

Proposal of a Model for the Analysis of a Text as a Communicative Event

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An attempt has been made to present a model for the analysis of a text as a communicative event. The presupposition underlying this task is that it is actually possible — and to some extent desirable — to construct a 'model' as a descriptive device, powerful enough to account for the text as the linguistic unit of the communicative interaction. The different components of the model (Sender, Receiver, Text, Text Levels, Competences, Socio-Psychological characterization of participants, and Context) are described, as well as their functioning and interaction. Then the model is applied for the analysis of a text ('A Sticky Problem'), and some conclusions are drawn on the model as a whole, its advantages and shortcomings.

Key Words: Text, Communicative Event, Text Levels, Competences, Context, Socio-Psychological Characterization.

0. INTRODUCTION

In this paper I attempt to propose a model¹ of analysis for the interpretation of a text, oral or written, as a communicative event, that

¹ 'Model' should be understood here and thereafter as a "schéma théorique visant à rendre compte d'un processus, des relations existant entre divers éléments" (Hachette, 1980). In McArthur's terms (1985), "a 'model' is essentially a description, in the same way as a map, diagram, silhouette, plan or normal scale model is descriptive [...] They are not what they describe, and should not be confused with it. They are analogues of a limited kind, created for our practical convenience."

is to say, as the key component of the interaction between a sender and a receiver.

In order to fulfill this objective, I have designed a diagram on which I have indicated what the components of the model are and how the flow of information contained in the text produced by the sender gets to the receiver.

At this point it is pertinent to clarify that this model is tentative, that is to say, that it is a plausible account of how texts are produced and interpreted by the participants in a 'communicative event', as defined by Hymes (1972).

The contents of the paper have been organized as follows. First, the diagram of the proposed model of analysis is presented (its components have been numbered to facilitate its description and the explanation of how it works). Then, the model as a whole is characterized and its components are described; it is shown how the components interact and how they complement with each other. Finally, the model of analysis is applied on the interpretation of a text, and some conclusions based on the model itself and its application are drawn.

1. GENERAL OVERVIEW

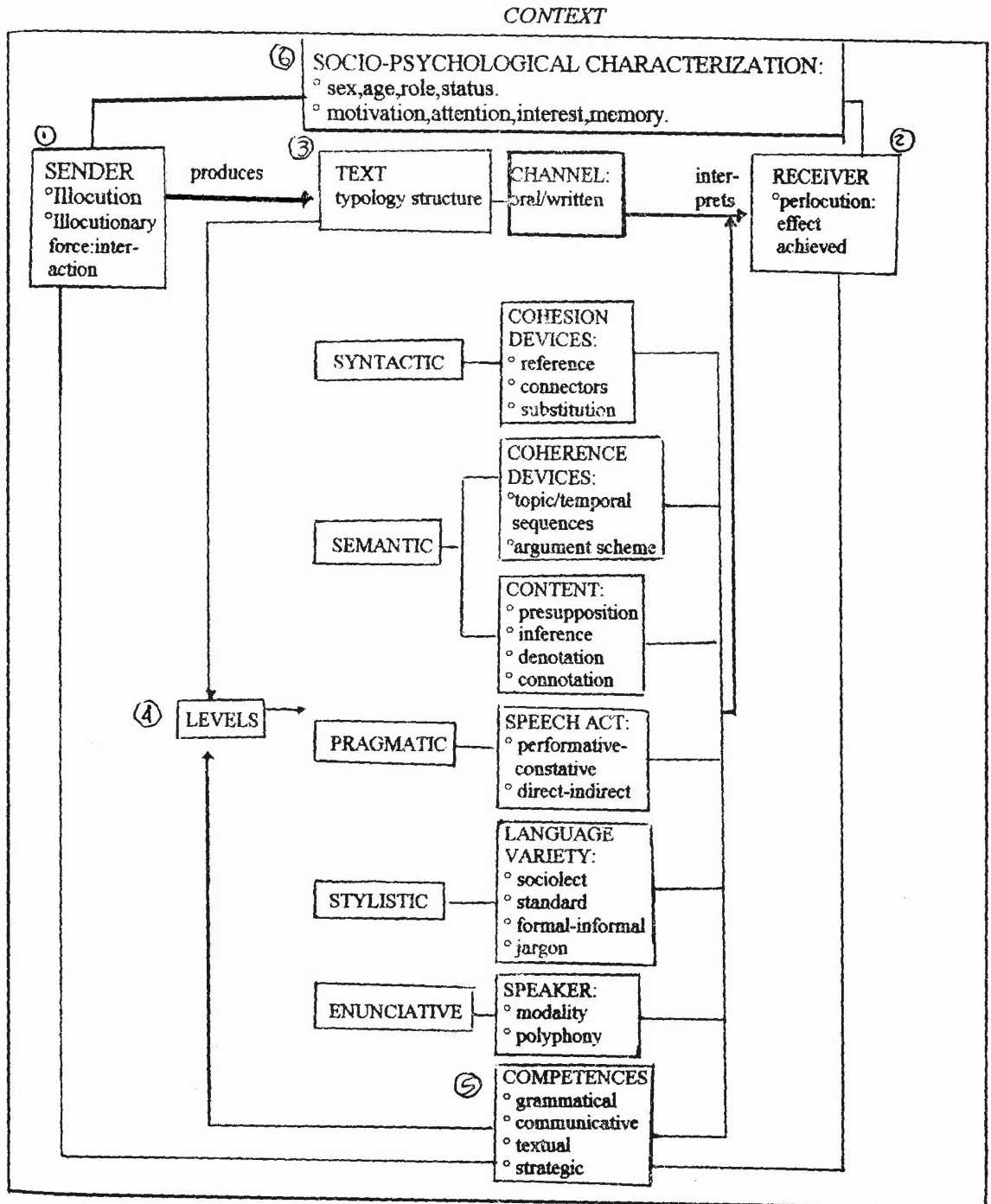
A general overview of the model as a whole and of its components is called for before we focus on a more detailed description and on the way the model works. There are seven components: 1. Sender, 2. Receiver, 3. Text, 4. Text Levels, 5. Competences, 6. Socio-Psychological Characterization of participants, and 7. Context.

