CHAPTER 2

REVIEW OF RELATED LITERATURE

Code switching is defined by Gumperz (1982) as "the juxtaposition within the same speech exchange of passages of speech belonging to two different grammatical systems or subsystems." It happens as people alternate between one particular code and another particular code where the term 'code' it self refers to the language in context. Among bilingual or multilingual people, code switching can take various forms in a conversation. As stated by Skiba (1997),

> Further, Cook (1991) puts the extent of code switching in normal conversations amongst bilinguals into perspective by outlining that code switching consists of 84% single word switches, 10% phrase switches and 6% clause switching.

Of course, the portion of the switches in a conversation always varies and might also be different from the above. The point is that some forms of code switching may occur just in a single conversation, or in a single speech. And since this thesis analyzes lecturers' code switching when they are explaining the lesson, the term 'speech' will be used.

As bilingualism has become very common in Jakarta, Indonesia, it is not unusual to hear people switching codes while giving a speech such as the speech of a lecturer from English Department classes. In order to analyze the function of lecturers' code switching, this chapter will discuss first some important issues. They are the social dimensions, borders of lexical borrowing and code switching, types of code switching, given-new contract theory, and function of code switching based on Gumperz's six discourse functions.

2.1 Code Switching and Social Dimension

Linguists agree that sometimes people choose a language because of certain social factors. The participants, social setting and functions of interaction, setting or social context, and the aim of the interaction may affect someone's language choice. These, of course, would consequently influence the switching of codes of someone too since that person has to choose the language of the switching.

Below are some basic elements of those social factors, as stated by Holmes (2001: 8):

1. The participants: who is speaking and
   who are they speaking to?
2. The setting or social context of the interaction: where are they speaking?
3. The topic: what is being talked about?
4. The function: why are they speaking?

Those elements mentioned above contribute to the classification of social dimensions which are going to be discussed below.

2.1.1 Social Dimension

Generally, according to Holmes (2001: 9), there are four scales of social dimensions concerning the elements mentioned before:

1. A social distance scale concerned with participant relationships
2. A status scale concerned with participant relationships
3. A formality scales relating to the setting or type of interaction
4. Two functional scales relating to the purpose or topic of interaction.

2.1.1.1 Social Distance Scale

Intimate		Distant
High Solidarity	———————	Low solidarity

According to Holmes (2001: 9), "this scale is useful in emphasising that how well we know someone is a relevant factor in linguistic choice."

In Hemnesberget where the local dialect is Ranamål and the standard Norwegian dialect is Bokmål, people use Bokmål when teaching in schools and giving sermons in church. On the other hand, they will use Ranamål instead of Bokmål when speaking to their family and friends. This language choice reflects the social distance of its participants. In home and among friends, the use of Ranamål shows the intimate relationships of the participants. However, in church and schools, the use of Bokmål shows that the relationships among the participants are not too close or a bit distant. (Blom & Gumperz in Holmes, 2001)

2.1.1.2 Status Scale

Superior	High Status
Subordinate	Low status

According to Holmes (2001: 9), "this scale points to the relevance of relative status in some linguistic choices."

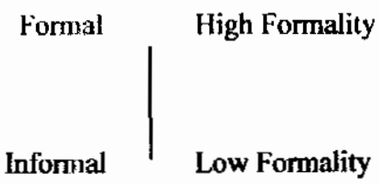
Below is a short conversation which reflects this status scale taken from Holmes (2001: 4):

(1) Sam : You seen our `enry's new `ouse yet? It's in `alton you know.
Jim : I have indeed. I could hardly miss it Sam. Your Henry now owns the biggest house in Halton.

In language choice, a choice of vocabulary and pronunciation which are parts of the level of linguistic variation also reflects social information such as its status. In the example above, Sam who is a coal miner drops the [h] sound which indicates that he has

lower status in the society. Meanwhile, Jim who, unlike Sam, never drops the [h] sound indicates that he is well-educated and has better occupation. Therefore, Jim has higher status than Sam.

