launch a group of executive programs that will have a significant impact on implementation.
Total	13	64	77	

As indicated from Table 6, the Saudi Vision 2030 document contains 13 macro-summarizers and 64 micro-summarizers. These are distributed among the four macro-propositions of the document. These summarizers, irrespective of their form, are effective persuasion strategies in the document. Their persuasive task is clearly shown in the fact that they provide a summary of the fundamental points addressed in a specific part and/or paragraph of the document. Summarization facilitates understanding and directs attention towards the basic ideas targeted in a piece of discourse. This helps addressees receive any argument in a direct and easy way, which serves to strengthen the degree of getting them persuaded of what is argued for or against. Significantly, language users summarize their arguments to highlight important details, increase understanding, and give authority and credibility to their words and work. In politics, summaries simplify difficult arguments, syntax, and vocabulary while omitting details or instances that might divert the reader's attention from the most crucial information.

One crucial feature of summarization in the document at hand is the capitalization form and the font size that all macro and micro summarizers are delivered by. Both capitalization and the large font size by which all summarizers are written function to cast emphasis on particular ideas of the document, as well as to shed much more power and impact on the arguments they present. Throughout the document, capitalization and font size are inherent characteristics of the process of summarization.

## V. DISCUSSION

The analysis of the Saudi Vision 2030 document shows that it is persuasively structured to communicate particular meanings. It is analytically demonstrated that the selected document is cohesively arranged in a way that makes it appear in a clearly perceivable persuasive pattern. In light of this study, this cohesive structure is realized both internally and externally. Internally, such cohesion is achieved by the skillful use of five persuasion strategies, including lexical choices, the inclusive 'we', religionization, future promises, and compositional summarization. The five strategies are dexterously utilized to persuasively communicate the four main macro-propositions constituting the whole discourse of the document. Externally, the Saudi Vision 2030 document has persuasively been textualized through the structure of the context in which it operates. From the very beginning of the selected document, the document highlights its topical themes: a vibrant society, a thriving economy, and an ambitious nation, around them the whole linguistic construction of the document revolves. These global meanings (macro-propositions) have been made explicit in the first page of the document, namely the contents page. Crucially, the topical themes of the Vision 2030 document have been textually developed throughout its parts. This topical development is termed Rheme (Halliday & Matthiessen, 2014). This textual rheme is persuasively structured to communicate particular political meanings pertinent to the Saudi leadership.

The analysis shows that the five strategies of persuasion discussed in this paper cover four levels of linguistic analysis: lexical, semantic, pragmatic, and stylistic. At the lexical level, the analysis displays that word selection plays an integral part in the persuasion process. Using words as persuasion conduits has proven useful in this study. This is clearly manifested in the strategy of lexical choices, which entirely depends on the extent to which particular words are used effectively to communicate persuasive meanings. Such usage of words is linguistically heightened by the combination of words around each selected word. This has previously been emphasized by many studies, including Fowler (1991), Jakobson (1997), and Khafaga (2023), who argue that the ideological and persuasive weight of words is clearly mirrored when these words are shown in combination with other words. A further significance of words lies in the strategy of religionization, where certain religious words and/or phrases are used to communicate the religious nature attributed to some of the Vision 2030 goals. As stated before, such a religionization process targets the emotional state of the Saudis, who are culturally religious, to accept the arguments quite willingly.

At the pragmatic level, the first-person plural pronouns are used to communicate solidarity and closeness between discourse participants. In this sense, the first-person plural pronouns go beyond their ordinary semantic function to convey another pragmatic purpose, which in turn functions to achieve persuasion. At the semantic level, the document abounds in global meanings that are analytically listed in this paper as macro-propositions that constitute the whole semantic compositionality of the document. These semantic macro-propositions are closely linked to the strategies of persuasion discussed in the paper to produce a comprehensive interpretation of the way the Saudi Vision 2030 document is persuasively formed. Also, the truth modal 'will' is frequently employed as a persuasion carrier, as it serves to add the meanings of certitude, trustworthiness, and credibility to the presented argument, which, in turn, function to facilitate the process of persuasion on the part of the addressees. As for the stylistic level, it is obviously shown via three linguistic manifestations: summarization, which comprises two types: macro-summarizers and micro-summarizers; capitalization, which serves to cast emphasis on particular statements throughout the document; and the font size by which all summarized statements are written in the document at hand.

The analysis clarifies that texts reflecting political life can be described, analyzed, interpreted, and critiqued using critical discourse analysis (CDA). This goes in accordance with Fairclough's (2013) and van Dijk's (1993, 2006) contention that the goal of CDA is to methodically investigate the connections between discursive practices, texts, and events and more general political, social, and cultural interactions. CDA's main concern, therefore, is the detailed examination and explanation of language's materiality. CDA strives to explore the different relations of power in discourse, and because persuasion is entirely based on the rhetorical side of power, that is, the power of the word, it can

be concluded that CDA is also concerned with revealing the hidden strategies of persuasion that are linguistically manifested in talks and texts (van Dijk, 2004). The analysis further clarifies that language is a crucial tool in the hands of its users, as it can be used and/or abused to achieve persuasion. This correlates with Jowett and O'Donnell's (1992) argument that language can be employed persuasively and/or manipulatively to achieve the goals of its users in discourse.

Furthermore, the four macro-propositions constituting the global meanings of the whole discourse of the Saudi Vision 2030 document are analytically linked to the five strategies discussed in this study. To clarify, the analysis demonstrates that the five persuasion strategies are indicatively represented in each macro-proposition (global meaning) addressed by the document. This mirrors the effective way the four macro-propositions are discursively structured and the effectively persuasive way they are presented in the discourse of the document. Consequently, the five persuasion strategies are reflected in the macro-propositional content of the document. This reconciles with van Dijk's (1995) argument that there should be a correlation between the macro-propositions of discourse and the significations of the linguistic expression. This also accentuates Khafaga's (2017) argument that the connection between the textual and contextual features of discourse as well as between the different levels of linguistic analysis contributes to producing a comprehensive interpretation that can be perceived persuasively on the part of addressees.

The findings revealed in this paper also reconcile with many previous studies in the field of CDA (e.g., van Dijk, 1997; Chilton & Schäffner, 2002; Billig, 2003; Fairclough, 2013; Khajavi & Rasti, 2020; Khafaga et al., 2023) in the sense that the connection between CDA and persuasion demonstrates the applicability of CDA to the linguistic investigation of persuasion in political documents. The reason for this association is that both methods rely heavily on the concepts of ideology and power as fundamental elements of their frameworks. Revealing the different strategies of persuasion by analytically drawing on CDA seeks to modify the public's viewpoints and convictions as well as political ideals. With the use of CDA, the public has become proficient critical analysts capable of deciphering meanings beyond words. Additionally, CDA prepares the public to evaluate the ideological arguments they will encounter and to recognize and celebrate anything that supports their opinions, while also being prepared to refute any claims and assertions that run counter to those opinions.

## VI. CONCLUSION

This paper adopted a critical discourse analysis (CDA) to provide a linguistic analysis of persuasion strategies in the Saudi Vision 2030 document. The study identified and analyzed five persuasion strategies that are employed to communicate the targeted meanings persuasively. These are lexical choices, the inclusive 'we', religionization, future promises, and compositional summarization. The five strategies constitute the lexical, semantic, pragmatic, and stylistic levels of analysis. Lexically, the targeted meanings of the document are intended to be persuasively communicated by the skillful selection of specific words that operate effectively as persuasion conduits, particularly in combination with other lexical items. Semantically, the analysis identified four basic macro-propositions representing the global meanings of the whole discourse of the document. Pragmatically, it is analytically shown that solidarity and closeness are both conveyed by the pragmatically inclusive use of the first-person plural pronouns 'we', 'our', and 'us'. Stylistically, the analysis has displayed that persuasion can be achieved stylistically by means of summarization, capitalization, and font size, through which arguments are presented in discourse to cast emphasis on specific meanings and facilitate understanding on the part of addressees. Furthermore, the analysis showed that language is a powerful weapon in the hands of politicians, through which they can communicate their intended meanings persuasively. This, in turn, accentuates the assumption that CDA proves useful in revealing the various strategies of persuasion used in texts and talks, both theoretically and analytically.

For future research, this study recommends other linguistic investigations for the Saudi Vision 2030 document that focus on other strategies of persuasion at the various levels of linguistic analysis. For example, by exploring the ideological significance communicated by both the lexical and functional categories employed in the document. These recommended studies might reveal findings similar or different to the findings revealed in this study in a way that provides a further linguistic understanding of the way the document of Vision 2030 is linguistically structured.

## APPENDIX

The link to the Saudi Vision 2030 document:  
<https://vision2030.gov.sa/en/download/file/fid/353>

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# Ahmed Saadawi's *Frankenstein in Baghdad* in the Time of the COVID-19: A Postmodern Reading

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**Abstract**—The study explores how Ahmed Saadawi's novel, *Frankenstein in Baghdad* (2013) could be related to the time of COVID-19 through a postmodern lens focusing on post-war issues. The study aims at exploring Saadawi's characters who are used by the writer to represent post-war issues in Iraq. The characters suffer from a kind of hallucination and depression as seen in both their behavior and their routine, everyday lives. They show how their life has no meaning and aim. All this is symbolized by the monster which itself is only the creation of the minds of these depressed people. The study shows how people, who are suffering from postwar issues can also resemble people suffering through the COVID-19 pandemic. The hallucinations of Saadawi's characters resemble those of real-life people during the COVID-19 pandemic. Thus, the paper tries to explore how Saadawi's characters resemble humanity in the time of COVID-19. In general, little research has been conducted on the postwar issues represented in Saadawi's novel, *Frankenstein in Baghdad*, and how the characters themselves in the novel could represent humanity in post-pandemic times. The paper's contribution is to fill the gaps of the previously made points.

**Index Terms**—Saadawi, COVID-19, Frankenstein, Iraq, pandemic

## I. INTRODUCTION

Due to its fast spread and continuous mutations that make it harder for the human body to resist, COVID-19 has had a vital impact on humanity all over the world. Indeed, the pandemic has led to many domestic problems caused by the lockdowns including the separation of families, various acts of violence, and along with the disease itself, many deaths. All of this is because people have been banned from their daily routines. Sanchez-Gomez et al. (2021) state that COVID-19 has led to an unexpected number of people dying and living in isolation since the horns of the World Health Organization (WHO) first began trumpeting the dangers of the COVID-19 outbreak (p. 1). They also declared that every country in the world was forced into lockdown (p. 1).

According to Seal (2020), the Second World War caused many human beings to be psychologically devastated (p. 1). He states that the war made many people feel hopeless, which also made them begin to question life and their purpose here on Earth (p. 1). The survivors of World War II felt that way – as if life was hopeless, absurd, and meaningless. Likewise, when researching COVID-19 and its effects on humanity, one cannot help but notice how the psychological effects are very much like those found in survivors of war.

The symptoms that people suffer from both after war and after COVID-19 are very similar and might include disillusionment, alienation, and mental illness. Both phenomena can also cause a great decline in the world's population. Nandi (2020) declares that the COVID-19 pandemic is a major threat to the world. Nandi (2020) continues by saying that this is due to how fast the virus spreads among people and its mutations as it passes from one to another. Also according to Nandi (2020), this may lead to large numbers of deaths and the effects would be that people will become vulnerable and chaotic. In other words:

These human conditions remain acutely swayed by an element of ad absurdum following the perpetual tension between a sense of order, meaning and finality and in contrast a refusal for such commitment by a recalcitrant and indifferent universe. (Nandi, 2020, p. 4)

Therefore, after noting what Nandi and Seal state, the traumas of war can be seen as being similar to the traumas of COVID-19. According to Sanchez-Gomez et al. (2021), many studies have been conducted on the impact of COVID-19 on the world and especially its impact on an individual's mental health, "causing stress, anxiety, depressive symptoms, insomnia, denial, anger, and fear" (p. 1). All this led to "health anxiety, financial worry, and loneliness" (Sanchez-Gomez et al., 2021, p. 1).

May (1981) states that any phenomenon which disturbs the lives of human beings and their routines is considered a crisis. Therefore, both the pandemic and wars are considered crises. Taggart et al. (2020) even state that the pandemic is considered a severe crisis that has affected the world (p. 1). Thus, it can be said that the pandemic has led, and continues to lead, to the same severe consequences as wars. As such, if COVID-19 is, indeed, like war, then it is a worldwide crisis costing thousands of human lives which has resulted in a decrease in the world's population. Ufearoh (2020) declares that COVID-19 has affected the world's population through both an increase in the number of deaths and the



amount of trauma caused by these deaths. This can also be applied to the death and trauma war and that it causes. Ufearoh (2020) adds that the pandemic is dangerous because it does not distinguish between people in regards to class, race, origin or any other social difference.

Not only has the spread of the COVID-19 had taken lives, but it had also disrupted the lives of people around the world, much like war. Consequently, these hopeless people started to doubt their existence. Yalom (1980) comments on this by saying, people who are exposed to such crises unintentionally question their lives and what they gained from their lives. DeRobertis (2017) also adds that these crises enable human beings to reach the conclusion that they can no longer live the way they have lived or to continue living the way they were living. Ufearoh (2020) posits the same idea when he says that people have started questioning the meaning of life and its value since the spread of COVID-19. This could also be linked to war and the effect of war on people who witness it. Post-war trauma and COVID-19 both unintentionally force people to yearn for the way that their lives were before and dream for a miracle to happen that will lead to better lives. Bland (2020) declares that COVID-19 has affected all humanity and is considered as “an undeniable, unprecedented crisis” (p. 771). Baum-Baicker (2020) adds that crises are major sources of anxiety and stress. Andrew M. Bland (2020) relates the crises of COVID-19 to four major binary oppositions: “life/death, community/isolation, freedom/determinism, and meaning/ absurdity” (p. 710). The mentioned binary oppositions could also be linked to the time after war.

Indeed, many writers have presented and reflected upon postwar problems and trauma in their works. One of those writers is Saadawi who set his novel *Frankenstein in Baghdad* (2013) in Iraq after the U.S invasion. Though the novel was written in Arabic, it has since been translated into many languages including English. Saadawi's (2013) novel is named after Mary Shelley's creation; however, according to Qualey (2014), Sadaawi (2013) stated that he was not inspired by the novel but rather by “the vast cultural space that is called “Frankenstein” which includes movies, comics, and more” (Qualey, 2014, p. 1). He presents his characters as devastated, traumatized, hopeless and depressed. They are also presented as people who live in isolation and alienation which causes them to perform certain routines in their lives that are meaningless and aimless. They are seen as always hallucinating about unreal things and incidents, always hoping for a better life. Part of their hallucination is “Whatsitsname” - a corpse made up of the body parts of bomb victims stitched together by the local junk dealer Hadi. Hadi declares that “I made it [the corpse] complete so that it wouldn't be treated as trash so that it would be treated like other dead people and given a proper burial” (Saadawi, 2013, p. 27). Hadi does not accept the fact that people in his country are killed and their bodies separated into ashes because of the bombings and the burning, so he decides to gather the parts of bodies together in order to give the corpse he creates a better burial. He describes the “injured people” as “groaning” and their “bodies” as “lying in heaps on the asphalt, covered in blood and singed black by the heat” (Saadawi, 2013, p. 9).