Sender and Receiver (1, 2) are the two poles around which communication takes place. The Sender produces a Text (3) which is then transmitted by a channel, oral or written, to a Receiver that interprets it. The Text corresponds to a specific text-type available in the speech community to which Sender and Receiver belong. This Text is structured by the Sender and then decodified by the Receiver at five different Levels (4): syntactic, semantic, pragmatic, stylistic, and enunciative².

When Sender and Receiver are interacting in a communicative event, they both activate their Competences (5). This allows them to use their knowledge about the rules of the language ('grammatical competence', or Chomsky's notion of 'competence' as opposed to 'performance'), about the social rules of language use (Hymes' 'communicative competence'), about the way texts are produced and understood in a speech community (which I label 'textual competence'), and about how

² The contention may be raised that this enunciative level does not belong in here as the other levels do. I decided to leave it there for the time being, considering that a common proposition may underlie all levels, namely, that every speaker is present in the text he produces by means of some implicit or explicit markers. His decision-making process is more implicit (non-abundant speaker markers) in the way he articulates the text at the syntactic, semantic, and pragmatic levels, whereas this process is more explicit (abundant speaker markers) at the stylistic and enunciative levels.

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to communicate more effectively and successfully ('strategic competence', or a combination of Searle's rules for a speech act to be successful and Grice's conversational maxims).

Since participants (the Sender and the Receiver) in this model are not considered as idealizations but as real people, their Socio-Psychological Characterization (6) as well as the Context (7) in which they interact are essential in order to explain how communication between them really occurs.

2. DESCRIPTION OF THE MODEL

2.1. Core Components

There are three core components: Sender, Receiver and Text. The other components (Competences, Socio-Psychological Characterization of participants, and Context) are conditions and determinants of the speech event as a whole.

2.1.1. Sender. It is the first component of our model. He is characterized socio-psychologically and contextually. He is in charge of the illocution which has some illocutionary force (communicative intention). It is assumed that intentionality is always present in any communicative interaction among human beings. It should also be pointed out here that 'sender' and 'receiver' are not fixed but dynamic roles, that is to say, that participants in the communicative event may shift from 'sender' to 'receiver' once or more times during the same interaction.