2.1.1.3 Formality Scale

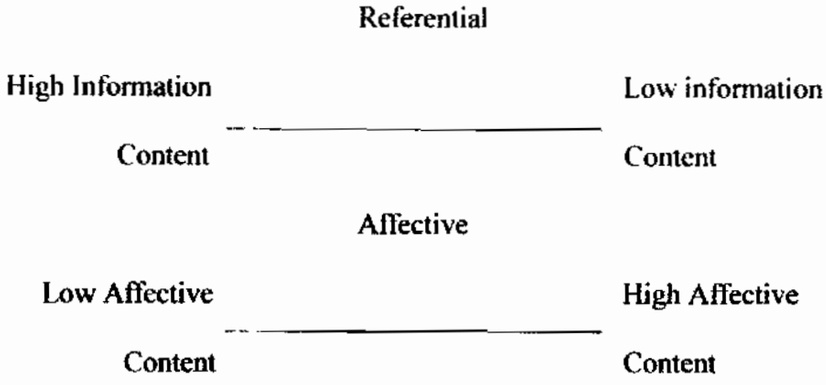


According to Holmes (2001: 10), "this scale is useful in assessing the influence of the social setting or type of interaction on language choice."

In a certain event, the language that is used is often determined by the situation itself, such as whether the situation is formal or informal. For instance, in Hemnesberget, people use Ranamål at home and Bokmål at church or school. This happens because the situation at home is an informal situation while the situation at church or school is more formal. Hence, people use their local dialect, Ranamål, to communicate with friends and family at home to make the atmosphere more relax. In contrast, they will use their standard Norwegian dialect, the Bokmål, at school and church to create a more formal atmosphere. Furthermore, status and solidarity sometimes also have tremendous effect on this degree of formality, but sometimes they do not.

> A very formal setting, such as a law court, will influence language choice regardless of the personal relationships between the speakers. (Holmes, 2001: 10)

2.1.1.4 Two Functional Scale



According to Holmes (2001. 10), "language can convey objective information of a referential kind; and it can also express how someone is feeling." Theses scales explain how a topic or purpose of interaction can affect language choice.

The degree of information that a person wants to convey in an interaction may also influence the choice of language. When the degree of information is high, it is less likely that a person wishes to convey his or her feeling. For example is the school in Hemnesberget. When the teachers are teaching, their purpose is to deliver their knowledge of the school materials to their students. Therefore, it has high content of information and low affective content. On the other hand, at home, the purpose of most of the communication is to show affection or to express their feeling instead of delivering a high degree of information. Therefore, it has low information content but high affective one. Consequently, people in Hemnesberget tend to use Bokmål to convey something with high information content and Ranamål to convey something with high affective content

2.1.2 Changes on Social Dimension by Switching Codes

Either consciously or unconsciously, code switching can affect changes on the scale of those four social dimensions as people switch their language. The switch of a code may indicate a change of solidarity or social distance of the relationships, the status of the relationships, the formality of the interaction or the social setting, and the functions of the interaction itself.

A conversation such as between doctor-patient where it involves a switching of their language during their conversation may indicate their status difference as a doctor and patient. In addition, a code switch in a conversation between friends may also indicate the change of their intimacy, or may be a change in expressing the affective sense rather than the referential (or vice versa). Further more, switching a code may also reflect a change in the degree formality of a situation, for example a switch in a conversation between co-workers of a company during their lunch when they are gossiping then suddenly one of them switch the codes to ask something relating to business or their work.

Of course, not all switches would involve changes in social dimension, especially in a lecturer's speech. Nevertheless, there are some that, indeed, make a significant change in the social dimension and this change could contribute to the functions of code switching which is going to be discussed next.