The corpse later disappears after being seen by specific characters as murdering bomb killers. The aim of Hadi was to give the corpse that he created from the body parts of many bomb victims to the government to show them how many victims are not given proper burials and acknowledgments. The corpse comes to life as a monster who seeks vengeance for those victims. However, he later starts killing in order to stay alive, as he begins replacing his own body parts with those of his victims. This study aims to prove that what the characters feel and suffer from in Saadawi's novel can be considered the same as what the people are feeling and suffering from during the continuing COVID-19 pandemic. Thus, this leads us to the supposition that the characters in the Saadawi's novel are also representative of the people living through the COVID-19 pandemic.

As mentioned earlier, the novel is set in Iraq after the U.S invasion. Teggart (2019) uses gothic motifs to represent the theme of war and the impact of war on the people who witness it in the article titled as *Frankenstein in Baghdad: A Novel Way of Understanding the Iraq War and Its Aftermath*. Teggart (2019) puts the novel in the Iraq War context, specifically, 2005 US Occupied Baghdad. Saadawi uses the “Frankenstein trope” and adopts the monster so as to highlight the “anxieties, actions, lifestyles, and beliefs of those involved and living in postwar Baghdad” (Teggart, 2019, p. 2). Teggart (2019) continues by saying that Saadawi represents the absurd circumstances and the trauma of the Iraqi people after the war, going on to describe it as terrifying, and confusing. The term “absurd” is related to postmodernism, an era which started after World War II, and is defined by Esslin (1961) as “out of harmony” (p. xviii). Camus defines the term as which “reflects the alienation of people and represent people having lost their bearings in an illogical, unjust, and ridiculous world” (cited in Fita Chyntia, Multhahada Ramadhani Siregar & Roni Hikmah Ramadhan, 2021, p. 3). Mohasien (2020) also states that the novel mainly discusses the post-war events in Iraq, and its impact on Iraqi society. Further, the writer intentionally tries to depict the panic and chaos in Iraq after the war. Elayyan (2017) declares that Saadawi has succeeded in depicting the US occupation and the resulting conflicts among the Iraqis ethnic groups after it. Sabeeh (2019) states that the monster represents a means of change, rather than just being an object, is a solution for the situations in Iraq.

## II. METHODOLOGY

The researcher approaches Ahmed Saadawi's novel, *Frankenstein in Baghdad* (2013) through a postmodern lens focusing on post-war issues and linking it to the time of COVID-19. The study aims at exploring Saadawi's characters, who are used by the writer to represent post-war issues in Iraq. The characters suffer from a kind of hallucination and depression as seen in both their behavior and their routine, everyday lives. They show how their life has no meaning

and aim. All this is symbolized by the monster which itself is only the creation of the minds of these depressed people. The study shows how people, who are suffering from postwar issues can also represent people suffering through the COVID-19 pandemic. The hallucinations of Ahmed Saadawi's characters resemble those of real-life people during the COVID-19 pandemic. Thus, the paper tries to explore how Saadawi's characters resemble humanity in the time of COVID-19.

### III. DISCUSSION

Saadawi's novel includes all the contemporary issues that appear after wars and other crises (Manthur, 2018). As one may have noticed in previous opinions about Hadi's monster "Whatsitsname" and what it actually represents, many say it represents the fear and panic after the Iraqi war with America. It also represents the delusion of the people who witnessed the war (as well as other Gulf wars) and are still affected by them. Further, the trauma of America's war on Iraq did not stop after the war; rather, it continued through the post-war U.S. occupation which resulted in the mistreatment and abuse of Iraqis. Al-Hajaj (2020) argues that Ahmed Saadawi's novel resembles "the horrors of everyday life in Baghdad in the wake of the war and American invasion of Iraq in 2003" (p. 1). Al-Hajaj (2020) adds that the narrative is considered a parody for the "dystopian reality of ideological chaos and political awkwardness" which followed the American occupation and seems to be beyond any remedy (p. 12). COVID-19 could be considered a remedy. In this case the same description given to the narrative could be also given to the period after the COVID-19 outbreak. Teggart (2019) argues that Saadawi uses Frankenstein monster-like creature, the Whatsitsname, to symbolize the absurd atmosphere and circumstances as a result of terror and confusion in real Iraqi settings (p. 3). In a 2014 Arabic Literature and Translation interview, Saadawi states that the monster is used to represent the problems in Iraq and the daily meaningless routines of the people in Iraq (p. 4).

According to Teggart (2019), another issue that Saadawi (2013) highlights is that what had happened in Iraq led the Iraqis to live in isolation without being aware of even what was happening to the people around them. They were no longer united and supportive of each other. They all changed to "Whatsitsname" - the "justice-seeking, murderous, isolated, lonely, violent, desperate form of the monster" (Saadawi, 2013, p. 5). Marr and Al-Marashi (2017) have tackled the context in Iraq saying that, added to the fact that Iraqis live under U.S. occupation until now, one of the main consequences of the U.S. occupation is the division between Iraqi Shias and Iraqi Sunnis, which itself has caused many political issues, violent acts, battles, abuse of all kinds, and civilian deaths. Going through the symptoms that occur in any war in any region may cause the reader to reflect upon what is happening during these times of COVID-19 and the kind of life which people have reached to.

There are many places in the novel where Saadawi (2013) tries to show how death has dominated the atmosphere of Iraq. It smells and looks like death. It is said that the city is stalked by death "like the plague" (p. 6). Baghdad is also described in the novel as a city that has "...fear, death, anxiety, criminals in the street, everyone watching as you walk past. Even when you're asleep, it's nightmares and jumping in fright all the time" (Saadawi, 2013, p. 207). Regarding these quotes, Teggart (2019) states that death was not a choice for the Iraqis at that time - it might happen to anyone at any time (p. 11). Hadi, as an example, asks the monster to leave him until the end. He continues, "I don't want to live anyway. What's living to someone like me? I'm nothing, whether I live or die. I'm nothing. Kill me, but at the end. Make me the last one" (Saadawi, 2013, p. 20). Sanchez-Gomez et al. (2021) state that COVID-19 has also created the feeling in people that they could die at any time. Death has become a fact for them rather than a choice (p. 7).

According to Teggart (2019), Saadawi confirmed in an interview that the "Whatsitsname" reflects human beings' "standards of justice, retribution, revenge, and punishment" (p. 15). Saadawi's words could be reflected in the monster's description of his mission, "I am the answer to their call for an end to injustice and for revenge on the guilty...I will take revenge on all the criminals. I will finally bring about justice on earth..." (Saadawi, 2013, p. 143). The Whatsitsname "was a composite of victims seeking to avenge their death so they could rest in peace" (Saadawi, 2013, p. 130). The latter quote shows how the monster is a combination of all Iraqis, whatever their beliefs and how they would want to avenge this life that now live where death is everywhere around them. Whatsitsname had become a threat to everyone rather than a source of peace when Hadi started thinking of how to stop the monster's murderous spree in order to survive. He says, "The only good solution was to go home, take the corpse apart, and restore it to what it had been - just disconnected body parts". Then Hadi must "scatter the parts throughout the streets where he found them" (Saadawi, 2013, p. 14). It was not until this point that Hadi started regretting what he had done. Teggart (2019) also states that the later actions of the monster become uncontrollable which affects his mission. This is similar to COVID-19 and how it became uncontrollable and it started to change and show mutations. Because of the actions of Whatsitsname, it can no longer provide peace in Baghdad or the whole of Iraq. This is because the monster started killing the criminals for revenge and then started killing innocent people to survive. Teggart (2019) also comments on this point saying that the monster started with a mission and then has moved away from his mission. The monsters' mission never gets completed and he never finishes his mission to bring peace to the people of Iraq. It starts killing innocent people to take their parts to stay alive.

Mohasien (2020) adds that the character Whatsitsname serves as a reflection of the absurdity that appeared after the war in Iraq. Mohasien (2020) also adds that the whole country was destroyed, especially Baghdad. Since the occupation, the city entered a chaotic stage where there are lots of explosions, killing and blood. This, along with the low standard

of living in the country, motivated people to flee Iraq. According to Mohasien (2020), Saadawi succeeded in reflecting the image of postwar Iraq through his narrative.

This could be justified by what these people have witnessed. According to what Faraj says, “The burning of plastic and seat cushions, the roasting of human flesh. You wouldn’t have smelled anything like it in your life and would never forget it” (Saadawi, 2013, p. 9). Faraj himself has “taken advantage of the chaos and lawlessness in the city to get his hands on several houses of unknown ownership” (Saadawi, 2013, p. 5). All these scenes and facts that happened in Iraq can be applied to what is happening now with the COVID-19 pandemic. There are certain countries where the streets and houses are left empty because of the lockdown.

Murphy (2018) states that Saadawi’s *Shesma*, which is translated to “Whatsitsname”, is a monster presented in the narrative is a reflection of the thousands of deaths that occurred during the US 2003 invasion and the Iraqi civil war that followed it. Bahooora (2018) argues that Saadawi shows how “the Iraqi reality itself is monstrous and irrational” after these wars (p. 188). Bahooora (2015) also adds that “literary and artistic representations of the body’s violent dismemberment and mutilation are a recurring feature of post-2003 Iraqi cultural production,” and that these representations aim at “narrating a terrain of unspeakable violence” in Iraq since 2003 and “the many afterlives of violence in its wake” (pp. 185-86).

Elayyan (2017) argues that Saadawi adopts Shelley’s monster in his novel to highlight the terrorism that has been created by the American occupation. Elayyan (2017) continues by saying that terrorism causes fear in addition to what the occupation causes. According to Elayyan (2017), the monster symbolizes the fear that hit Iraqis after the war with America. This fear has led to “selfishness, demagoguery, and exploitation” among the people of Iraq (p. 158). Elayyan (2017) also adds that Saadawi’s novel is all about the violence and its increase that the Iraqis are exposed to as a result of the occupation, which at the same time has forced them to live and expect their death at any time. Sanchez-Gomez et al. (2021) discuss what causes the symptoms of crises to have such symptoms is what is considered a crisis and since wars and pandemics are considered crises, both are the same.

The regions where wars and other crises such as pandemics occur are inhabited with people who become careless, hopeless and isolated. They start questioning their lives and how they spent their lives. This is due to the massive loss of human lives, wealth, homes and other losses. They start thinking of death as it is something that may happen any time. Referring to what Mohasien (2020) states, Saadawi’s use of the monster reflects what Saadawi believes - after war, people die from their fear of dying. Mohasien (2020) also adds that the novel explores the way the characters live after the war. Teggart (2019) states that Saadawi focuses on sudden and continuous death in the novel which is based on illogical causes.

Through his narrative, Saadawi (2013) describes the consequences of the occupation as being those that have led individuals to be selfish and lawless. He also describes the Iraq’s civil war that led to fighting between the country’s ethnic groups. According to Teggart (2019), the Iraq war and the aftermath also led to a civil war in Iraq where Iraqis started killing themselves for many reasons based on their religious beliefs. This is despite the fact that the monster does not belong to one tribe or religious part but is created by the parts of different people’s bodies. But then, according to Teggart (2019), the monster becomes ambiguous and violent. *Whatsitsname*’s mission is to avenge the people of whom he is made and to bring peace to the country (Saadawi, 2013). All this created the fear of the unknown, the future, the fear of death, the fear of loss. This fear has also been created among the people who live in the time of the pandemic. Yasin (2020) states that COVID-19 has led to what he calls “Corona fear” which includes the fear of the pandemic and the fear of getting infected with the virus, the fear of not having the chance to be vaccinated, the fear of being affected by the vaccine itself, the fear of the losing relatives or loved ones because of to the virus, the fear of having more faith and getting close to God, and the fear of isolation or dying (p. 2). According to Sanchez-Gomez et al. (2021) who discuss the trauma of the pandemic and fear feelings during COVID-19, the pandemic itself spreads a kind of anxiety that greatly affect people’s lives. This “anxiety is due to two reasons; fear of infection and the symptomatic consequences that may result from it” (p. 5).

Other than Hadi and Faraj, another character that has been affected by the war and its consequences is Elishva whose son never returns from military service in the Iran-Iraq war. Because of a hallucination, Elishva mistakes *Whatsitsname* for her son, Daniel. Elishva is known in her neighborhood and believes as “[m]any of the local people believe that, through her spiritual power, Elishva prevented bad things from happening while she was among them” (Saadawi, 2013, p. 11). Through the narration, it could be noticed that *Whatsitsname* is “brought to life” by Elishva:

...with her words, the old woman had animated this extraordinary composite—made up of disparate body parts and the soul of the hotel guard who had lost his life. The old woman brought him out of anonymity with the name she gave him: Daniel. (Saadawi, 2013, p. 53)

Murphy (2018) comments on the same quote saying that the monster is brought to life due to the fact that Elishva is still suffering from her son’s loss in the war. Murphy (2018) also adds that the Iraqis’ fears and anxieties caused by the monster reflect the Iraqis’ fears and anxieties after the US occupation and the civil war. According to Murphy (2018), Iraqis living under such situations and conditions live as if they are already dead. They have the feeling that they may die any time. Elayyan (2017) states that Elishva’s hallucinations lead her to believe that the monster was her son who was lost in war and never came back. Elayyan (2017) adds that Daniel’s return in Elishva’s mind gives power to her life. Elishva suffers from the trauma of war, and according to Sanchez-Gomez et al. (2021), such trauma follows any crisis,

in this case the crisis of the pandemic. Sanchez-Gomez et al. (2021) continue by stating that mental disorders may happen to people, who have went through a natural disaster.

According to Al-Hajaj (2020), Elishva represents many Iraqi women who have lost their sons in many wars that Iraq has faced. These women continue hope that their sons will return alive. Al-Hajaj (2020) adds that they start showing how they are “trapped between reality and fantasy” in a way that they cannot continue their lives as before neither, nor can they move on (p. 8). Elishva also represents all human beings who live around the world and are suffering from the trauma of the COVID-19. Elishva represents the people who suffer from the loss of their loved ones or relatives to the COVID-19 pandemic. Their deaths may affect their living relatives’ lives until their own deaths. In fact, this may even become the cause of their deaths. People losing their friends and loved ones is continuously happening now during COVID-19. Many people have lost their parents, children and other relatives to the virus. This has led people to live in depression and hope that somehow these dead people will come back. In fact, in some countries, many people’s corpses had to be burnt because of the large number of people who have died from COVID-19 or because of the dangerous mutations of the virus that is hard to fight off.