2.1.2. Receiver. Like the Sender, he is characterized socio-psychologically and contextually, too. The perlocution or effect achieved by the Sender is reflected on him. Sometimes the degree of success of the speaker's intention in the communicative event may not be immediately perceived due to the fact that the action that is being referred to is to be performed in the future. This occurs, for instance, in the case of 'promises': if one of the participants says: "I promise I'll pay you back tomorrow", the immediate perlocution or effect on the listener may be an expression such as: "Sure. But don't forget", whereas the speech act will only be completely successful from the listener's point of view when sometime in the future (tomorrow) money actually be paid back.

2.1.3. Text. It can be defined as the linguistic unit of the communicative interaction. It belongs to a text typology and it is structured at the following levels accordingly: syntactic (where cohesion devices are called for: reference, connectors, substitution or lexical cohesion), semantic (where coherence devices are called for: topic sequence, temporal sequence, argument scheme; and content itself is dealt with: presupposition, inference, denotation, connotation), pragmatic (where the text is regarded as a macro-speech act (van Dijk, 1980) made up of speech acts linearly connected), stylistic (where the language variety is accounted for vertically³ (sociolects, register, jargon, formal, informal,

³ 'Vertical' language variation is to be understood as opposed to 'horizontal' variation. The two terms are used symbolically: 'vertical' is used to indicate that

etc.), and horizontally (dialects), and enunciative (where speaker's subjective attitudes towards the dictum (modality) and the use of more than one voice in the text (polyphony) are accounted for).

The text seems to be a more suitable linguistic unit of analysis than the sentence⁴, among other things, because: 1) it is a part of a communicative event that is contextualized and located in a specific time and space with real participants under real social, historical, and economic conditions, and therefore corresponds to the true nature of language that, by definition, is 'contextualized'; 2) it is not an immanent linguistic unit; its meaning is determined both by its inner structure as well as by the external factors that surround it; 3) its extension can not be established beforehand; it may be as short as a word or as long as a whole book in so far as it satisfies the participants' communicative needs.

2.2. Conditions and Determinants

2.2.1. Competences. They embody the knowledge both Sender and Receiver should possess in order to interact in a communicative event. The participants should know the rules which allow them to build grammatical sentences (grammatical competence); they should also know how these rules are put into use in a given communicative situation (communicative competence); they should be aware of the type of texts available in this language, how they are built and how they function (textual competence); finally, they should possess some strategies which they have internalized that allow them to interact readily in quite different contexts (strategic competence).

2.2.2. Socio-Psychological Characterization of participants. It corresponds to the socio-psychological factors which determine the participation of different persons in the same communicative event. Some important determining social factors are: sex, age, role, status; and some psychological ones are: motivation, attention, interest, memory. For instance, some expressions may be used if participants in the communicative event share the same age: a jargon or a special vocabulary is likely to flourish in teenagers' conversations. Likewise, the forms of address between people of different social status may vary a great deal: some may be more formal and 'cold', while others may be quite informal and 'warm'.

2.2.3. Context. This concept embodies elements of heterogeneous nature. It comprises the historical, economic and social circumstances under which participants (who belong to a specific speech community) interact in a communicative event. It also relates to the extra-linguistic

language variation occurs in an analogy to the way society is divided in different social strata considered in a vertical scale (low-middle-high), and 'horizontal' language variation evokes the way geographical variation takes place on a horizontal plane.

⁴ A comprehensive and very enlightening overview of this controversy on the text as a new unit of analysis is presented in J. Petőfi, *Text vs. Sentence. Basic Questions of Textlinguistics*, Hamburg, Helmut Buske Verlag, 1979.

reality which may be the point of reference for the text, and to the place and time of the speech event itself. Thus when sender and receiver interact with each other in a communicative event, the extra-linguistic reality serves as a point of reference to produce meaningful expressions according to some specific coordinates of time and place and under the corresponding historical, social, and economic conditions.