2.2 Borders on Code Switching and Lexical Borrowing

One important thing to note in code switching is how it differs from lexical borrowing. The first aspect is the motive. Sometimes people switch from their second language to their mother tongue language because they do not know the appropriate

word in their second language. This kind of switch happens because of their lack of vocabulary which results in borrowing instead of switching codes. The basic ground for this is that borrowing can occur in the speech of those with only monolingual competence, while code-switching implies some degree of competence in the two languages (Romaine, 1995: 124). Consequently, it would also be considered as lexical borrowing when people borrow or use words from another language because the appropriate words in the language in which they are currently speaking do not exist (Holmes, 2001).

Furthermore, the other aspect to distinguish lexical borrowing from code switching is the form of lexical borrowing itself which is not the same as switching. In lexical borrowing, people adjust the 'borrowed' words to their grammatical pattern of their language. Sometimes, the pronunciation is adjusted too. For example is the word *Maori* which has been adjusted to English. According to Holmes (2001), they use an English diphthong [au] rather than a longer [a:o] sound, and they pluralize the word by adding the English plural inflection *s* and talk of the *Maoris*. This inflection does not occur in the Maori language itself since its plural form is still *Maori*.

Nevertheless, among the linguists there is still one more problem that is being debated regarding this matter: the loanwords. When those loanwords were first initiated, they were marked as code switching. They will then be labeled as loanwords when their occurrences become more frequent, as well as more people use and become familiar with those words. However, some linguists believe that loanwords belong to lexical borrowing, while some others tend to see loans correspond to switching codes. In this thesis, the former will be applied as stated by Hamers & Blanc (2000: 259).

> We believe that borrowing and code-switching are phenomena at either end of a continuum: an established loan-word is a historically transmitted word that has been integrated with the recipient language, while code-switching is a more or less spontaneous, bounded switch from sentences of one language to sentences of another, affecting all levels of linguistic structure simultaneously.

2.3 Types of Code Switching

According to Poplack as quoted in Romaine (1995), there are three types of code switching. They are extra-sentential code switching (tag switching), intersentential code switching, and intrasentential code switching.

2.3.1 Extra-Sentential Code Switching (Tag Switching)

These switches include the insertion of a tag, an exclamation, or sentence filler that is stated in another language different from the language of the rest of the sentence, for instances:

(2) *The proceedings went smoothly, ba* [Tagalog tag]? – 'The proceedings went smoothly, didn't they?' (Bautista in Romaine, 1995: 122)

(3) *Engari* [so] now we turn to more important matters. *(Switch between Maori and English)* (Holmes, 2001: 35)

In the example (2), the speaker switches from English to Tagalog for the final tag while in the example (3) the speaker switches from Maori for the interjection to Indonesian. Because this switch often serves as an emblem of the speaker's ethnic identity, many scholars also call this switch emblematic switching. Another example of this switching is:

(4) Ming:Confiscated by Customs, dà gài [PROBABLY]
(Switch between English and Cantonese Chinese)
(Holmes, 2001: 35)

2.3.2 Intersentential Code Switching

Intersentential switching involves a switch at a clause or sentence boundary, where each clause or sentence is in one language or another (Romaine, 1995: 122). For examples:

(5) Sometimes I'll start a sentence in English *y terminó in español.* 'Sometimes I'll start a sentence in English and finish it in Spanish.' (Poplack in Romaine, 1995: 123)
(6) Liburan kemana? I wanna go to Bali. (Wiradisastra, October 2006: 200)

In the example (5), the speaker makes a switch at clause boundary: *y terminó in español* which in English means 'and finish it in Spanish', from English to Spanish. While in the example (6), the switch from Indonesian to English happens in the second sentence after the speaker uttered the first interrogative sentence which is completely in English.