Murphy (2018) highlights Saadawi’s description of the city as “dystopia” and “hell on earth” (Saadawi, 2013, p. 113; cited in Murphy, 2018). This could be noticed in the quotes taken from Saadawi’s narrative, where he describes Baghdad as populated by “tawabie al-khouf, the ““familiar of fear”” (Saadawi, 2013, p. 113). These people are filled with fear caused by the violent atmosphere and sudden deaths. The people are described as “ghosts” that “slept and rested in those bodies without the people being aware of them” (Saadawi, 2013, p. 113). Tripp (2002) declares that “For the Iraqi population, the pace and violence of these events had made them bystanders or victims” (p. 274). Saadawi highlights the supernatural atmosphere in Baghdad in mentioning the “ghostly figures” (Tripp, 2002, p. 110) that live in depression in Baghdad through the following lines:

Over the past decade, with the departure of many of the Egyptian and Sudanese migrant workers, these hotels had become dependent on a few customers who lived in them almost permanently.... But most of these people disappeared after April 2003, and now many of the hotels were nearly empty. (Saadawi, 2013, p. 12)

In another quote, the inhabitants are described as “dead people who had emerged from the dungeons of the security services and nonexistent people appeared out of nowhere outside of the doors of their relatives’ humble houses” (Saadawi, 2013, p. 235) in a place where “Death stalked the city like the plague” (Saadawi, 2013, p. 6). Whatsitsname’s decomposing body is reflected in “the balconies that were collapsing and the coats of paint that were flaking off the walls” (Saadawi, 2013, p. 182).

People are desperate to get away from the life they are living after all these political issues that they have been exposed to. So, death haunts them during their lives, which had led them to “panic, and some of the pilgrims were trampled to death while others threw themselves into the river and drowned” (Saadawi, 2013, pp. 110-11). Hadi himself is desperate in a way that makes him wonder why he is still alive while others are dead. The only way to die, according to him is to be on news. This is mentioned in the quote where Saadawi (2013) writes: “Why did he see other people dying on the news and yet he was still alive? He had to get on the news one day, he said to himself. He was well aware that this was his destiny” (p. 210). The journalist Farid also adds that “all the security incidents and the tragedies we’re seeing stem from one thing—fear. The people on the bridge died because they were frightened of dying. Every day we’re dying from the same fear of dying.... [Al-Qaeda] has created a death machine working in the other direction because it’s afraid of the other” (Saadawi, 2013, p. 123).

Jani (2015) states that Hadi’s monster represents the terror in Baghdad and Iraq after the war with America. Jani (2015) argues that the terror that the Iraqis feel is the same as the terror that Samuel Becket’s Vladimir and Atragon feel in the play *Waiting for Godot* (p. 326). According to Jani (2015), this terror is because people go mad after crises, often “supporting shedding blood for the sake of shedding blood” (p. 327). AL-Hajaj (2020) focuses on “the madmen’s pragmatic approach to military reality” (p. 12). Saadawi (2013) argues that Iraqi veterans, are left “broken and traumatized by the many wars in which Iraq was entangled” (p. 7).

Elayyan (2017) raises some questions that are asked by the Iraqis who are exposed to war, but actually the questions could be raised by people who are exposed to all sorts of crises, such as COVID-19. According to Elayyan (2017), these questions, often used to make decisions, are: “Do they leave the country, do they go into hiding, or do they forsake the pleasures of life and prepare for death” (p. 167). Although Elayyan (2017) reveals these questions people in crises may ask themselves in order to make decisions on what to do. He continues by saying that, in a country like Iraq, which is “ruled by haphazard, blind violence, the idea of planning a future sound is ridiculous” (p. 168). Elayyan (2017) concludes by saying that the novel itself only represents the issues that the people in Iraq suffer from without giving hints for a better future or even to give means for a better future. Such situations do not just steal the peace of the region but also creates a selfish community where each person seeks only his/ her own survival.

#### IV. CONCLUSION

From what has been discussed according to what Saadawi narrates in his novel, *Frankenstein in Baghdad*, it can be seen how the situations that happened in Iraq and the consequences of war resemble the consequences of COVID-19. The people in Iraq may resemble the people around the world in their situations and circumstances. This could also be

applied to the mental issues and the trauma that people suffer from after each crisis. In the end, this can be seen in the representation of Saadawi's characters in his novel *Frankenstein in Baghdad*.

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# TikTok: How the Application Became the Motivation for Online Learning for EFL Students During the COVID-19 Pandemic in Indonesia

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**Abstract**—This research aims to determine whether the social media application TikTok effectively increases the motivation for English as a Foreign Language (EFL) students to learn English using senior high school students in Tangerang, Indonesia, for the study. As 2022's sixth most often used social media application in the world, TikTok provides many features that can be easily used for teaching and learning EFL. As a result, the researchers chose TikTok as a medium in the English teaching-learning process. A quantitative approach using a quasi-experimental design and data collection through pre-tests and post-tests was used by the researchers along with quantitative descriptive research used in the data analysis, normality test, homogeneity test, and hypothesis testing (Mann-Whitney U). The results can be seen from the pre-test and post-test analysis using the Mann-Whitney U test, namely  $\text{sig} < 5\%$  ( $0.000 < 0.05$ ), and  $H_0$  was rejected which means that there is a significant difference in students' motivation when learning English between the experimental class who were taught using the TikTok application and the control class students who were not taught using TikTok.

**Index Terms**—TikTok application, EFL students' motivation, online learning, COVID-19 Pandemic

## I. INTRODUCTION

The recent COVID-19 pandemic forced students from all around the world to study from home (Winanti et al., 2022), affecting the students' learning process (M. Amin, 2023). As a result, it created the need for a medium that makes learning easier for students, meaning learning resources that can be developed through audio, visual, and audiovisual technology (Syamsiani & Munfangati, 2022). The role of this learning medium should be to clarify material and help accelerate student understanding (Yusuf, 2022). Additionally, teachers and students must master the medium used. Therefore, because the learning medium greatly affects the student's learning process, the teacher must choose the correct medium that helps them reach their learning goals (Gartung, 2023), and one of those mediums can be the TikTok social media application.

As one of the most popular social media platforms in communities around the world, TikTok is used to create, edit, and share short videos with filters or music as support with near-professional results (Alghameeti, 2022; Winanti et al., 2022). Therefore, through video uploads, TikTok can be used as a learning medium to support or increase student learning and motivation. Moreover, the TikTok application can facilitate the distribution of learning materials, making it easier for teachers to interact with students in a positive way with technological tools (Setya et al., 2022). Additionally, just like YouTube, TikTok grabs the public's attention (Wannas & Hassan, 2023), which can attract students' interest in learning and can be accessed at any time (Revesencio et al., 2022). Thus, in this way, TikTok is not only a social medium platform but is also a learning media in the education field that can be used to motivate EFL Students in the learning process (Amilia et al., 2022).

In education, student motivation is very important for increasing learning success (Sabiq et al., 2021). Students who are motivated tend to be more enthusiastic about learning because it encourages them to achieve their learning goals (Sadikin, 2023). Likewise, students who lack motivation will feel discouraged because they do not have this positive push to be successful. On the contrary, they will become disinterested in what the teacher is teaching, careless with assignments, and lose their curiosity for learning (Dania & Adha, 2023). Therefore, the importance of student motivation is a factor that greatly determines learning outcomes. Learning outcomes are results used to measure students' abilities to learn what they have been taught through learning experiences (Irhamia, 2021).

This research focuses on the effectiveness of the TikTok application on EFL students' motivation regarding online English learning during the pandemic, such as discovering and understanding what motivates students. Moreover, the

research aims to obtain information about the effectiveness of the TikTok application and find out how online learning affects it.

## II. LITERATURE REVIEW

### A. *EFL Students Motivation*

Students of English as a Foreign Language (or EFL) refer to individuals who are learning English (Pan et al., 2022) in a country where the language is not the primary or official language (Jiang et al., 2022). Furthermore, in these same countries where English is not the mother tongue, EFL students typically learn English in non-English-speaking environments such as schools or language institutes (Yu et al., 2022). Nonetheless, just like any other subject, EFL students sometimes need something to motivate them to learn the language.

Motivation makes every student learn with enthusiasm, initiative, creativity, and purpose (Alamer & Khateeb, 2021). Students who are motivated to learn will try to achieve their learning goals and will want to be seen as students who are successful both in school and in their environment (Li et al., 2021). Meanwhile, students who do not have the motivation to learn tend to show a lack of sincerity in their studies (Dörnyei & Ushioda, 2021). Indeed, a lack of motivation will affect the learning outcomes obtained.

Motivation comes from both inside and outside of everyone. Two internal factors motivate students to learn: (Van Nguyen & Habák, 2021) self-awareness and understanding the importance of learning to develop the self-ability to successfully provide for what they need in life (Septiani et al., 2021). Alternatively, external motivational factors come through stimulation from other people or the surrounding environment, which can also affect the person's psychology. Therefore, the motivation that grows in students is seen through these internal and external factors. Furthermore, student learning motivation can also be classified into several categories of indicators put forth by Hamzah (2011):

1. the desire to succeed,
2. the drive and need for learning,
3. the hopes and aspirations for the future,
4. the existence of appreciation in learning,
5. the existence of interesting activities in learning, and
6. the existence of a conducive learning environment.

### B. *Pandemic*

A pandemic is an outbreak of a disease that spreads rapidly around the world and usually affects many people. One of the impacts of the COVID-19 pandemic was social distancing, where people had to distance themselves from one another by at least one meter when out in public spaces, including schools. Additionally, based on Circular Number 4 of 2020 concerning the implementation of educational policies during the emergency period of the spread of the virus, the Minister of Education and Culture urged all educational institutions not to carry out the teaching and learning process directly or face-to-face but rather carry out teaching and learning indirectly or remotely. As a result, educational institutions had to change the learning method used to either directly online or through an online network. When the COVID-19 pandemic first occurred in Indonesia, nearly all public activities were forced to adapt to a new way of doing everyday tasks under quarantine, such as working from home, learning from home, and worshipping from home.

All of this was done to reduce the risk of spreading the COVID-19 virus as the number of people infected with the coronavirus increased every day. According to the WHO, the coronavirus was able to spread through tiny droplets that came from the respiratory tract of an infected person when they coughed or sneezed. However, these droplets did not only come out when sneezing or coughing but also when someone spoke. Moreover, the spread of the COVID-19 virus also occurred when someone touched an item that may have been contaminated by other people's droplets and then touched their nose, mouth, or eyes afterward. As a result, it was also very important to maintain cleanliness by washing hands with soap, bringing hand sanitizer, and keeping a social distance of at least one meter.

### C. *Online Learning*

Online learning during the pandemic was carried out through two approaches: PJJ Online and PJJ Offline (PJJ in certain parts of Southeast Asia such as Malaysia and Indonesia are the equivalent of "long-distance learning" in English and most often uses a Learning Management System (LMS)). Online learning can be done using several mediums including printed (books) and non-printed (audio and video) materials (Syarifudin, 2018).

Along with the medium, there is also the management of the online learning process, such as planning, organizing, actuating, controlling, and evaluating. Planning for online learning is crucial for creating a successful and effective educational experience (Alasagheirin et al., 2023). Whether it is the instructor, the instructional designer, or a student, careful planning can enhance engagement, learning outcomes, and overall satisfaction (Gao et al., 2022). Organizing online learning involves structuring and managing various elements of the learning experience to enhance clarity, accessibility, and engagement (Ong et al., 2022). Indeed, effective organization is key to a successful online learning environment. Actuating in the context of online learning involves implementing plans and strategies to ensure that the designed learning experiences are put into action effectively (Ezzeddine et al., 2023). This applies to educators and students, with each having a role in the actuation process (Ibidunni et al., 2023). In online learning, "controlling" refers



to monitoring, managing, and regulating various aspects of the learning environment to ensure that educational goals are met efficiently (Khoa & Huynh, 2023, pp. 44-46). Again, both educators and learners play roles in controlling aspects of online learning (Ezzeddine et al., 2023). Evaluation in online learning involves assessing various aspects of the learning process to determine the effectiveness of the educational experience (Hosseini et al., 2022), and once more, both educators and learners can play important roles in the evaluation process (Han, 2023).

#### D. TikTok Application

TikTok is among the most popular social media applications and is in great demand by various groups. TikTok is a music video and social networking application from China that really took over the social media industry in Indonesia (Rahmawati, 2018). The TikTok app was first launched in September 2016 by Zhang Yiming. TikTok gives its users a platform to express themselves through video content, usually a short 15-second video platform supported by music that allows users to record, edit, and upload a video for anyone to see.

What distinguishes TikTok from other applications is that it has various features that make it easy to use, such as the special effects feature consisting of shaking and shivering effects, which function to create an interesting video. Features include the ability to:

(a). *Add music*: By using this feature, users can add various types of music according to the video content created and add songs, which can increase students' motivation to learn English.

(b). *Use various filters*: Users can find a wide selection of effects, whether they are one that is trending, new, or funny. This filter aims to make videos seem more creative and interesting.

(c). *Change your voice*: This feature can change the sound in the created video into different sound effects. In teaching English, the voice changer feature can increase student motivation by changing the original voice to sound like a robot or the voice of a squirrel.

(d). *Beautify yourself*: This filter can make users more confident in every video they make; TikTok provides beautify filters that make the user's face look more beautiful or handsome. This feature can adjust the face shape-and eye color and smooth out the face.

(e). *Time yourself*: This feature helps keep time when making a video.

(f). *Collaborate*: This feature makes it easy for TikTok users to collaborate with other users.

(g). *Go live*: The live feature found in the TikTok application can help students gain a broader insight into the English language.

These features are what make TikTok popular with many users, especially children and teenagers.

### III. RESEARCH METHODOLOGY

The hypotheses resulted from this research, indicated significant differences between the experimental class and the controlled class when it comes to students' motivation to learn English online during the COVID-19 pandemic. The research was conducted at PGRI 11 Vocational School in Tangerang, Indonesia. This research sample was divided into two classes: class XI AKL 2 as the experimental class and class XI AKL 3 as the control class. Research data was obtained from pre-tests and post-tests. The pre-test was given before the researchers gave treatment to the students. The post-test was given after the researchers gave treatment to the students. The research population was made up of 150 students in the first grade at PGRI 11 Vocational School in Tangerang, Indonesia. Sampling was done using a simple random sampling technique in which two classes were selected from three. From the results of the random selection of samples, classes XI AKL 2 and XI AKL 3 were selected as a sample; then, the two classes were randomly selected to determine one class as the experimental class and one class as the control class, each consisting of 50 students, and using the tests as an instrument for this research. The research was conducted in three meetings each week for four weeks. The duration of the research was 2x35 minutes each time it was conducted in class.

The data was collected from all instruments, as follows: A pre-test was conducted before being given treatment. It aimed to find out the student's motivation to learn. The researchers tested the students with a pre-test. Then, the researchers provided the students with three steps. In the first step, the researchers explained the material given. In the second step, the researchers asked questions related to the material given. In the last step, the researchers provided opportunities for students to answer questions according to the explanation that was given.

The post-test was carried out after treatment. The aim was to find out the students' learning motivation and whether there was a difference between the pre-test and the post-test. The results of the post-test were used to answer the problem of this research.

Finally, a conversation test was given to students after treatment in the form of a dialogue. The researchers made a video on TikTok that featured a dialogue about greetings. Afterward, students were asked to use the "Duet" feature on the TikTok application to converse with researchers and students using the greeting material. The aspect through which the students were assessed was used to measure the effectiveness of the TikTok application on student motivation related to learning English.



## IV. RESULTS AND DISCUSSION

## A. Findings

## (a). Data Descriptions

The researchers gave different treatments to the two classes. For the experimental class, the researchers used TikTok as a learning medium, and for the control class, the researchers used conventional learning. The description of the experimental and control class data can be seen in Table 1.