3. HOW THE MODEL WORKS

There is a Sender who has the intention of accomplishing a communicative goal by means of language. The Sender is characterized socially by sex and age, and by the status and role he possesses within his society. Psychologically speaking, he has some motivation and interest in conveying some information or carrying out some action by means of language. The Receiver (or receivers) is the person who is affected accordingly by the Sender's intention, and can be characterized in the same terms as the Sender.

Once the Sender has decided to send a message or some information to the Receiver in order to accomplish his communicative goal, a channel or means is selected. If the means selected is oral, the circuit of communication may be closed immediately and the Receiver (the listener) may get the message and react accordingly right away, thereby allowing the Sender (the speaker) to perceive if the desired effect has been achieved or not. On the contrary, if the means selected is not oral but written, the circuit of communication is not closed immediately and the Sender (the writer) does not know right away if he's accomplished what he intended to or not.

Both Sender and Receiver have at their disposal some competences. If there is total asymmetry with respect to the availability of similar competences of Sender and Receiver, that is, if there is less common knowledge shared (grammatical, communicative, textual, and strategic), it is very likely that the Receiver will not interpret the Sender's text according to the intention of the latter, and therefore, it will turn to be 'unhappy' (Searle, 1980). In other words, the availability of shared knowledge (competences) avoids the risk that eventually communication breaks down.

Once the Sender has selected the means for the transmission of information (oral or written), both Sender and Receiver, influenced by socio-psychological factors, activate their corresponding competences, and then the Sender proceeds to produce a text.

The Text should be produced according to the norms or rules available for the production of that type of text, taking into account the different levels at which the Text is structured. It is really astonishing to realize that every single human being has the wonderful capacity to process mentally and simultaneously that huge amount of information necessary to produce a text articulated at its different levels (syntactic, semantic, pragmatic, stylistic, and enunciative). (This sheds light on the complexity of the problems Artificial Intelligence is presently faced with.)

In order to produce the corresponding Text, the Sender has to go through a process of decision-making. At the syntactic level, the Sender decides how the Text is to be articulated by means of the cohesion derives (references, connectors, substitution) according to the corresponding text-type. At the semantic level, he has to deal with two aspects: the coherence devices (topic sequence, temporal sequence, and argument scheme) and the content-related elements (presupposition, inference, denotation, and connotation) which assure that the text is coherent and understandable. At the pragmatic level, he decides which is the most adequate sequence of speech events in order to accomplish his communicative goal. At the stylistic level, he chooses the most appropriate lexis to be used in the text (formal, informal, jargon, etc.). Finally, at the enunciative level, he has to decide⁵ whether or not to use a subjectively marked language (modality) (Lozano, 1986), and more than one voice (polyphony) according to the text-type.

4. APPLICATION OF THE MODEL OF ANALYSIS

4.1. Text

A STICKY PROBLEM

Dog owners should take steps to protect their companions from eye, ear, nose, and skin damage caused by bristly, sticky fall weeds.

"Animals are one of nature's ways of transporting seeds from place to place", said Dr. Jean Dawson, a weed specialist and president of the Weed Science Society of America. "Unfortunately, the seeds sometimes get into the wrong places. The problem with dogs' ears is a classic example".

The trouble starts when sticky seeds of common weeds, such as cocklebur, sandbur, bristly foxtail, wild oats, downey brome and cheatgrass, cling to a dog's fur. When the dog shakes and scratches its head, these seeds can work their way into a dog's ear canal. Once in the ear canal, these seeds can cause costly and chronic disorders, including a ruptured ear drum.

"It happens every year", said James Wilson, D. M. V., a nationally recognized canine ear specialist. "Summer weeds go to seed, and shortly thereafter dogs start showing serious ear disorders.

"Outside of keeping your dog inside all summer, or keeping it out of fields, woods and other weedy areas, there isn't much pet owners can do to prevent these problems from occurring", he added.

An annual autumn ear examination by your dog's veterinarian can look for problems caused by foxtails, as well as ear mites, wax plugs, hair plugs, and other potential sources of infection.