Additionally, this kind of switch is usually done with no hesitations, interruption, or pauses indicating the shift. In addition, the speaker is also usually unconscious of the switching. Linguists believe that doing this switching would need more competence in both languages compared to the previous type of code switching because, as stated by Romaine (1995 : 123), major portions of the utterance must conform to the rules of both languages. Other examples for this switching are:

(7) 'I don't really like Indian food, *tapi kalau mau coba, ayo.*' [*'I don't really like Indian food, but if you want to try, let's try it.'*] (Wiradisastra, October 2006: 197)
(8) *Just shake this and you press terus keluarnya mousse*
[Just shake this and you press then the mousse will come out]
(Wiradisastra, October 2006: 200)

2.3.3 Intrasentential Code Switching

According to Wiradisastra, intrasentential code switching is,

> Intrasentensial code-switching which involves switches of different types occurring within the clause boundary, including within the word boundary. (October 2006: 197)

In this last type of code switching the risk of jeopardizing the syntactic rule is much higher than the previous two. Some examples of this switching taken from Romaine (1995: 123) are:

(9) What's so funny? Come, be good. Otherwise, *yu bai go long kot*. – 'What's so funny? Come, be good. Otherwise, you'll go to court.'
(10) *Shoppã* – 'shops'

In the example (9), the switching from English to Tok Pisin which occurs in the third sentence happens inside a clause. Meanwhile, in the example (10), the switching itself happens inside a word where the English word 'shop' is inflected by the morphology of Panjabi into *'shoppã'* in order to get its plural form of 'shops'. Other examples of this switching are:

(11) '*di*open' [OPENED] (Wiradisastra, October 2006: 197)
(12) Yeo hou do yeo CONTACT.
Have very many have contact
'We have many contacts.'
(Wei in Mesthrie, 2000: 163)

2.4 Given-New Contract Theory

Given-new contract theory is part of psycholinguistic branch which was constructed by Herbert H. Clark and Susan E. Haviland. According to Clark & Haviland in Freedle (1982: 3),

> The given-new contract is concerned with a syntactic distinction the speaker is obliged to make between given information and new information. In all languages probably (Chafe, 1970), declarative sentences convey two kinds of information: (1) information the speaker considers given-information he believes the listener already know and accepts as true; and (2) information the speaker considers new-information he believes the listener does not yet know.

This theory believes that in order to be able to communicate effectively, there is a convention to which people have to follow. This convention obliges speakers to utter

information of which they believe the listeners already have the knowledge and also information of which they believe the listeners have not had the knowledge yet. In other words, a speaker should utter the given and new information. This theory will be further discussed in the next two parts below which are the maxim of antecedence and the wh-questions.

2.4.1 Maxim of Antecedence

Maxim of antecedence is the core principle of this Clark & Haviland's given-new contract theory. This maxim compels the speakers to ensure that the listeners really have the knowledge of the given information. As stated by Clark & Haviland in Freedle (1982: 4),

> *Maxim of Antecedence:* Try to construct your utterance such that the listener has one and only direct antecedent for any given information and that it is the intended antecedent.

In the sentence "*It was Percival who piqued the professor*" (Clark &Haviland in Freedle, 1982: 3) with an emphasis on Percival, the given information is a person piqued the professor and the new information is that person was Percival. When the speaker says the sentence, the speaker should believe first the listener has the knowledge that a person piqued the professor. This listener's knowledge is the antecedence of the given information, for instance it is the node about the person who piqued the professor in the memory of the listener. (Clark & Haviland in Freedle, 1982)

Basically, this maxim works on three phases. In the first phase, the listener separates the given information and the new information in the particular sentence. In the second phase, the listener seeks out the proper antecedence in the listener's memory.

Then, in the last phase, the listener puts the new information to that proper antecedence. Clark & Haviland elaborated this phase clearly in Feedler (1982: 6) as follow.

A. Prior memory structure:
p_1,.... E_3- *piqued the professor*,...,p_n
B. Apply strategy to *It was Percival who piqued the professor:*
Step 1: Divide current sentence into given and new.
Given: *X piqued the professor*
New: *X = Percival*
Step 2: Search memory for a unique antecedence that matches the given information.
Antecedent: E_{37} *piqued the professor*
Step 3: Integrate new information into memory by replacing X by the appropriate index in the antecedent.
Add: E_{37} = *Percival*
C. Resulting memory structure:
p1,..., E37 piqued the professor, E37 = Percival,...,pn

In addition, speakers can also violate this maxim which makes listeners unable to find the antecedence. When this happens, listeners may solve it by one of the three methods: bridging, addition, and restructuring. However, this thesis will not discuss further on those three methods.