TABLE 1  
EXPERIMENT AND CONTROL CLASS DESCRIPTIONS STATISTICS

		Pre-Test Experiment	Post-Test Experiment	Pre-Test Control	Post-Test Control
N	Valid	20	20	20	20
	Invalid	0	0	0	0
Mean		38.50	77.00	45.50	47.00
Median		40.00	80.00	40.00	45.00
Mode		40	70 <sup>a</sup>	40	30 <sup>a</sup>
Std. Deviation		8.751	10.809	12.763	16.575
Variance		76.579	116.842	162.895	274.737
Range		30	30	40	50
Minimum		20	60	30	20

## 1. Students' Pre-Test Results for the Experimental Class

Based on the calculated results from Table 2, the lowest score in the pre-test was 20.00, and the highest score was 50.00. The range is 30.00 from data (n) 20. The number of classes used is four, and the class interval is 1. From the results of the statistical calculations of the central tendency data, the average score ( $\bar{X}$ ) of the data is 38.50, the median value ( $Me$ ) is 40.00, the value of the mode ( $Mo$ ) is 40.00, and the value of the standard deviation ( $S$ ) is 80.75. The value of the variance ( $S^2$ ) is 76.57. The results of the pre-test scores of students in the experimental class can be seen in Table 2 and the histogram.

TABLE 2  
THE RESULT OF THE PRE-TEST OF THE EXPERIMENT CLASS

Pre-Test Experiment					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	20	2	10.0	10.0	10.0
	30	3	15.0	15.0	25.0
	40	11	55.0	55.0	80.0
	50	4	20.0	20.0	100.0
Total		20	100.0	100.0	

Based on Table 2, the researchers found that most of the students in the experimental class had learning motivation. Only two students got a score of 20.00. Three students scored at the interval of 30.00. Eleven students scored at the interval of 40.00. Finally, four students scored at the interval of 50.00.

## 2. Students' Post-Test Results for the Experiment Class

Based on the calculated results, the lowest score in the post-test was 60.00, and the highest score was 90.00. The range is 30.00 from the data (n). The number of classes used is four, and the class interval is 1. From the results of the statistical calculations of the central tendency data, the average score ( $\bar{X}$ ) of the data is 77.00, the median value ( $Me$ ) is 80.00, the value of the mode ( $Mo$ ) is 70.00, the value of the standard deviation ( $S$ ) is 100.80, and the value of the variance ( $S^2$ ) is 116.84. The results of the post-test scores of the students in the experimental class are shown in Table 3.

TABLE 3  
TABLE OF THE RESULTS OF THE POST-TEST IN THE EXPERIMENT CLASS

Post Test Experiment					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	60	3	15.0	15.	15.0
	70	6	30.0	30.0	45.0
	80	5	25.0	25.0	70.0
	90	6	30.0	30.0	100.0
	Total		20	100.0	100.0

Based on Table 3, the researchers found that most of the students in the experimental class had learning motivation. Only three students got a score of 60.00. Six students scored at an interval of 70.00. Five students scored at an interval of 80.00. Finally, six students scored at the interval of 90.00.

## 3. Students' Pre-Test Results for the Control Class

Based on the calculated results, the lowest score in the pre-test was 30.00, and the highest score was 70.00. The range is 40.00 from the data (n). The number of classes used is five, and the class interval is 1. From the results of the statistical calculations of the central tendency data, the average score ( $\bar{X}$ ) of the data is 45.50, the median value ( $Me$ ) is 40.00, the value of the mode ( $Mo$ ) is 40.00, the value of the standard deviation ( $S$ ) is 120.76, and the value of the variance ( $S^2$ ) is 162.89. The results of the post-test scores of students in the experimental class can be seen in Table 4.

TABLE 4  
TABLE OF THE RESULTS OF THE PRE-TEST FOR THE CONTROL CLASS

Pre-Test Control					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	30	4	20.0	20.0	20.0
	40	8	40.0	40.0	60.0
	50	3	15.0	15.0	75.0
	60	3	15.0	15.0	90.0
	70	2	10.0	10.0	100.0
	Total	20	100.0	100.0	

Based on Table 4, the researchers found that most of the students in the control class had learning motivation. Only four students got a score of 30.00. Eight students scored at the interval of 40.00. Three students scored at the interval of 50.00. Three students also scored at the interval of 60.00. Finally, two students scored at the interval of 70.00.

(b). *Students' Post-Test Results for the Control Class*

Based on the calculation results, the lowest score in the post-test was 20.00, and the highest score was 70.00. The range is 50.00 from the data (n). The number of classes used is six, and the class interval is 1. From the results of the statistical calculations of the central tendency data, the average score ( $\bar{X}$ ) of the data is 47.00, the median value ( $Me$ ) is 45.00, the value of the mode ( $Mo$ ) is 30.00, and the value of the standard deviation ( $S$ ) is 160.57. The value of the variance ( $S^2$ ) is 274.737. The results of the post-test scores of students in the control class can be seen in Table 5.

TABLE 5  
TABLE OF THE RESULTS OF THE POST-TEST FOR THE CONTROL CLASS

Post Test Control					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	20	1	5.0	5.0	5.0
	30	6	30.0	30.0	35.0
	40	3	15.0	15.0	50.0
	50	1	5.0	5.0	55.0
	60	6	30.0	30.0	85.0
	70	3	15.0	15.0	100.0
	Total	20	100.0	100.0	

Based on Table 5, the researchers found that most of the students in the control class had learning motivation. Only one student got a score of 20.00. Six students scored at the interval of 30.00. Three students scored at the interval of 40.00. One student scored at the interval of 50.00. Six students scored at the interval of 60.00, and three students scored at the interval of 70.00.

(c). *Data Analysis*

1. *Normality Test*

A normality test is used to determine whether the data obtained is normally distributed or is not normally distributed. The hypothesis testing used in statistics and parametric analysis will influence the normality test results by applying the Kolmogorov-Smirnova and Shapiro-Wilk formulas.

2. *Normality Test of the Experiment Class Pre-Test*

Based on the pre-test scores obtained from class XI AKL 2 as the experimental class, with a sample of 20 students, the data calculation obtained a statistical value of 0.318 and a significance value of 0.000 for the Kolmogorov-Smirnov test, and a statistical value of 0.833 and a significance value of 0.003 was recorded for the Shapiro-Wilk test with a significance level of 5% or 0.05. The data is not distributed normally if the significance value is  $> 0.05$ . From the data above, it can be concluded that the results of the pre-test class XI AKL 2 are distributed only sometimes. The results of the normality test (pre-test) of the experiment can be seen in Table 6. Based on this result, it can be concluded that the data is not normally distributed in either the Kolmogorov-Smirnov test or the Shapiro-Wilk test.

3. *Normality Test of the Experimental Class Post-Test*

A sample of 20 students from class XI AKL 2 were used as the experimental class. The post-test scores showed a statistical value of 0.191 and a significance value of 0.053 for the Kolmogorov-Smirnov test and a statistical value of 0.868 and a significance value of 0.011 for the Shapiro-Wilk test at a significance level of 5%, or 0.05. If the

significance value is  $> 0.05$ , the data is normally distributed. From the data above, it can be concluded that the post-test class XI AKL 2 results are normally distributed.

#### 4. Normality Test Pre-Test Control Class

A sample of 20 students from class XI AKL 3 were used as the control class. The data analysis showed that the Kolmogorov-Smirnov test had a value of 0.267 and a significance value of 0.001, and the Shapiro-Wilk test had a value of 0.879 and a significance value of 0.017, with a significance level of 5%, or 0.05. If the significance value is  $> 0.05$ , the data is not normally distributed. From the data above, it can be concluded that the pre-test class XI AKL 3 results are not normally distributed. The results of the normality test (pre-test) of the control can be seen in Table 6. Based on this result, it can be concluded that in both the Kolmogorov-Smirnov test and the Shapiro-Wilk test, the data is not normally distributed.

#### 5. Normality Test Post-Test Control Class

Based on the post-test scores obtained from class XI AKL 3 as the control class, with a sample of 20 students, the data calculation obtained a statistical value of 0.234 and a significance value of 0.006 for Kolmogorov-Smirnov and a statistical value of 0.874 and a significance value of 0.014 for Shapiro-Wilk with a significance level of 5% or 0.05. The data is not distributed normally if the significance value is  $> 0.05$ . From the data above, it can be concluded that the results of the pre-test class XI AKL 3 are not distributed normally. The results of the normality test (post-test) of the control can be seen in Table 6. Based on this result, it can be concluded that the data is not normally distributed in both the Kolmogorov-Smirnov test and the Shapiro-Wilk test.

TABLE 6  
NORMALITY TEST KOLMOGOROV-SMIRNOV AND SHAPIRO-WILK

Student Learning Outcomes	Class	Tests of Normality					
		Kolmogorov-Smirnov <sup>a</sup>			Shapiro-Wilk		
		Statistic	df	Sig.	Statistic	df	Sig.
	Pre-Test Experiment	.318	20	.000	.833	20	.003
	Post Test Experiment	.191	20	.053	.868	20	.011
	Pre-Test Control	.267	20	.001	.879	20	.017
	Post Test Control	.234	20	.006	.874	20	.014

a. Lilliefors Significance Correction

The normality test results show no normality in the data, so there is no need to do a homogeneity test or a comparison test to determine the difference between the experimental and control classes.

#### (d). Hypothesis Testing

Hypothesis testing was performed using the Mann-Whitney U formula. The Mann-Whitney U test is a non-parametric test that can be used instead of an unpaired t-test. It is used to test the null hypothesis of two samples that come from the same population (i.e., have the same median) or whether the observations in one sample are likely to be larger than the observations in another. Although this is a non-parametric test, it assumes that the two distributions are similar in size. Therefore, the sample data obtained is from a population that is not normally distributed. The hypothesis criteria are that if sig.  $< 5\%$  (0.05), then  $H_0$  is rejected, meaning that there is a significant difference in student learning motivation between experimental class students who use the TikTok application and control class students who do not use the TikTok application.

On the other hand, if sig.  $> 5\%$  (0.05), then  $H_1$  is accepted, meaning that there is no significant difference in student motivation between the experiment class students who use the TikTok application and students in the control class who do not use the TikTok application.

The explanation of the results of hypothesis testing will be explained as follows:

#### (e). Data Analysis

From the post-test data analysis, it is known that the data are not normally distributed. The results of the pre-test analysis using the Mann-Whitney U test obtained a sig. of 0.000. From the calculated results, if sig  $< 5\%$  ( $0.000 < 0.05$ ), then  $H_0$  is rejected, or there is a significant difference in student learning motivation between experimental class students taught using the TikTok application and control class students not taught using the TikTok application. The results of the Mann-Whitney U test can be seen in Table 7.

TABLE 7  
MANN-WHITNEY TEST

Test Statistics <sup>a</sup>	
	Student Learning Outcomes
Mann-Whitney U	27.000
Wilcoxon W	237.000
Z	-4.755
Asymp. Sig. (2-tailed)	.000
Exact Sig. [2*(1-tailed Sig.)]	.000 <sup>b</sup>
a. Grouping Variable: Class	
b. Not corrected for ties.	

The Mann-Whitney U test is a test to determine whether there is a significant difference between the means of the two populations whose distribution is the same through two independent samples taken from both populations. According to Kurniawan (2007), non-parametric statistics are distribution-free statistics (they do not require the size of the distribution of population parameters, whether normal or not). Non-parametric statistics are usually used to analyze nominal or ordinal data. Types of data, such as nominal and ordinal, do not spread normally.

### B. Discussion

#### (a). Results of the Pre-Test of the Experiment Class and the Control Class

Based on the results of the pre-test data calculation using Mann-Whitney U for the experimental class and the control class, the results showed that the learning motivation of both the experimental class and control class students was initially different by using a significance level of 5%. ( $\alpha = 0.05$ ).

Data analysis begins by calculating the central tendency of the pre-test data. From the calculation of the central tendency of the pre-test data, the mean value in the experimental class was 38.50, while the central tendency of the pre-test data obtained a mean value of 45.50 for the control class. The standard deviation of the experimental class is 87.51, while the standard deviation of the control class is 12.763.

After that, the researchers tested the hypothesis using the Mann-Whitney U test, sig.000 then sig. < 5% ( $0.000 < 0.05$ ). It showed that  $H_0$  is rejected, which means there is a significant difference in student learning motivation between the experimental class students who were taught using the TikTok application and the control class students who were not taught using the TikTok application. The researchers chose the AKL 3 class as the control class because, as seen in the results of previous observations, student motivation to learn English in the AKL 3 class was poor; in contrast, the experimental class, namely the AKL 2 class, needed encouragement to increase their motivation to learn English.

#### (b). Post Test Results of the Experiment Class and the Control Class

After conducting the pre-test in the experimental and control classes, the researchers treated the experimental class using the TikTok application as a medium for learning English. Meanwhile, in the control class, researchers did not use the TikTok application as a learning medium but used conventional teaching methods. After completing the treatment, the researchers gave a post-test to the experimental and control classes. Based on the results of post-test data calculations from the experimental class and control class, the researchers obtained the result that students' learning motivation in the experimental class increased by using the TikTok application compared to the control class, which did not use the TikTok application but used conventional teaching methods.

Post-test data analysis begins with calculating the central tendency. After calculating the central tendency from the post-test data, the mean value in the experimental class was 77.00. In contrast, the results from the calculation of the central tendency from the post-test data show that the mean value in the control class was 47.00. The standard deviation of the experimental class was 10.809, while the standard deviation of the control class was 16.575. After that, the researchers tested the hypothesis using the Mann-Whitney U test and obtained a sig. of 0.000. From the calculation results, sig. < 5% ( $0.000 < 0.05$ ), then  $H_0$  is rejected, which means there is a significant difference in student learning motivation between the experimental class students taught using the TikTok application and the control class students who were not taught using the TikTok application. Based on the results of hypothesis testing in the experimental and control classes, the results showed that using TikTok as a learning medium was more effective in increasing students' learning motivation in the experimental class than in the control class. Therefore, using TikTok as a learning medium can increase students' motivation to learn.

## V. CONCLUSION

The research was conducted at PGRI 11 Vocational School in Tangerang, Indonesia, from August 9, 2022, to August 31, 2022. Both the pre-test and post-test were validated first before they were given to students using measuring instruments or instruments of research. The study sample included 40 students in class XI AKL, 20 students in XI AKL 3 as an experimental class, and 20 students in XI AKL 2 as the control class. The sampling technique used by researchers in taking this sample is a purposive sampling technique.

Based on the analysis results using the SPSS 26 program data processing methods, the research showed that there were significant differences between the experimental class and the control class when it came to the students' motivation to learn English. The results also showed that there are differences in students' learning motivation when the TikTok application is used and when it is not. Students who used the TikTok app were more motivated to learn than students who did not use TikTok.

A significant effect was seen that was smaller than 0.05, which means that H<sub>0</sub> is rejected and H<sub>1</sub> is accepted. In other words, using the TikTok application is more effective in growing students' motivation to learn English at PGRI 11 Vocational School in Tangerang, Indonesia. The researchers showed that using the TikTok application as a learning medium was proven effective in increasing students' motivation to learn English. Moreover, the increase in learning motivation in the experimental class was much greater than in the control class. In the control class, there was an increase, but the results were still below the experimental class.