Check your dog's ears, eyes, nose and haircoat each time it runs through tall grass. If you find any foxtails or other sticky weed seeds on your dog's coat,

⁵ The Sender's decision to 'appear' explicitly in the text depends not only on his willingness to do so, but mainly on the prevailing 'norm of use'. Therefore, it should be acknowledged that each text-type has a set of 'norms of use' that is in effect and that has been established conventionally by a speech community under specific circumstances, and that is prone to change accordingly. One such norm, for instance, is the tendency that exists in the scientific text-type for the author not to be subjectively marked in it.

remove them immediately. If you discover that your dog has a foxtail in its eye, ear or nose, contact your veterinarian immediately. He or she can advise you how to remove the foxtail safely.

Julie Rach

4.2. Analysis and Interpretation

The Sender (the writer) of the text "A Sticky Problem" is Julie Rach, Associate Editor of the **Dogfancy** magazine. The text is addressed to all the people subscribed to the magazine as well as any casual reader (the readers). The writer's intention may be traced to the first and last paragraphs of the text, which read: "Dog owners should take steps to protect their companions from eye... damage caused by... sticky fall weeds", and "Check your dog's ears... if you find any foxtails... contact your veterinarian. He or she can advise you how to remove the foxtail safely". From the above quotations we can infer that the author's intention is to persuade or convince dog owners to check their dogs' coat for foxtails or other weeds which may cause serious disorders.

From the shift in the form of address in the first paragraph ("Dog owners"— not directly and explicitly addressed to the reader) and the last paragraph ("Check your dog's ears"— directly and explicitly addressed to the reader), we can infer that the writer is really interested in conveying that information, and in making her readers act ("check...") in order to avoid the "serious disorders". The writer counts on the reader's motivation to act, or to do something about that weed problem, because she may presuppose that if the reader subscribed to the magazine it is because he is truly interested in dog's beauty and care.

As the means used by the Sender in order to transmit her message is a written one, she may not know immediately if what she has suggested in her text is going to be taken into consideration by readers the next time they see their dogs "run through tall grass". However, it is possible for the writer to verify if her text has achieved the purpose it aimed at if sometime in the future a reader writes her a letter in order to thank her for her advice or even if the reader tells a story about how careless he was to allow his dog to run in tall grass and get a chronic disorder.

How effectively this goal is achieved depends, to some extent, on the role played by Sender and Receiver in the communicative event. In this case, the Sender is perceived as a journalist and the reader as an average dog owner. However, because of the form of address used by the journalist in the last paragraph, the tone of the text corresponds to that of a friend giving an advice to another friend. This is a positive aspect which enhances the reader's perception of the writer, not as an expert but as a friend, which may, in turn, lead him to action.

Both writer and reader share some knowledge (competences). The writer is supposed to write her text according to English grammar rules. The reader, on the other hand, is supposed to understand a text written according to English grammar rules. Notice, however, that the opposite does not necessarily apply for the reader's case. He may well read a text like this, but it doesn't imply he's able to write a similar text. Later, when we analyze the text itself, we'll see how the other

competences have been activated by writer and reader. For the time being, it suffices to say that the writer's goal may be achieved if, among other things, the reader is able to recognize the text's purpose as being an advice or a persuasion.

After having established the writer's purpose to persuade or convince dog owners to check their dogs' coat for foxtails or other weeds which may cause serious disorders, we can move on to the analysis and interpretation of the text she has produced.

The text was produced within a specific context. It was published in the **Dogfancy** magazine, volume 20, number 9, of September 1989, in Canada. The speech community to which it is intended is the dog owners community which is subscribed to the magazine.

The text belongs to the type of text we may call: 'informative, scientific non-specialized', taking into account: 1. its purpose, 2. its context: the place where it was published, and 3. its addressee. It is informative, because its main purpose is to transmit some useful information which may help dog owners to protect their dogs against sticky weeds. It is scientific non-specialized above all because it is not published in a scientific magazine and it is not addressed to the scientific community (in this case, veterinarians).

The text has been structured in seven paragraphs. Syntactically speaking, it has been articulated by using the following cohesion devices. References: paragraph 1. **their** (dog owners); paragraph 2. **shakes and scratches its head** (the dog), **their** (seeds); paragraph 4. **shortly thereafter** (summer); paragraph 5. **keeping it out** (dog); paragraph 7. **each time it runs** (dog), **its** (dog), **he or she** (veterinarian). Connectors: paragraph 2. **unfortunately**; paragraph 3. **such as, once**; paragraph 5. **outside**; paragraph 6. **as well as**; paragraph 7. **if**. Substitution: paragraph 1. **companions** (dogs); paragraph 5. **pet owners** (dog owners); paragraph 7. **dog's coat** (dog's fur).