2.4.2 Wh- Questions

Similar to declarative sentence, question also has given information which is uttered to obtain new information. As stated by Clark & Haviland in Feedler (1982: 30),

> Whereas assertions add information to the listener's memory, questions are meant to elicit information from his memory. But, just as assertions indicate the address where the new information is to be added, questions indicate the address from which the wanted information is to be extracted.

One example is provided by Clark & Haviland in Feedler (1982) in the sentence *Who ate my cookies?*. In this sentence, the given information is *X* ate my (the speaker's) cookies, while the new information is *X* = who?. In the first and second phase, the listener undergoes the same phase as explained in the previous part. But, in the third

phase, the listener would have to conclude the *E19* in the antecedence '*E19 ate my cookies*' is Elmer. Then the listener can construct the answer: *The person who ate your cookies was elmer; It was Elmer,* or merely *Elmer* by using ellipsis as ellipsis is one of the tool in expressing given information.

> To this Halliday (1967) adds that often this manner represents itself anaphorically, so that given information appears through reference (pronominals and demonstratives), substitutes (words like *one* and *do*), and ellipsis (no realization in the text). (Kopple in Cooper, 1986: 79)

2.5 Gumperz's Six Discourse Functions

Either consciously or unconsciously, code switching conveys social meaning. As stated by Coulmas (2005: 121),

> The social environments in which code-switching occurs are varied and, accordingly, many social variables which potentially influence speakers' choice of language in conversation need to be considered.

Convention of society, ethnicity, degree of education, language competence, social status, relationships, place or setting, status of the language itself (high or low), and topic of interaction are some of the social variables. These variables could become the motive, either consciously or unconsciously, for people to do the switching. As this implicit meaning is shared among society, code switching itself becomes the communicative convention in people's social interactions. In order to evaluate the implicit motives of speakers' code switching, many linguists have proposed some theories. This thesis will evaluate those motives by applying a theory called Gumperz's six discourse functions.

Gumperz believes that there are six reasons of why people switch their language. They are to differentiate between direct and indirect speech, to serve as injections or sentence fillers, to give a stress to a message, to qualify a message, to invite someone to

the conversation, and to differentiate between personalization and objectivization (Wiradisastra, October 2006).

The first function of Gumperz's six discourse functions is to differentiate between direct and indirect speech. In this function, speakers switch their language to another language in order to quote a statement from other people. They switch their language so they can assert the statement as identical as possible with the original statement that was uttered in a particular language which is different from the language that the speakers use before quoting. For instance:

(13) *Gue nanya dong tell me the difference and then may be we can try and do something kan... benerin kan.*
[naturally I asked tell me the difference and then may be we can try and do something to improve it]
(Wiradisastra, October 2006: 205)

In the conversation above, the speaker is conversing with her coworkers in Indonesian. However, as she wants to quote her critics on fashion which she has told her superior in English instead of Indonesian, she immediately changes her language to English and re-utters the critics exactly the same as before. By doing this switching, the recipient will get the same, or at least almost the same impact as the speaker did.

Another function of these six discourse functions is to serve as injections or sentence fillers. This function is the typical motive of the first type of code switching which is extra-sentential code switching or tag switching that has been explained before. An example of this function is:

(14) *Kalo lu bisa liat ada bedanya... apa bedanya begitu... I mean dia kan udah coordinator desainer grafis mestinya dia ngerti dong yang gitu-gitu.*
[if you can see the difference... what the difference really is... I mean she is the graphic desaigner coordinator after all so she should understand such stuff] (Wiradisastra, October 2006: 205)

In the example above, the speaker is uttering her idea almost entirely in Indonesian except for the part '*I mean*' which is stated in English. In this case, the words '*I mean*' function only as an injection to fill the sentence. Moreover, that switch could also serve not only as injections or sentence fillers but also as the way to mark their dual identity (as explained before in 2.2.1) not only as Indonesian people but also as professional coworkers who often use English as their medium in the conversation.