The TikTok application, which is quite easy to use, makes it easier for students and teachers to access it from anywhere and at any time. The material delivered through the TikTok application by the teacher attracts students and increases their learning motivation. Further, the material presented is easier to understand, and most importantly, the learning material provided by the teacher can be seen and listened to by students many times over.

The results can be seen in the test results of the instrument, which state that the TikTok application is effective in increasing students' learning motivation. The material is presented using conventional methods but also uses a social medium as a learning medium that can foster student motivation. Thus, even this research proves that students are more interested in new things, and just explaining the material with conventional methods is no longer as efficient as using social media as a learning medium that can foster student motivation.

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# The Impact of Machine Translation on the Development of Tourism Translation From the Perspectives of Translators and Experts in Saudi Arabia

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**Abstract**—Regardless of its distinction for touring and tourism communication, the subject of machine translation has not been dealt with regarding tourism investigation. This study aims to bridge this gap in knowledge by exploring machine translation (MT) technology in the development of tourism translation from the perspectives of translators and translation experts in Saudi Arabia. To attain the three objectives of the study, the researcher applied the quantitative approach. For data gathering, a 12-item opinion poll was disseminated among a random sample group that consisted of 80 translators and translation experts who were selected at random from several Saudi universities, top translation services companies, and tourism organizations during the current academic year 1445/AH/2024 CE. The findings of this study discovered that many translators and translation experts had positive perspectives on utilizing machine translation (MT) technology in the development of tourism translation around the world today in general and Saudi Arabia in particular. Moreover, the perspectives of these translators and translation experts on the difficulties and intricacy confronted in applying machine translation (MT) technology in the tourism translation industry were highly positive. Over half of the participants (51.42%) perceived that machine translation (MT) can help overcome obstacles encountered by translators in the field of tourism. The findings revealed that translators and translation experts in the realm of the tourism industry have a promising future thanks to the relationship between machine translation (MT) and tourism translation.

**Index Terms**—machine translation, tourism, perspectives, development, impact

## I. INTRODUCTION

During the latter half century, tourism has grown into one of the globe's most efficacious, economic, and social forces. A greater number of people have gained methods, means, and resources, indeed, the right to take a trip. Moreover, not merely has tourism become more and more commonplace, but it has also inevitably grown both in extent and impact (Hall, 2005; Sheller & Urry, 2004). Moreover, the tourism industry has become one of the biggest and fastest-growing international industries and an influential contributor to both the national and regional economies around the globe (WTO, 1997). Tourism is described by the World Trade Organization (1997) as the events of people visiting and being in locations outside their familiar environment for no more than one successive year for entertainment, trade, and other different reasons. The term "tourism" also describes managing visitors through travel agencies and providing passenger transportation, vehicle rental, lodging, food and beverage, entertainment, and conference services (Woodward-Smith, 2019).

The tourism industry has a great capacity for enhancement to help promote chances for economic growth in local communities (Moscardo, 2008; Briedenhann & Wickens, 2004). Moreover, it's possible for tourism companies today to move from conventional and beneficial programs and incorporate their business into effective tourism business models (Simpson, 2008; Stoddard et al., 2012). This can lessen risk, boost their relationships with shareholders, and in many cases allow for the development of new products and commercial opportunities. However, it cannot be supposed that the same amalgam of methods will operate throughout the tourism industry (Doz & Hamel, 1998; Buhalis, 1998). Companies must consider the preferences of tourists and the customs of local communities along with a good framework for governance that will aid them in evolving into successful business models.

Tourism translation is a growth industry and a promising sector within the field of language services concentrating on the rendering of several types of texts regarding the tourism industry, travel industry, and tourism businesses. This comprises booklets, flyers, postcards, manuals, webpages, tourist guides, announcements, records, and other relevant documentation (Galán-Mañas & Hurtado Albir, 2015; Južnič, 2013). Integration of translation technology in the translation industry in general and in the tourism translation industry, in particular, facilitated the tasks of translators, interpreters, and other translation professionals and highlighted a solution for the complex relationship between

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technology and those who were looking for a career in the tourism translation industry (Cronin, 2012; Qassem & Sahari, 2023). Moreover, these translation professionals must rely on several parameters involving the type of renderings required and the required level of quality (Drugan, 2013; Lauscher, 2014). As a result, the tourism translator sector should be competent and trained to tender higher quality translations of the target language (TL) receptors' expectations and culture to pave the way for the mapping of possible best practices. In line with the booming development of industrial tourism around the world, translation technology has become one of the most practical and useful tools for multicultural tourism promotion. Beyond question, the rendering of promotional tourist materials (PTMs) is regarded as one of the most rendered forms of text in the modern world. Nevertheless, these types of rendered materials are often criticized for their low standard of quality translations.

Technology has greatly influenced the tourism translation industry. Computer-aided translation (CAT) tools can decrease the cost of tourism translation, save time, develop quality renditions, and enhance fidelity. Moreover, the inclusion of these technologies in the tourism translation industry has plenty of benefits such as improved translation quality, consistency, and accuracy in the translation of tourism promotional materials (TPMs) along with being able to translate faster and more proficiently, thus making the costs of translation more affordable for clients.

Indeed, the impact of utilizing technology on the tourism translation industry has many opportunities and obstacles, and while there is a myriad of benefits, there are also many challenges for translators and the translation industry in the fields of tourism and hospitality.

In today's world, the tourism industry needs to acclimate quickly to ever-changing industry conditions and powerful competition. The integration of translation technology such as machine translation (MT) in the translation industry describes the present situation of tourism promotion being impacted by the advancement of technology. The major objective of this study is to investigate the perspectives of translators and translation experts in Saudi Arabia on the impact of technology in the development of tourism translation and the difficulties encountered in utilizing technological tools in the tourism translation industry. Thus, the purpose of this research is threefold: 1.) to examine the perspectives of translators and translation experts in Saudi Arabia on the impact of MT technology in the development of tourism translation; 2.) to identify the challenges and obstacles encountered in utilizing MT technology in the tourism translation industry; and finally, 3.) to determine these challenges and obstacles can be overcome from a divergent theoretical and practical perspective concerning the technological tools concerning MT technology.

## II. LITERATURE REVIEW

This section of the study is devoted to the theoretical and practical literature on the topic of the study, including machine translation (MT), tourism translation, and previous relevant studies that provide researchers and readers with a great deal of information on the subject matter of the study that helps them completely understand the issue of the study.

### A. Machine Translation Technology (MT)

The most well-known translational technology currently being utilized is machine translation technology (MT) (Way, 2018; Dew et al., 2018). Using software or algorithms, MT renders text from one language to another. The main advantages of MT are its effectiveness, efficiency, and speed which make it an impeccable choice for manipulating tremendous amounts of text (White, 2003; Rivera-Trigueros, 2022).

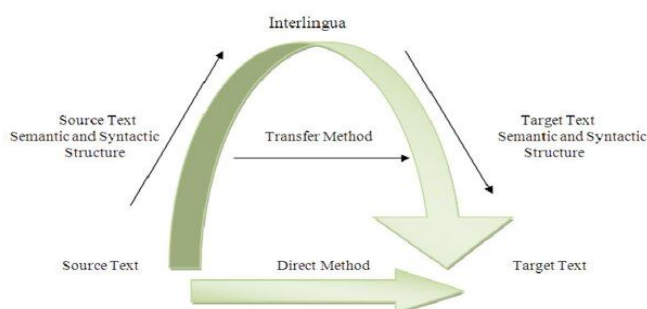


Figure 1. Different Methods of Rule-Based Machine Translation  
(Source: Madankar et al., 2016, p. 848)

These statistical MT approaches apply intricate statistical algorithms that analyze huge amounts of information and produce a monoglot language paradigm for each of the two specific languages (Deumert, 2014; Solorzano, 2009) and a translation paradigm for the translation of words and expressions from one language into another (Fernandes, 2010; Khatib & Ziafar, 2012). A decoder then utilizes these paradigms to interpolate the possibility of the said phrase or the specified expression being rendered from Arabic into English and vice versa, (Koehn, 2009; Hassan, 2009). Moreover, these paradigms take into consideration that new languages are included without the requirement for grammatical rules once synchronous data for the languages are obtainable and at hand (Koehn, 2009; Goutte, 2009). Nevertheless, there are drawbacks and difficulties to using MT such as the systems being constructed by their connected incompetence of

linguistic knowledge and their reliance on their data. Accordingly, any modern terms and formulas will be arduous to render accurately if they are not even close to the data paradigm.

MT is a type of language technology in the area of application computing that contends with the handling of mortal languages for numerous purposes (Kenny & Doherty, 2014; Strzalkowski, 1999). Little research has been carried out on the influence of language technology on tourism translation. However, the current prevalent development in large language paradigms such as ChatGPT has placed language technology as a key issue of the tourism research lineup (Garcia & Pena, 2011; Ducar & Schocket, 2018). Such large language paradigms are predisposed to convert tourism business, paradigms, occupations, businesses, and tourists' decision-making (Carvalho & Ivanov, 2023; Garcia Pena, 2011). As language technology is becoming progressively widespread, MT merits particular focus in the tourism industry.

MT characterizes computer-based proceedings regarding translation. More particularly, computer-aided translation may comprise both hybrid machine translation and technology-enhanced human translation (Tekwa, 2024; Hutchins, 1995; Slocum, 1985). Nevertheless, MT centers on digitizing all language conversion methods and is akin to data processing machines that make translations (Trujillo, 1999; Folaron, 2019). Moreover, Neural MT has become a common method built on artificial neural networks and a large neural computer with an adeptness for effective algorithms (Evans & Aceves, 2016; Reber, 2019).

Translating many text types into the various languages of the tourism industry in general and English language in particular is possible nowadays because of analog-digital conversion and worldwide technological development, associated with innovations in statistical machine translation and the attainability of MT tools like Google Translate, DeepL, Systran, Babylon, Microsoft Translator, Yandex Translate, and Bing among others (Fuentes-Luque & Urbieta, 2020; Neugebauer, 2019; Somers, 2011).

MT is prevalent in business, commercialism, tourism, and education as well as in the learning and teaching of English as a Foreign Language. Moreover, in tourism courses, automatic machine translation can be a beneficial source for students to review their output (Lee, 2020; Niño, 2008). Within the context of tourism, MT facilitates access to advertising communication, promotional tourist materials (PTMs) on webpages, and booklets and bulletins in various languages.

Media platforms, e-tourism, and travel-related platforms have integrated MT, aspiring to improve effectiveness, cross-cultural communication, and intercultural understanding (Lee, 2016; Cenni, 2019). MT is generally employed in translating tour guide material, menus, and tourist guidebooks into English and the like (Míšenský, 2008; Poncini, 2002) in addition to automated question-answering (QA) models for wayfarers, tourists, and travelers to serve specialists, experts, professional staff, and travel guides when dealing with tourists during day-to-day activities (Moubtahij, 2023). In association with other analytical instruments, MT can be extremely valuable for the industrial tourism and hospitality industries when considering business reviews and investor behavior (Levy et al., 2013; Tsiotsou & Ratten, 2010; Chang & Katrichis, 2016). To conclude, MT is not only beneficial for tourist attractions, tourist resorts, and agencies but also for tourists, passengers, and voyagers who can make use of machine-generated translation to translate messages into their native languages.

### *B. Tourism Translation and Machine Translation*

Whether it is discussing traveling from one country to another or simply rendering a restaurant menu, tourism translation is commonly employed throughout the tourism and hospitality industries. What is more, it enhances a whole international community because language can positively influence a tourist's itinerary and travel arrangements if they do not particularly speak the language of the country they are visiting.

Moreover, machine translation technology (MT) has had a considerable influence on the tourism translation industry. In today's world, getaways have become more effective as tourists hold a certain feeling of power over their expertise (Clifford, 1997; Robinson, 2019; Holloway & Humphreys, 2022) that is the byproduct of technological applications found in their smartphones, laptops, and tablets. The apps and devices have become like travel companions for tourists, scheduling full tours and allowing for an easier, more enjoyable, and more flexible time visiting tourist attractions. Furthermore, tourists can now even change their whole experience through a geographic positioning system (GPS) technology which also ensures that they will never go missing (Steckman et al., 2017; Zoetewey, 2005). Machine translation technology (MT) apps have also substantially decreased causes of miscommunication, particularly in short-trade and investment-related communication. However, the use of smart devices may also lead to a decrease in the demand for communicating with the natives and make it extremely easy for tourists to become detached from the native surroundings (Stewart, 2019; Ennis & Petrie, 2019; Cravotta, 1990). Nevertheless, for now, social connections remain a significant aspect of tourist excursions and guided tours.

Conversely, machine translation technology (MT) may ease and promote contact with residents by removing the need for travel guides. Furthermore, it may also allow for discussions about ideas for activities and opinions that may be difficult to clarify solely through pantomime and nonverbal communication (Quah, 2006; O'Hagan, 2016; Morrissey, 2008). Moreover, electronic image processing found in applications like Google Lens also enables tourists to scrutinize the surroundings and the lingua scape (Pencarelli, 2020; Gajdošík, 2018; Peceny et al., 2019).

To conclude, machine translation technology (MT) may ease and promote smarter tourism. The latest technological developments in cloud-based computing, geographic positioning systems GPS apps, virtual and artificial reality, and the

comprehensive implementation of social networking websites and smartphone technology have pushed intelligent and innovative technology into tourism translation.

### C. *Previous Studies*

There is a gap in research regarding the impact of machine translation technology in the development of tourism translation around the world. Moreover, the perspectives of translators and translation experts on the impact of MT and its role in the development of translation in the tourism industry in Saudi Arabia have not been explored either. It is especially relevant to recognize how these translators and translation experts perceive MT, as this will crystallize and shed light on the role of MT in creating tourist excursions and tourist attractions. However, up until now, no particular investigation has been carried out to study the perspectives of translators and translation experts on the impact of MT and its role in the development of tourism translation in Saudi Arabia. For that reason, it is very significant to conduct probes that address these perspectives. In addition, the author believes that this study can help pave the way for machine translation (MT) to play more fundamental roles in developing the tourism translation industry in Saudi Arabia in light of Saudi Vision 2030.

Once again, it is especially useful to illustrate that a multitude of researchers have investigated the impact of technology on translation and perceptions toward quality machine translation, machine translation in tourism translation, the translation of tourism-related webpages as well as the local challenges and modern perspectives on the incorporation of machine translation technology into tourism translation.

For example, in their study, Carvalho et al. (2023) found that the respondents who have a more positive perspective on MT are apt to be more inexperienced and less knowledgeable, and have limited language proficiency. The respondents who gauge MT as of little import are more than likely to have officially mastered language skills, more than likely to have taken part in cultural programs, and more than likely to have close communication with natives in their language during their trips. Recognizing the role played by MT during their journey is neither connected with a more adverse outlook towards the role played by language in the tourist industry nor with the perceived reduced trip effects.

Fuentes-Luque and Urbieto (2020) stated that MT mechanisms would need to be customized so that they can detect expressions and recognize subtle variations, tropes, and everyday expressions which are generally found in promotional tourism materials in the languages of the tourists.