At the semantic level, the text has been structured as follows. These coherence devices have been used: Topic sequence: paragraph 1. **protect companions from ... damage ... by weeds**; paragraph 2. **seeds get into the wrong places ... dog's ear a classic example**; paragraph 3. **sticky seeds ... cling to dog's fur ... work their way into dog's ear canal**; paragraph 4. **weeds go to seeds ... dogs start showing serious ear disorders**; paragraph 5. **there isn't much owners can do to prevent these problems**; paragraph 6. **an annual ear examination ... can look for problems**; paragraph 7. **check your dog's ear ... if ... dog has sticky weed seeds ... remove them**. Temporal sequence: paragraph 3. **when** the dog shakes ... weeds can work their way into a dog's ear canal. **Once** in the ear canal ... can cause costly chronic disorders; paragraph 4. **Summer** weeds go to seed, and **shortly thereafter** dogs start showing serious ear disorders; paragraph 6. **an annual autumn** ear examination ... can look for problems; paragraph 7. **each time** it runs.

As far as the argument sequence is concerned, we can say that the following conditional proposition underlies the text: **if** dog owners don't take steps to protect companions from eye, ear, nose, and skin damage by bristly, sticky fall weeds, **then** these seeds can cause costly and chronic disorders, including a ruptured ear drum. Based on the previous proposition, two additional propositions are mentioned explicitly in

the last paragraph: **if** you find any foxtails or other sticky weed seeds on your dog's coat, **then** remove them immediately; **if** you discover that your dog has a foxtail in its eye, ear, or nose, **then** contact your veterinarian immediately.

With regard to the semantic contents, the following aspects are taken into account. The writer presupposes that a text like this may be more convincing if authorities are quoted: paragraph 2. **said Dr. Jean Dawson, a weed specialist and president of the Weed Science Society of America**; paragraph 4. **said James Wilson, D. M. V., a nationally recognized canine ear specialist**. He also presupposes that the reader is acquainted with the terminology she uses in the text, and therefore it is possible for her to persuade him to protect his dog from eye, ear, nose, and skin damage caused by bristly, sticky fall weeds.

On the other hand, the text is based on the presupposition that the writer believes that dog owners do care for their dogs and it is important to provide them with relevant information as to what to do to prevent fall weeds from clinging to the dog's fur and causing costly and chronic ear disorders.

Concerning denotation and connotation, most lexical items in the text have been used with their denotative meaning. Connotational meaning has been used just in a few cases. Paragraph 1. companions (dogs); paragraph 3. work their way into (go into/enter into); paragraph 4. weeds go to seed (transform/become).

Pragmatically speaking, three speech acts can be identified in this text. The first speech act is an advice the writer is giving to the dog owner community in general: (paragraph 1) "Dog owners should take steps to protect their companions"; the second speech act is a constative in which facts about weeds and their problems are stated: (paragraphs 2, 3, 4, 5, 6) "Seeds sometimes get into the wrong place", "the trouble starts...", "Summer weeds go to seeds...", "do to prevent these problems", "problems caused by..."; the third speech act is an advice given directly to the reader (a dog owner) by the writer: (paragraph 7) "Check your dog's ears, eyes, nose, and haircut...".

From the stylistic point of view, the text has been written by using some technical lexis which belong to the botanical and medical veterinary technolect (technical jargon): cocklebur, sandbur, bristly foxtail, wild oats, downey brome, cheatgrass; dog's ear canal, chronic disorders, ruptured ear drum, ear mites, wax plugs.