The third function is to give a stress to a message. In order to emphasize a message, sometimes people make a repetition of the meaning of the message. This statement is first uttered in a particular language, and re-uttered again but in a different language from the first. For example:

(15) *It's pathetic. Kasian deh!*
[*It's pathetic. I pity him*]
(16) *Ronal semua atas bawa rasanya over the top terlalu dandan.*
[*I think Ronal['s designs] are all over the top, too fancy*]
(Wiradisastra, October 2006: 206)

In the example (15) above, the speaker (it is a woman) repeated the sentence in a different language to emphasize her feeling. Meanwhile in the example (16), the repetition which was also stated in different language is to give emphasis to her thoughts or opinion.

The next function is to qualify a message. In this case the code switch marks a new topic that is introduced in one language and then commented on or further qualified in the other (Wiradisastra, Ocotber 2006: 198). For instance:

(17) *We've got ... all these kids here right now. Los que estan ya criados aqui, no los que estan recien venidos de Mexico* [those that have been born here, not the ones that have just arrived from Mexico]. *They all understood English.* (Gumperz in Romaine, 1995: 163)

In the example above, the subject of the utterance was stated first in English. However, the speaker then changed the language to Spanish to explain more about the kids. This

switching was made to give more explanation or information to the recipient about the topic.

The fifth function in Gumperz's theory is to invite someone to a conversation. Specifying a person to be a recipient indicated that the person is included to the conversation, as an example:

> (18) *Where, 'nother knife? walima pocket knife karrwa-rnana.* – 'Where's the other knife? Does anyone have a pocket knife?' (McConvell in Romaine, 1995: 163)

In the example above, the speaker switches his language from Kriol to Gurindji. In the first sentence '*Where, 'nother knife?*', the speaker utters the question in Kriol only as a general and objective question with no addressee being specified. However, the speaker wants to borrow a knife, he immediately changes his language to Gurundji and has the addressee specified to his fellow butchers.

The last function of Gumperz's six discourse functions is to differentiate between personalization and objectivization. According to Gumperz as quoted in Romaine (1995: 164),

> ... this contrast relates to things such as the distinction between talk about action and talk as action, the degree of speaker involvement in, or distance from a message, whether a statement reflects personal opinion or knowledge, whether it refers to specific instances or has the authority of generally known fact.

The examples of this function are taken from Wiradisastra (October 2006: 206-207):

> (19) ***Anjir hebat banget. Wow. Itu berkesan banget sama lu yang merasa... karena lu yang merasa you've achieved something***
> **[*Wow that's really great. It must have impressed you a lot... because you felt you've achieved something*]**
> (20) ***Hebat... Sayang banget sih lu ngak terus jadi designer. Kenapa si emang... is your heart not in it or are you just waiting for the right time?***
> **[*Fantasti[s]... It's such a pity you didn't become a designer. What happened... is your heart not in it or are you just waiting for the right time?*]**

In the example (19), the speaker complimented a photographer for his excellent work. As she was complimenting him in Indonesian, she felt the need to position herself in an objective point of view. Thus, she switched her language to English to make her compliment sound more impersonal, and therefore, more professional. In contrast, in the example (20), the speaker was now speaking to an older person with only a workforce relationship. As sometimes it could be considered as impolite to ask a personal question with that kind of relationships, she then switched her language from Indonesian to English and put her question in English to make it sound more impersonal, and therefore, more professional again.

Overall, those Gumperz's six discourse functions can be summarized and listed into the table below:

Table 2.1
Gumperz's Six Discourse Functions of Code Switching

Function I	To quote ; a distinction between direct and indirect speech
Function II	To serve as injections or fillers
Function III	To emphasize or clarify a message
Function IV	To qualify a message
Function V	To specify an addressee
Function VI	To distinct between personalization vs. objectivization