Hazbavi (2015) found that participants had extremely low levels of acceptance and a very keen interest in learning about Machine translation (MT) in addition to the positive attitudes shown by translators and translation experts toward machine translation.

Pencarelli (2020) stated that tourism 4.0 technologies must be oriented toward the enhancement of the quality of the tourism industry, presuming intelligence and practicability as the right model for enhancing the standards of living and the cultural values and core beliefs of both travelers and native residents.

Hamood and Tuma (2023) found that people in the domain of translation incongruously consider the prevailing situation and contrastingly think about the future of the relationship between translation and technology. Additionally, they also found that the precision of machine translation, the demand for continuing learning and practicing, and the ethical concerns with the utilization of translation technologies are significant concerns among mundane translators and interpretation professionals.

Giampieri and Harper (2022) found that machine translation does well with communicative and expository tourism texts where phrases and clauses are plainer and inarticulate with no colorful language included or required. Nevertheless, it would be unlikely that these would be regarded as indicative or reflective of tourism texts as an integral whole. The paper advocates for developments in MT algorithms to tackle particular lexicological and lexical relation difficulties. Additionally, it is the view of the researchers that MT in the tourism sphere should best be left to translators who are more knowledgeable about how to appropriate word utilization based on the context.

Liu (2022) introduced the features of technology-enhanced instruction and examined the application of computer technology in teaching tourism English from two facets: instituting the computer index system of job training methods for tourism English and rationally employing computer translation software, aspiring to afford an analogous reference for teaching tourism English in academic circles.

Finally, Çolak (2023) found that utilizing GPT technology in the tourism industry can tender better tourist communication, better decision-making, and better customized guided tours. ChatGPT highlights innovative technologies such as machine translation. Moreover, GPT and MT have the potential to mold and enhance the overall travel knowledge of tourists from the earliest stages of planning to the true trip itself.

## III. METHODOLOGY

### A. *Questions of the Study*

To reach the three main objectives of the study previously mentioned in the introduction, the following questions must be answered:

- 1) What are the perspectives of translators and translation experts on the impact of machine translation (MT) technology on the development of tourism translation in Saudi Arabia?

- 2) What are the challenges and obstacles encountered when utilizing Machine translation (MT) technology in the tourism translation industry?
- 3) How can these challenges and obstacles be tackled from a divergent theoretical and practical perspective concerning machine translation technology (MT)?

### B. Experimental Subjects

The purposive sample of the present study consisted of 80 translators and translation experts in Saudi Arabia who were selected at random from selected Saudi Universities and top translation services companies and tourism organizations in Saudi Arabia,

TABLE 1  
DISTRIBUTION OF STUDY SAMPLE ACCORDING TO UNIVERSITY, COMPANIES AND ORGANIZATIONS

Universities / Companies/ Organizations	Frequency	Percentage
Saudi Universities	40	40.0
Top Translation Services Companies	20	20.0
Tourism Organizations	20	20.0
Total	80	80.0

### C. Instruments

Considering the three objectives of the present study and its three questions, a quantitative study approach was deemed the most suitable for investigating the perspectives of translators and translation experts on the impact of utilizing machine translation technology in the development of tourism translation. The quantitative study method assists in analyzing, comparing, and assessing large quantities of data, thus it is appropriate for this study. Using this approach, data used in this investigation were gathered employing an online questionnaire or “e-questionnaire” that focuses on a deep understanding of a problem sought. Notably, one of the key characteristics of this paradigm is that the results can be reported in quantitative terms (Creswell, 2011; Bayley, 2013). This is the reason why a qualitative analysis method would not be the correct approach for this study as it does not correspond with the examination of the issues.

The questionnaire was employed by the author in this study and predicated on a 5-point Likert Scale. The Likert scale is an extensively employed procedure for assessing the varying degree of acceptance of the statements given among questionnaire respondents.

### D. Collection of Data Techniques

The appropriate data was compiled by a 12-item opinion poll that allied with the three targets of the current study. The initial draft of the opinion poll was circulated to five professional interpreters and translators to verify the applicability of the survey items and the dimension to which they were consistent with the respondents. The final draft of the survey was enhanced after remarks, observations, and assessments were given to five professional interpreters and translators. Moreover, the questionnaire was trialed by a category of 20 translators and translation experts selected at random from some Saudi universities, top translation services companies, and some tourism organizations in Saudi Arabia. The author carried out a pilot study before handing out the questionnaire to all the experiment subjects of the study and submitted the questionnaire at random to a purposive sample of 80 respondents who reported that the items were palpable and easily understood. Additionally, the pilot research permitted the researcher to estimate the time gap between when the first responder completed the survey and when the last responder finished his/hers which was 13 minutes. The coefficient alpha reliability hits 0.88 which displayed a proper reliability level.

TABLE 2  
THE COEFFICIENT ALPHA RELIABILITY OF THE QUESTIONNAIRE (ALL SAMPLES: N=100)

The items of the survey	Numbers of items	Coefficient alpha reliability
The total reliability of the survey	12	0.88

## IV. RESULTS AND DISCUSSION

The analysis of the research data allowed the author to conclude the perspectives of translators and translation experts on the impact of machine translation (MT) technology on the development of tourism translation in some Saudi Universities, top translation services companies, and tourism organizations. Statistical quantitative data analysis was employed using IBM SPSS Statistics version 28 and was comprised of data analytics to compute the percent of each element.

TABLE 3  
 VIEWS OF TRANSLATORS AND TRANSLATION EXPERTS ON THE IMPACT OF MACHINE TRANSLATION (MT)  
 TECHNOLOGY ON THE DEVELOPMENT OF TOURISM TRANSLATION IN SAUDI ARABIA

Survey item	SA 5	A 4	N 3	SD 2	D 1	Mean	St.d.
1.I view that machine translation (MT) tools make it easier for the tourist to tour any destination, even if he/she cannot speak the language.	32.16%	30.80%	14.70%	11.65%	10.69%	3.03	1.10
2.I view that machine translation (MT) allows for the optimization of tourism around the world in general and in Saudi Arabia in particular.	37.42%	35.51%	10.80%	6.70%	10.20%	3.01	1.07
3.I perceive machine translation (MT) tools as significant in the travel context.	29.85%	23.80%	18.90%	8.95%	18.50%	3.10	1.09
4.Mobile phone apps are an excellent aid when tourists cannot speak English.	27.30%	28.40%	15.30%	16.70%	12.30%	3.2	1.15
5.I believe that machine translation (MT) has played a crucial role in the most important language tours for tourists.	30.50%	30.40%	10.20%	14.30%	14.60%	3.04	1.23
6.I view that tourism translation can utilize machine translation (MT) to provide bilingual and plurilingual data and facilities to tourists such as reservations, travel, and tour guidance.	33.38%	32.60%	11.38%	10.24%	12.40%	3.04	1.20
7.I view machine translation (MT) as a paradigm of language technology which is a domain of computing that manipulates human languages for the many different objectives of tourism.	25.40%	25.10%	16.10%	17.08%	16.32%	3.01	1.10
8.I believe that language technology is becoming progressively widespread, and machine translation (MT) merits particular focus from the tourism industry.	28.01%	26.90%	16.70%	15.69%	12.70%	3.01	1.25
9.I believe that machine translation (MT) can dispose of the limitations of translators of tourism translation.	25.60%	25.82%	16.25%	15.23%	17.10%	3.03	1.12
10.I view that because of the widespread availability of artificial intelligence machine translation, challenges and impediments of machine translation accuracy for tourism translation are successfully addressed.	25.07%	25.80%	20.70%	14.69%	13.74%	3.06	1.30
11.I view that tourism translators must tender meaning in various languages to reach global tourists and travelers.	25.46%	26.05%	17.09%	16.12%	15.28%	3.07	1.20
12.I believe that machine translation (MT) is easily operated in tourism translation.	30.44%	30.21%	12.25%	13.30%	13.80%	3.08	1.30

In reply to survey Item 1, “I consider that machine translation (MT) tools make it easier for the tourist to tour any destination, even if he/she cannot speak the language”, 30.80 % of the respondents agreed, and 32.16% strongly agreed. This finding indicated that most participants viewed that machine translation (MT) tools make it easier for tourists to tour any destination, even if he/she cannot speak the language. This is clear in the average score of 3.03 which indicates that it surpasses the objective value of 3.00 on the 5-point Likert scale.

In reply to survey item 2 “I view that machine translation (MT) allows for the optimization of tourism around the world in general and in Saudi Arabia in particular”, 23.80% of respondents agreed, and 37.42% strongly agreed. This finding demonstrated that machine translation (MT) allows for the optimization of tourism around the world in general

and in Saudi Arabia in particular. This is manifested in the average score of 3.01 which displays that it surpasses the objective value of 3.0 in a similar vein as the earlier item on the 5-point Likert scale.

In reply to survey item 3 “I perceive machine translation (MT) tools as significant in the travel context”, 23.80 % of respondents agreed, and 29.85% strongly agreed. This finding indicated that machine translation (MT) tools are important in the travel context. The average score of this item is a little bit bigger than the other points in the table above (Table 3); however, this implies that a significant proportion of respondents are completely convinced that Machine translation (MT) utensils are important in the travel context.

In reply to survey item 4, “Mobile phone apps are an excellent aid when tourists cannot speak English”, 28.40% of respondents agreed, and 27.30% strongly agreed. This finding revealed that many of the participants believe that mobile phone apps are an excellent aid when tourists cannot speak English. This is obvious in the average score of 3.02 which shows that it surpasses the objective value of 3.00 similar to the earlier item on the 5-point Likert scale.

In reply to survey item 5, “I believe that machine translation (MT) has played a crucial role in the most important language tours for tourists”, 30.40% of respondents agreed, and 30.50% strongly agreed. This finding proved that machine translation (MT) has played a crucial role in the most important language tours for tourists. This is apparent in the average score of 3.04 which asserts that it transcends the objective value of 3.0 in the same way as the earlier item on the 5-point Likert scale.

In reply to survey item 6, “I have the opinion that tourism translation can utilize machine translation (MT) to provide bilingual and plurilingual data and facilities to tourists such as reservations, travel, and tour guidance”, 32.60% of respondents agreed, and 33.38% strongly agreed. This finding proved that most respondents view that tourism translation can utilize machine translation (MT) to provide bilingual and plurilingual data and facilities to tourists such as reservations, travel, and tour guidance. This is evidenced by an average score of 3.04 which verifies that it surpasses the actual value of 3.00 in a similar way as other points on the 5-point Likert scale.

In reply to survey item 7, “I view machine translation (MT) as a paradigm of language technology which is a domain of computing that manipulates human languages for the many different objectives of tourism”, 25.10% of respondents agreed, and 25.40% strongly agreed. This finding proved that most respondents view machine translation (MT) as a paradigm of language technology which is a domain of computing that manipulates human languages for the many different objectives of tourism. This is quite clear in the average score of 3.01 which proves that it surpasses the actual value of 3.00 in a similar way as other points on the 5-point Likert scale.

In reply to survey item 8, “I assume that language technology is becoming progressively widespread, and machine translation (MT) merits particular focus from the tourism industry”, 26.90% of respondents agreed, and 28.01% strongly agreed. This finding demonstrated that most respondents believe that language technology is becoming progressively widespread, and machine translation (MT) merits particular focus from the tourism industry. This is evident in the average score of 3.01 which attests that it oversteps the middling value of 3.00 similar to other points on the 5-point Likert scale.

In reply to survey item 9, “I think that machine translation (MT) can dispose of the limitations of translators of tourism translation”, 25.82% of respondents agreed, and 25.60% strongly agreed. This finding revealed that most respondents believe that machine translation (MT) can dispose of the limitations of translators of tourism rendition. This is manifest in the average score of 3.03 which proves that it passes the objective value of 3.00 similar to some other elements on the 5-point Likert scale.

In reply to survey item 10, “I do consider that because of the widespread availability of artificial intelligence machine translation, challenges and impediments of machine translation accuracy for tourism translation are successfully addressed”, 25.80% of respondents agreed, and 25.07% strongly agreed. This finding showed that because of the widespread availability of artificial intelligence machine translation, most respondents view the challenges and impediments of machine translation accuracy for tourism translation as successfully addressed. This is reflected in the average score of 3.06 which verifies that it passes the neutral value of 3.00 similar to some other points on the 5-point Likert scale.

In reply to survey item 11, “I view that tourism translators must tender meaning in various languages to reach global tourists and travelers”, 26.05% of respondents agreed, and 25.46% strongly agreed. This finding was evidence that most respondents had the view that tourism translators must tender meaning in various languages to reach global tourists and travelers. This is clear when noting the average score of 3.07 which proves that it surpasses the objective value of 3.00 analogous to some other items on the 5-point Likert scale.

In reply to survey item 12, “I think that machine translation (MT) is easily operated in tourism translation”, 30.21% of respondents agreed, and 30.44% strongly agreed. This finding indicated that most respondents believe machine translation (MT) is easily operated in tourism translation. This is evident in the average score of 3.08 which verifies that it transcends the objective value of 3.00 in the same way as some other items on the 5-point Likert scale.

To answer the first research question, “What are the perspectives of translators and translation experts on the impact of machine translation (MT) technology on the development of tourism translation in Saudi Arabia?” the quantitative data indicated that many translators and translation experts had positive perspectives on the impact of machine translation (MT) technology on the development of tourism translation. The results showed that many of the respondents (63.65%) agreed with the significance of MT tools in the travel context. Moreover, respondents scored

highest (72.93 %) on average for seeing that machine translation (MT) allows for the optimization of tourism around the world generally and Saudi Arabia particularly. The findings of this question confirmed the results of previous reviews that studied the impact of machine translation technology on tourism translation (Carvalho et al., 2023; Giampieri & Harper, 2022; Liu, 2022; Hazbavi, 2015).

To answer the second research question, “What are the challenges and obstacles encountered in utilizing machine translation (MT) technology in the tourism translation industry?” the perspectives of translators and translation experts on the challenges and impediments faced in utilizing machine translation (MT) technology in the tourism translation industry were notably positive. The majority of respondents (51.42%) perceived that machine translation (MT) can dispose of the limitation of translators of tourism translation.

To answer the third and final question of the study, “How can these difficulties and impediments be tackled from divergent conceptual perspectives and factual perspectives concerning machine translation (MT)?” the results suggested that many translators and translation experts (50.78%) had positive viewpoints and tended to have strong perspectives that, because of the widespread availability of artificial intelligence machine translation, challenges and impediments of machine translation accuracy for tourism translation are successfully addressed.

## V. CONCLUSION

### A. Study Findings

The findings of this study indicated that many translators and translation experts had positive perspectives on the impact of machine translation (MT) technology on the development of tourism translation. The results also revealed that many of the respondents (63.65%) agreed with the significance of MT tools in travel settings. Moreover, respondents scored highest (72.93 %) on average for seeing that machine translation (MT) can enhance tourism generally around the globe and particularly in Saudi Arabia. The findings also showed that the perspectives of translators and translation experts on the challenges and obstacles met in utilizing machine translation (MT) technology in the tourism translation industry were significantly positive. Many respondents (51.42%) viewed that machine translation (MT) can get rid of the constraints and restrictions for translators of tourism translation. Finally, the results also showed that many translators and translation experts (50.78%) had positive perspectives and strong attitudes toward the overall availability of artificial intelligence machine translation and that challenges and impediments of machine translation accurateness for tourism translation are efficiently handled.