Finally, concerning the enunciative level of this text we can say that the language used by the writer is not subjectively marked. On the other hand, polyphony has been used by the writer. The writer's voice is used in the first paragraph. In the second paragraph there is a shift and the writer allows an authority to give his opinion about the topic discussed and the authority's quotation is introduced. In the third paragraph the writer's voice continues the presentation of facts; in the fourth and fifth paragraphs, another authority is quoted, and in the last two paragraphs the writer's voice is in charge of the presentation of facts. The use of this dynamic enunciative structure (writer's voice/ authority's voice / writer's voice) contributes to create the feeling that the text will not be monotonous for the reader, and that its contents are supported properly.

5. CONCLUSION

The model of analysis proposed proved to be useful for the analysis and interpretation of the written text "A Sticky Problem".

Some aspects of the application of the model call for a comment. It is important to bear in mind that in order to trace a sender's intention or purpose when producing a text we have to go to the text itself and read for hints about it. The Sender's intention may be directly and explicitly expressed or it may be inferred from the words and expressions he uses, as it occurred in the text we analyzed.

Perhaps the most troublesome aspect of the model and its application is to determine a text typology which enables us to assign, recognize, or identify a text as pertaining to a given type of text. Much of our understanding and interpretation of the structure and articulation (at the different levels: syntactic, semantic, pragmatic, stylistic, and enunciative) of the text under study depends on the possibility to recognize its place in a text typology.

In the application of the model we labeled the text studied as informative, scientific non-specialized, according to the classification proposed by P. Newmark (1988). He based his proposal on the three main functions of language according to K. Bühler: expressive, informative, and vocative. Therefore, there are 'expressive' text-types (lyrical poetry, short stories, political speeches, etc.) in which the speaker, the writer, uses the utterance to express his feelings irrespective of any response; informative text-types (textbook, technical report, article in a newspaper or a periodical, a scientific paper, a thesis, etc.), in which the core of this function of language is focused on the external situation, the facts of a topic, the reality outside language, including reported ideas or theories; vocative text-types (notices, propaganda, instructions, publicity, etc.), where the core of this function of language is the readership, the addressee.

Newmark's text typology is functional and I think this kind of typology is useful and adequate to analyze and interpret a text as a communicative event, because it is based on how language is used, and therefore may help to clarify how texts are produced and interpreted. I advocate for this kind of typology, instead of a typology which only focuses on the text itself and does not take into account its embedment in a speech event (for instance, Beaugrande and Dressler's text classification (1981) as: descriptive, narrative, and argumentative).

I would like to present here some final remarks on the model itself and its usefulness. This model is tentative and, therefore, is open to further modifications. Only through its application for the analysis and interpretation of other text-types would their limitations and advantages be evident. Thus more applied research in this direction is called for.

The model proposed has a very wide scope. It is intended to be useful for the analysis and interpretation of any text, regardless of the channel used for its production: oral or written. According to the state of the art in the field of research on textlinguistics, pragmalinguistics, and other related disciplines, the purpose of this model may seem too

ambitious, as it implies the power to deal with any text embedded in a text typology, that is, from the literary text to the scientific text, and any other type that may appear in between. I agree: it is ambitious. But I think that it is necessary to start working in this direction if we want the model to be powerful enough to account for any text-type we may encounter; otherwise its usefulness will be reduced dramatically.

When we say that the model is dynamic, it means that whenever somebody attempts to understand how it works, it is possible to perceive at once what the components of the model are, how they are related to each other, and the direction of the flow of information from the Sender to the Receiver. This is an intrinsic characteristic of the model which is clearly related to its potential user.

The components of the model have been numbered in order to show a sequence of steps which attempts to indicate how they are constantly interacting with each other. The fact that no component has been left isolated from the rest points out that all components are interwoven.

Any attempt to deal with texts as communicative events runs the risk of oversimplification. The model we present is complex (which does not mean it is unintelligible), because so are texts and so is language itself, and it is the model's limitations which we should try to overcome by enhancing and modifying it, instead of thinking, quite naively, that language itself or texts are not so complex. As E. Coseriu (1978: 15), clearly stated: "los aparentes conflictos entre la razón y la realidad son siempre conflictos de la razón consigo misma, pues no es la realidad la que debe adecuarse al intelecto, sino viceversa".

This model is not a once-and-for-all finished version. It is open to the modifications that may be compulsory in order to keep up with the latest developments in research on the complex reality of this field of study. We expect to move forward in this direction.

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