### B. Study Implications

This study helps to fill in the gaps in the literature on the impact of machine translation technology on the development of tourism translation. In line with other authors' asserting the potential impact of machine translation (MT) utilization in changing traveling conceptions and guides, the researchers have highlighted the unique impact of MT on tourism texts, quality enhancement of the tourism industry, as well as providing bilingual and plurilingual data and facilities to tourists such as reservations, travel, and tour guidance.

### C. Recommendations for Future Studies

One recommendation that is the result of the findings was that Saudi educational institutions, Saudi universities, top translation service companies, and tourism organizations should offer future professional training on how to utilize machine translation (MT) in the tourism translation industry and raise awareness of the issue of the merits and demerits utilizing machine translation (MT) on tourism the sector.

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# African American Literature and the Critical Medical Humanities: Literary Precedence and Theoretical Lag as Exemplified in Toni Morrison's *Home*

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**Abstract**—This article aims to contribute to opening up a dialogue between African American literature and the field of the critical medical humanities. By so doing, the article highlights the value of African American literature as a contributor to the emergence of the critical medical humanities and an indispensable partner in the theorization about the racialization of medicine. We contend that African American literature's interest in the intersection between medicine and race anticipates one of the most important tenets of the critical medical humanities. That anticipation is evident in such novels as Toni Morrison's *Home*, in which Cee is exposed to the brutality of eugenic sterilization. We thus explore the way the novel—among other African American literary works—paves the way for engaging racialized medicine and unwittingly contributes to the rise of the critical medical humanities.

**Index Terms**—African American literature, critical medical humanities, healing strategies, medical abuse, Morrison's *Home*

## I. INTRODUCTION

Since its inception, African American literature showcases an interest in illness, healing, and medical injustices. Indeed, the amalgamation of illness and race does not only represent a thematic concern that reflects a collective predicament but also an early attempt at theorization about race-based medicine. Despite the critical medical humanities' recognition of race as one of its most important principles, few studies in the field touch upon the issue of race/racism. This article accordingly attempts to fill in this gap in the scholarship done on both African American literature as well as the field of the critical medical humanities by revealing that African American literature not only foregrounds the injustices in the healthcare system in the U.S. but also offers effective strategies in response to white dominant narratives in the field of medicine.

For this reason, we argue that African American literature anticipates the theoretical shift from the medical humanities to the critical medical humanities that took place in the 21<sup>st</sup> century. Drawing on and exemplifying the link between African American literature and the critical medical humanities that we delineate below, we examine the eugenic sterilization of Cee in Toni Morrison's *Home* (2012). In line with other African American literature which deals with illness and healing, *Home* exposes medical abuses and defies Western medical discourses of healing. Thus, *Home* constitutes a case in point in the process of anticipation that we suggest exists in African American literature. In other words, we contend that authors of African American literature were forerunners in introducing the doctrines of the critical medical humanities in literature, as those doctrines serve those writers' contexts and purposes.

## II. THE SHIFT FROM THE MEDICAL HUMANITIES TO THE CRITICAL MEDICAL HUMANITIES

Since understanding the medical humanities is a prequel to understanding the critical medical humanities, we herein outline the principles of each theory to show how the turn to the latter was necessary to fill in the gaps in the former. The "Medical humanities" has always been a contested term, as there have been several attempts at defining the field. In "Medical Humanities'—What's in a Name?" Evans and Greaves (2002) differentiate between the "additive conception" and the "integrated conception" of the field; that is, whereas the former conception is characterized by a "narrow or reductionist focus," the latter highlights the "interdisciplinary and interprofessional" nature of the field (p. 1). In other words, the medical humanities does not simply refer to the passive joining between the humanities and medicine but to

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the many ways in which these two fields are “integrated.” Another attempt at defining the field is Brody’s “Defining the Medical Humanities: Three Conceptions and Three Narratives” (2011). Brody lists a number of efforts to define the field which he offers as “sufficient evidence for definitional ambiguity, [so as] to justify further attempts at clarification” (p. 2). He thus proposes three interrelated conceptions of the field: “as a list of disciplines, as a program of moral development, and as a supportive friend” (p. 2). Brody links each of these conceptions to a separate narrative to clarify it, highlighting the significant role of the humanities in education in general and in medicine in particular.

Some other critics stress the importance of literature and arts in the medical humanities. For instance, in “The Medical Humanities: Literature and Medicine,” Oyeboode (2010) sheds light on the role of literature in enriching the field of the medical humanities and expanding what it means, as “literature, in the form of autobiographical accounts, can contribute to medicine” (p. 242). However, he asserts that his contribution lies in showing that rather than only “training doctors,” “the role of literature [lies] in illuminating the lives of sick people” (p. 242). Likewise, “Exploring Medical Humanities through Theatre of the Oppressed” (Singh et al., 2012) shows that in addition to educating doctors and “re-humaniz[ing]” them (p. 297), arts can help patients “in deconstructing toxic exposures, risk factors, and cumulative stressors impacting the well-being of communities” (Singh et al., 2012, p. 296). What the aforementioned articles testify to is the medical humanities’ focus on the doctor-patient binary. In contrast, African American literature takes into account both patients’ and caregivers’ perspectives on illness and addresses medical and non-medical readers, thus going hand in hand with the principles of the critical medical humanities (which we will expand on below).

Since the medical humanities started to fall short of engaging all the elements of a medical situation from a cultural and literary point of view (elements of which African American literature is acutely aware, as we have just stated), there was a pressing need to supplement it with the critical medical humanities. Scholars started to see the limitations of the field and the need to expand it.<sup>1</sup> In this regard, in “Exploring Medical Humanities,” Syed (2021) starts off by differentiating between the medical humanities and the critical medical humanities. He explains that whereas the medical humanities is interdisciplinary because of its engagement with other disciplines “in pursuit of medical educational goals” (p. 1), the critical medical humanities’ main contribution is going beyond the educational purposes of the humanities. By so doing, the critical medical humanities gives more value to the role literature can play in the medical field.

In a similar vein, “Critical Medical Humanities: Embracing Entanglement, Taking Risks” by Viney et al. (2015) makes clear that although the field of the medical humanities used to be commended for its “diversity” or “plurality,” the critical medical humanities broadens the field even more in,

an invitation to keep the field of medical humanities open to new voices, challenges, events, and disciplinary (and anti- or post-disciplinary) articulations of the realities of medicine and health; to be adventurous in its intellectual pursuits, practical activities, and articulation with the domain of the political. (p. 2)

Most importantly, the article lists the characteristics of the critical medical humanities as follows:

(i) [A] widening of the sites and scales of ‘the medical’ beyond the primal scene of the clinical encounter; (ii) greater attention not simply to the context and experience of health and illness, but to their constitution at multiple levels; (iii) closer engagement with critical theory, queer and disability studies, activist politics and other allied fields; (iv) recognition that the arts, humanities and social sciences are best viewed not as in service or in opposition to the clinical and life sciences, but as productively entangled with a ‘biomedical culture’; and, following on from this, (v) robust commitment to new forms of interdisciplinary and cross-sector collaboration. (p. 2)

Those characteristics entail that the critical medical humanities primarily concerns itself with contextualizing and thus politicizing the field of the medical humanities and disalienating it from other intellectual endeavors.

The word “critical” is, then, justified. Just like other fields, as Viney et al. (2015) elucidate, the field of the medical humanities must undergo a “critical turn” which expands the field through the inclusion of “‘race’ and ethnicity, sexuality and gender, disability (and madness), technology and media, economics, and social and environmental inequalities [which] are central to the production of medical knowledge and to the experience of health and illness” (p. 3). Hence, the addition of the word “critical” does not entail criticizing the medical humanities, pinpointing its pitfalls, or deconstructing it altogether but is rather intended to make the latter less restrictive and foreground the former’s engagement with other disciplines, most importantly race (p. 3).

More pertinently, one of the main contributions of this article is that it shows how African American literature fills in a gap in the field of the medical humanities in general and the critical medical humanities in particular by establishing the link between race and medicine early on. In “Structural Racism and Practices of Reading in the Medical Humanities,” Banner (2016) argues that the field of the medical humanities barely explores the issue of race. Banner provides statistics on how the field of the medical humanities ignores the issue of race, especially in well-acknowledged journals. She writes:

<sup>1</sup> An early attempt at theorizing about the critical medical humanities is Alan Bleakley’s “Towards a ‘Critical Medical Humanities’” in *Medicine, Health and the Arts: Approaches to the Medical Humanities* (2014), which traces back the development of the medical humanities in the 20<sup>th</sup> century in North America and the United Kingdom, where this field originated and flourished, and foresees the field’s turn to the critical in the 21<sup>st</sup> century. In fact, Bleakley’s article might represent the seed which initiated Anne Whitehead’s interest in the field. In a chapter titled “The Medical Humanities: A Literary Perspective” in the same book, Whitehead ponders upon what the turn to the critical might entail.

[John] Hoberman has already provided information on the lacuna around race by looking at the medical humanities' key journals: in the first fifteen years of *Literature and Medicine* and the first thirty of the *Journal of Medical Humanities*, about 1 percent of articles examined race. I extended Hoberman's analysis, which concluded with the journals' 2009 issues, and found that the trend continued. *Literature and Medicine* contained no articles that considered race. (It did, however, include one special issue on world literature and global health, and those articles took up issues of colonialism.) The *Journal of Medical Humanities* evinced a greater interest in race in the United States context: 7 of 134 articles since 2009 concern either writers of color or questions of race/ethnicity in medicine. (p. 28)

We further extend this argument below by maintaining that even the critical medical humanities which derives from the field of the medical humanities also underappreciates race despite acknowledging it as one of its main tenets.

Perhaps the work that represents the official announcement of the field's emergence and lays solid foundations for it is *The Edinburgh Companion to the Critical Medical Humanities* by Whitehead and Woods (2016). The book does not dedicate much space to discussing race/racism despite listing it as one of the aspects that the medical humanities failed to address. In the introduction to the book, Whitehead and Woods state that the "second-wave" critical medical humanities came to fill in the gaps in the "first-wave" medical humanities. They stress that these two waves are not "oppositional" but rather indicate the extraordinarily interdisciplinary and all-encompassing nature of the field (p. 1). The first wave focuses on the so-called "primal scene" (as we have suggested above), which refers to "the clinical encounter between the doctor and the patient" (p. 3). Therefore, the medical humanities seems to be limited, as it,

tended to divert attention away from dimensions of gender, class, race, sexuality and debility within this scene; the specific health policies and practices that shape it in time and place; and its material and economic underpinnings . . . the scene does not announce its cultural, historical and institutional setting. (Whitehead & Woods, p. 2)

In other words, the second wave does not only focus on the medical but also the "non-medical" (Whitehead & Woods, p. 2), particularly because it "explore[s] new scenes and sites that may be equally important to our understandings of health and illness – the laboratory, the school policy, the literary text" (Whitehead & Woods, p. 2).

Some critics also argue that the turn to the critical is a must, as it considers "non-medical" aspects. In "'The Medical' and 'Health' in a Critical Medical Humanities," Atkinson et al. (2015) suggest that instead of replacing the "medical humanities" with the "health humanities," it is better to have a "[c]ritical engagement with the 'medical'" (p. 73). By the same token, "Beyond Sparking Joy: A Call for a Critical Medical Humanities" by Adams and Reisman (2019) calls for "a large-scale shift to a critical medical humanities" (p. 1404), as it has to do with social justice and the political side of medicine unlike the medical humanities which could be described as apolitical. In other words, the critical medical humanities shows the negative side of medicine, as it highlights inequalities and oppression in the medical field rather than the good intentions of doctors that the medical humanities focuses on. In this regard, Adams and Reisman state that despite the "'enrichment' and 'empathy' [medicine] provides . . . [it] has not always been a force for good. A critical medical humanities prioritizes a rhetoric of discomfort and disruption" (p. 1404). These articles clearly show that the critical medical humanities, unlike the medical humanities, makes room for negotiating issues of race, healthcare disparities, and medical injustices in the healthcare system rather than reinforcing a romanticized image of health care-related contexts.

Hence, the critical medical humanities clearly politicizes the medical humanities, a politicization that is apt for discussions of race and medical biases in the U.S., where illness, science, and medicine are racialized. In this regard, Bleakley (2014) in "Towards a 'Critical Medical Humanities'" argues that "there are many recent global developments in the field [, namely the medical humanities]" (p. 23), but these attempts are still "conservative" though because they fail to take "critique and resistance" into account (Bleakley, p. 23). Therefore, Bleakley argues that unlike the medical humanities which is "utilitarian and artistically conservative," the critical medical humanities adopts a more skeptical and "more critical approach" (p. 24).

Whereas the previously discussed theorizations are mainly critical of the limitations of the medical humanities in terms of its being restricted to the doctor-patient binary and its insufficient treatment of non-medical aspects, *Medicine and Empathy in Contemporary British Fiction* is critical of another aspect which is empathy. As the title of the book suggests, Whitehead (2017) is particularly critical of the medical humanities' focus on empathy, as she thinks that it "does not claim to know or to understand the other" (p. 2). Whitehead uses "contemporary British novels that engage with ideas of medicine and empathy" to show the limitations of empathy in the mainstream medical humanities and to highlight literature's role in "probing our difficulties in understanding others, and even our lack of care in the face of their pain and suffering" (p. 2). For Whitehead, empathy tends "to individualise and to decontextualize" (p. 5) in the context of the medical humanities, indicating the urgency of introducing the critical approach, which transcends the major principles of the medical humanities, namely empathy and the patient-doctor binary.

In the light of this discussion of the critical turn in the medical humanities, we argue that the shift to the critical medical humanities which took place in the 21<sup>st</sup> century was lagging behind compared to African American literature's contribution to envisioning the major principles of the field. That is, African American literature predates the critical medical humanities in challenging Western medical discourses by questioning and critiquing Western medicine and by

offering productive counter healing strategies, and thus initiating the conversation between medicine and race early on and way before the critical medical humanities did.

Since its inception till today, African American literature has widely explored illness and healing. One could hardly find a slave narrative that does not depict illness, wounds, and pain on the part of African Americans. This depiction is quite clear in, for instance, Frederick Douglass's *Narrative of the Life of Frederick Douglass* (1845) and Harriet Jacobs's *Incidents in the Life of a Slave Girl, Written by Herself* (1861). Moreover, the well-being of African Americans as well as medical disparities and abuses are major thematic concerns in 20<sup>th</sup> century short fiction like Ernest J. Gaines "The Sky is Gray" (1963), John Edgar Wideman's "Fever" (1989), and Octavia E. Butler's "The Evening and the Morning and the Night" (1987), as well as novels like Ralph Ellison's *Invisible Man* (1952), Toni Cade Bambara *The Salt Eaters* (1980), Gloria Naylor's *The Women of Brewster* (1982), to mention but a few. The intersection between medicine and race is also common in 21<sup>st</sup> century narratives like Percival Everett's *Erasure* (2001), Bebe Moore Campbell's *72 Hour Hold* (2006), Marita Golden's *The Wide Circumference of Love* (2017), Yaa Gyasi's *Transcendent Kingdom* (2020), and Dolen Perkins Valdez's *Take My Hand* (2022). To this list, we can add Toni Morrison's *Home*, on which we focus in the next section to illustrate African American literature's long critical engagement with race and medicine.

### III. MEDICAL ABUSE AND HEALING STRATEGIES IN TONI MORRISON'S *HOME*

As a predecessor to the critical medical humanities, Toni Morrison's *Home* (2012) exemplifies African American literature's anticipation of the emergence of the field. Morrison's *Home* revolves around Frank Money, a traumatized veteran of the Korean war, and his journey back home upon receiving a mysterious plea to rescue his sister, Cee, who is revealed to have been a victim of eugenics. By shedding light on Cee's involuntary sterilization, this article shows that Morrison's *Home* stands as a clear epitome of the novel's precedent embodiment of the characteristics and principles of the critical medical humanities, as it illuminates the sexualization, racialization, and politicization of the clinical encounter. It also shows that the novel's perception of healing transcends Western medical discourses and thus goes beyond the medical humanities' interest in empathy, the doctor-patient binary, and the space of the clinic.

The research conducted on *Home* is abundant. The novel has been tackled from different vantage points such as Black masculinity<sup>2</sup> and trauma<sup>3</sup>. However, most of the scholarship done on *Home* focuses on Frank, the novel's protagonist. Although several articles touch upon Cee's eugenic sterilization, in most cases it is discussed in relation to Frank's journey back home. "Gothic Tropes in Toni Morrison's *Home*: The Scientist-Villain Figure and the Maiden in Distress" by Ramírez (2015) is one of a few articles that shifts attention away from Frank and focuses on Dr. Beau's medical experimentation on Cee, exposing the history of eugenics in the United States which was a common practice in the 20<sup>th</sup> century (p. 121). Unlike Ramírez's article which discusses the victimization of Cee through referring to the gothic tropes used in the novel, this article sheds light on Cee's predicament to highlight the novel's engagement with the critical medical humanities.

In order to plumb the depths of Cee's predicament, we need to reflect briefly on the clinical scene. African American literature disapproves of the institutionalization of medicine through critiquing the clinical encounter. Clinical medicine has been criticized as soon as modern medicine originated in the late 18<sup>th</sup> century (Foucault, 1973, p. xii). Foucault (1973) was a pioneer in criticizing the space of the clinic and modern medicine in his book *The Birth of the Clinic*. In that book, Foucault traces the history of medicine and discusses the production of clinical medical knowledge which he links to power, as he stresses that doctors replaced priests in subjugating the body (p. 32). Foucault uses the term "medical gaze" (p. 9) to explain this secularization or politicization of medicine. In the preface to the book, Foucault's very first sentence summarizes his interests: "This book is about space, about language, and about death; it is about the act of seeing, the gaze" (p. ix).

We make use of Foucault's argument to highlight the gaps in his critical approach and thus to pinpoint this article's intervention. For Foucault, the birth of the clinic stands for the institutionalization of medicine, as he highlights the connection of the medical discourse to power. However, we argue that his discussion is not perfectly adequate for the purposes of this article for, on the one hand, it is too general to help analyze the African American experience, and on the other hand, it falls short of providing alternative solutions to subjugation in the space of the clinic. In other words, we highlight the racialization of such a space to show that the African American characters in Morrison's *Home* manage to resist clinical racialization by seeking alternative spaces as a source of medical knowledge and healing. Hence, unlike Foucault, African American literature goes beyond the clinical encounter which assumes a hierarchical relationship between the doctor and the patient, subjugates the (Black) body to (racial) scientific knowledge, gives no account to the

<sup>2</sup> For instance, Cucarella-Ramon's "'Any Man's Blues': Exposing the Crisis of African-American Masculinity in the Delusion of a Post-Racial United States in Toni Morrison's *Home*" (2017) shows that "Morrison has played a pivotal role in depicting alternative ways of African-American masculinity" (p. 93). Along similar lines, Harack's "Shifting Masculinities and Evolving Feminine Power: Progressive Gender Roles in Toni Morrison's *Home*" (2016) tackles black masculinity and femininity in the novel, as it connects healing to transformative gender roles.

<sup>3</sup> In "Entanglements of Trauma: Relationality and Toni Morrison's *Home*," Visser (2014) explains the useful collaboration and complex relationship between trauma theory and postcolonial theory as well as how different types of traumas which are interlinked inside the literary text are eventually resolved (p. 1). Another article that discusses the novel as an example of trauma literature is "'Come on brother. Let's go home': Dual-Witnessing in Toni Morrison's *Home*" by Freedman (2016). What distinguishes this article is that it "theorizes a readerly engagement of traumatic literature" (p. 1), a topic which we are going to touch upon later on.

patient's personal experience, and limits possibilities of healing. Ultimately, we maintain that Foucault's approach although linked to power does not go beyond clinical medicine, and thus, unlike African American literature goes hand in hand with the medical humanities rather than the critical medical humanities.

As far as African Americans are concerned, the racialized clinical encounter yields victimization rather than facilitates healing. Hence, going beyond the space of the clinic has the double merit of avoiding a space in which African Americans are discriminated against as well as downplaying Western paths for healing. Therefore, Dr. Beau's laboratory in which Cee is sterilized represents the racialization of the clinical encounter as the clinic/laboratory is a space of victimization rather than treatment in Cee's case. Cee's eugenic sterilization at the hands of Dr. Beau features a collective medical condition which reflects a long history of medical exploitation of the Black body as well as a tradition of eugenic sterilization in the 20<sup>th</sup> century in the U.S., which several books examine<sup>4</sup>. As Lombardo (2011) argues in *A Century of Eugenics*, "[w]hile sterilization is clearly only one expression of the group of ideas we think of as eugenics, it still draws historical attention because it was practiced so regularly in the United States for so long" (p. 2). The logic of eugenic sterilization in the U.S. was medically, socially, and politically justified; "[a] host of social problems—alcoholism, criminality, pauperism, prostitution, tuberculosis, venereal disease, and above all 'feeble-mindedness'—might be eradicated by preventing the birth of those genetically predisposed to these maladies" (Dorr & Logan, 2011, p. 70).

As a Black female, Cee is subject to Dr. Beau's sexist and racist intentions. Dr. Beau violates Cee's body not only to improve his gynecological knowledge but also to satisfy his eugenicist motives. In this regard, Ramírez (2015) believes that "the medical procedures Dr. Beau conducts on the young black woman do not have any therapeutic intent. Its sole purpose is the advancement of gynecological research" (p. 127). Ramírez adds that "Cee's infertility may be the purpose and not just the outcome of the doctor's operations" (p. 127). Dr. Beau's eugenic motives are stressed through the eugenic books that Cee finds in his office: "Now she examined the medical books closely, running her finger over some of the titles: *Out of the Night*. Must be a mystery, she thought. Then *The Passing of the Great Race*, and next to it, *Heredity, Race and Society*" (Morrison, 2012, p. 65). Morrison's tracing of the movement of Cee's finger, as it were, constitutes the beginning of recognizing, even if unwitting, oppression. That recognition, then, leads to African Americans' resistance to the discrimination practiced against them in the space of the clinic and lies in discrediting the Western paths for healing and seeking alternative venues for healing.

From an African American perspective, healing is not merely based on the testimony of the patient and the knowledge of the doctor who is perceived as a godlike figure by Western standards. When Cee starts her job with Dr. Beau, she glorifies him and "her admiration for the doctor grew even more when she noticed how many poor people—women and girls, especially—he helped" (Morrison, p. 64). Therefore, she unquestionably succumbs to his medical practices on her body, which result in her sterilization without her knowledge or informed consent. Cee "believed the blood and pain that followed was a menstrual problem—nothing made them [Black women in Lotus] change their mind about the medical industry" (Morrison, p. 122). Cee's naivety about the doctor's medical experiments and her subsequent awakening echo many African Americans' unquestioning belief in Western medicine which later turned into mistrust in a field that experiments on Black bodies, especially female bodies.

Consequently, *Home* offers productive counter-hegemonic healing strategies which question Western medicine and resist medical subjugation. Ramírez (2015) states that,

[b]y means of Dr. Beau, Morrison criticizes Western science, which she sets against her black ancestors' healing powers. She contrasts the wicked scientist's hideous patriarchal medical procedures without therapeutic objectives to the soothing and curing of the self and body the black females of the community engage in. (p. 128)

By valuing the role of the healing powers of the Black family and community, *Home* represents a typical example of the non-traditional African American venues for healing which transcend the space of the clinic and the small circle of a doctor and a patient. The strategies that Miss Ethel and the other Black women in Lotus use to cure Cee are non-traditional. Their belief that Frank's "maleness would worsen her condition" (Morrison, p. 119) and that the sun represents "a permanent cure. The kind beyond human power" (Morrison, p. 124) subvert Western medical discourses of healing. Moreover, the novel highlights the multiplicity of the medical approaches of the women in Lotus, as "each of her [Cee's] nurses was markedly different" in terms of "medical preferences" (Morrison, p. 123); each one of them offers Cee a "different recipe for her cure" (Morrison, p. 119). As a result, in African American literature, healing takes on different forms that are not bound to the Western doctor's rigid and singular mode of healing. In other words, the healing strategies that *Home* offers model as flexible and dynamic modes of physical and psychological healing.

African American literature's perception of healing is futuristic in the sense that it perceives healing as a dynamic process rather than a finished product. That is to say, in spite of all the suffering experienced because of the disease, patients and caregivers develop a more nuanced and critical understanding of themselves and of the world around them and thus become more resilient to any future ailments. For this reason, healing in African American literature does not

<sup>4</sup> As in Jennifer Nelson's *Women of Color and the Reproductive Rights Movement* (2003), Johanna Schoen's *Choice and Coercion: Birth Control, Sterilization, and Abortion in Public Health and Welfare* (2005), Harry Bruinius's *Better for All the World: The Secret History of Forced Sterilization and America's Quest for Racial Purity* (2007), Rebecca M. Kluchin's *Fit to be Tied: Sterilization and Reproductive Rights in America, 1950-1980* (2011), and Paul A. Lombardo's *A Century of Eugenics in America: from the Indiana Experiment to the Human Genome Era* (2011), to name just a few.

only address biological diseases but also psychological ones as it leads to redemption, reconciliation, identity transformation, and a promise of a better future on the individual and collective levels. As far as *Home* is concerned, Cee is nursed to health not only physically but also psychologically. Due to her Black healers' curative powers and moral support, Cee gets empowered, achieving freedom, self-actualization, and independence. Although Cee's sterility cannot be undone, her healers literally save her life, as the progression of her medical condition would have killed her had it not been for their intervention. In the words of Morrison, Cee is rendered "infertile, but not beaten" (Morrison, p. 132).

As a result, survivors in African American literature (whether patients or caregivers) are not helpless victims begging for empathy (a word usually associated with the medical humanities rather than the critical medical humanities) but fighters who manage to survive an illness affecting their lives badly. African American characters positively respond to diseases and manipulate them in such a way that enables them to make use of the diseases' transformative and redemptive powers. Hence, Cee's healers "didn't waste their time or the patient's with sympathy and they met the tears of the suffering with resigned contempt" (Morrison, p. 121). These characters' devoid-of-empathy perception of illness and healing is projected on readers, facilitating their healing through the reading process. Accordingly, analogous to the critical medical humanities which goes beyond the medical, healing in African American literature extends to non-medical readers.

*Home's* readers bear witness to the medical injustices that African American people are subject to. In "'Come on brother. Let's go home': Dual-Witnessing in Toni Morrison's *Home*," Freedman (2016) argues that *Home* yields "a readerly engagement" (p. 1), as he highlights the novel's therapeutic effect on readers by incorporating "theories of reading" (p. 3). Essential to readers' healing, as Freedman states, is the increased awareness that accompanies the reading process: "Until we acknowledge the most difficult realities, we cannot heal collectively" (p. 6). Through Dr. Beau's medical experimentations, *Home* highlights the politicized and racialized nature of medicine rather than its human side. In this sense, African American literature broadens the scope of the humanities' role in accordance with the critical medical humanities. That is, whereas literature from the viewpoint of the medical humanities is instructive for practitioners in the medical field, literature from the viewpoint of the critical medical humanities targets non-medical readers. Eventually, African American literature's educational purposes do not aim to enhance doctors' humanity but rather to expose their inhumanity, as it represents an arena of strife and resistance in which Black voices articulate their own perspectives on medical realities.

As such, African American literature incorporates the contextual underpinnings of the critical medical humanities, as it relates to real-life struggles with the healthcare system in the US. As Stanford (1994) contends in "Mechanisms of Disease: African-American Women Writers, Social Pathologies, and the Limits of Medicine," illness and medicine in African American literature are viewed within an intricate web of cultural and socio-political factors, as "individual disease is inextricably bound up with broader social ills—sexism, racism, classism, and heterosexism, to mention but a few" (p. 28). African American literature does not merely stand as an individual expression of pain on the part of patients but as a collective familial, socio-political, and economic matter. That is, it is not only an aesthetic enterprise but also a political and bioethical one which contextualizes the racial and sociopolitical ramifications of illness as an African American experience. Thus, it shifts attention from patients to caregivers and from medical to non-medical readers. By so doing, it provides strategies for healing on the collective level rather than the individual level.

#### IV. CONCLUSION

In this article, we have highlighted the value of African American literature through an engagement with the field of the critical medical humanities. We have shown that African American literature goes beyond the medical humanities and anticipates the interests of the critical medical humanities by fusing medicine and race in an attempt to expose medical injustices and offer a different perspective on healing as opposed to scientific and objective Western paths for healing. For this reason, we claim that African American literature indeed enriches the field of the critical medical humanities, which underappreciates one of its most important tenets, namely race. Doing so, this article reveals that the aforementioned field should pay homage to this literary precedence rather than turn a blind eye to the question of race.

Morrison's *Home* reveals African American literature's apt employment of the major principles of the critical medical humanities, as the novel lays bare medical biases through Cee's eugenic sterilization, condemning the dysfunctionality of the clinic as a space for healing for African Americans. Cee's experience highlights the subjugation of African American bodies which are treated as tools for educational purposes rather than recipients of the medical care that medicine is supposed to offer. However, this article also shows that although medical practitioners managed to prey on African American bodies for educational advancement, they are highly unlikely to prey on their literature as a source of medical knowledge, as their works are not individual articulations which would help in understanding and empathizing with illnesses but sites of resistance that offer counter-hegemonic healing strategies. Hence, unlike many Black bodies, African American literature is less vulnerable to be put in the service of a medical practice that does not prioritize African Americans' well-being.

In conclusion, we call for appreciating the value of African American literature, as it enriches the role the humanities plays in the field of medicine through its anticipatory speculations on the critical medical humanities' propositions. In addition, considering such literary-medical explorations makes room for initiating and expanding discussions of race

within the field itself. Hence, the current discussion opens up possibilities for future research in African American studies as well as the critical medical humanities.

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