

COVERT PRAGMATIC TRANSFER:
INTERCULTURAL PRAGMATICS AMONG KOREAN
LEARNERS OF ENGLISH AS A SECOND LANGUAGE

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Abstract: The present study centers on cross-cultural interlanguage pragmatics. It aims to investigate the nature and conditions of pragmatic transfer among Korean learners of English as a second language. This study examines the speech act of responding to compliments in American English and Korean focusing on pragmatic transfer. A newly designed methodology, the Conversational role-play was used to elicit spontaneous and authentic compliment responses from three groups of participants: native speakers of American English, native speakers of Korean, and Korean learners of English as a second language. A background questionnaire and a retrospective interview were additionally administered to triangulate the data. The findings show no clear evidence of negative pragmatic transfer despite the marked difference between the compliment response patterns of two targeting languages. However, an interesting and distinctive usage of combination strategies was identified among Korean ESL learners, which suggested a new standpoint of pragmatic transfer. With the covertly transferred Korean cultural norms, Korean ESL learners made a successful attempt to demonstrate the culturally and linguistically appropriate compliment response in their target language interactions and not to disobey their native cultural norms. This new angle was named as '*Covert pragmatic transfer*'. Moreover, the retrospective interviews revealed several influential factors that affect the occurrence of pragmatic transfer, such as target language proficiency, exposure to target language input, and consciousness of the speech act. Finally, on the basis of the conditions of pragmatic transfer identified, some important pedagogical implications regarding teaching pragmatics in language classrooms are also discussed.

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CHAPTER I

INTRODUCTION

A great deal of research in sociolinguistics and the ethnography of communication has revealed and emphasized that merely mastering linguistic competence in the target language is not sufficient in order to achieve native-like competence; rather, language learners must understand and attain appropriate language rules and the ways of speaking in a given social context in order to master the target language (Canale & Swain, 1980; Gumperz, 1982; Hymes, 1972; Trosborg, 1987; Wolfson, 1983). Being aware of socially and culturally specific language functions in different languages is important. For fulfilling this aspect, it is crucial to acknowledge the differences between one's native culture and the target language culture as well as the two languages.

Speech acts have been recognized as acting as a mirror showing cultural values of a particular community. A number of studies on speech acts have revealed that there is variability across cultures regarding sociolinguistic norms and behavior patterns. People often experience communication breakdowns or miscommunication when they communicate across linguistic and cultural boundaries. This problem becomes more evident with second or foreign language learners since it is particularly difficult for second language learners to figure out what would be appropriate to say even though they have developed a certain level of proficiency in a target language. Moreover, they often carry over their native language forms and cultural norms in their target language performance. This difficulty could be more problematic when the language learners have higher proficiency; their native speaking interlocutors expect them to demonstrate appropriate sociolinguistic competence in conversations.

Accordingly, this type of sociolinguistic error is highly misleading and may cause more unintended pragmatic problems as compared with linguistic errors. The sociocultural and pragmatic errors and misunderstandings shed light on the importance of studying pragmatic transfer. Accordingly, the present study focuses on the nature of pragmatic transfer that non-native speakers display in a particular speech act performance.

Among a variety of different speech acts, compliment responses have been considered by a number of researchers as a suitable speech act to examine contrastive pragmatics across cultures (Lorenzo-Dus, 2001; Wolfson, 1981). Pomerantz (1978) conducted the pioneering study on compliment responses in which she claimed two conflicting maxims of speech behavior when responding to compliments: “agree with the speaker” and “avoid self-praise”. According to Pomerantz, a variety of strategies are employed to solve this conflict such as downgrade or return. On the basis of her groundbreaking work, several scholars have attempted to provide quantitative evidence of different types of compliment responses (Herbert, 1986; Holmes, 1986; Wolfson, 1983, etc.). Holmes (1986) identified different types of compliment responses based on her study of compliment exchanges in New Zealand English and her study indicated the most frequently occurring response type was the Accept strategy and many other studies have confirmed this finding in the study of English varieties, as in Knapp, Hopper, and Bell’s (1984) and Herbert’s (1989) with American English, and Herbert’s (1986) with British English, among many.

It is also interesting to see the different patterns that compliment responses show across cultures. Many researchers have examined these cross-cultural variations in compliment responses between English and a variety of languages. Lorenzo-Dus (2001) conducted a contrastive study on compliment responses between British and Spanish university students. Focusing on politeness, she found some interesting differences and similarities in cross-cultural and cross-gender perspectives and emphasized the essentiality of more research on speech acts across cultures. Along the same line, a great deal of research has been conducted on non-western languages. Chen (1993) studied compliment responses between Chinese learners of English and native speakers of American English

and his findings indicated significant differences between the two groups. He found that Chinese speakers are more likely to reject compliments and use more self-praise avoidance strategies whereas English speakers tend to accept compliments. Cheng (2003) and Tang and Zhang (2009) also examined the variations in responding to compliments between different varieties of Chinese and American English. These studies have provided some interesting differences based on different socio-cultural norms between two speech communities. In addition to the studies focusing on Chinese and politeness, there have been some more empirical studies on other Asian languages including Daikuhara (1986) with Japanese and Jeon (1996) with Korean.

Even though a number of studies on compliment responses have been conducted from cross-cultural perspectives, Korean is one of the languages that have been understudied insofar as this particular speech act is concerned. Furthermore, compared to the abundant amount of research in intercultural pragmatics, pragmatic transfer, especially within the framework of compliment responses, has been relatively less documented. Thus, the present study aims to examine the contrastive pragmatics between Korean and American English in the speech act of compliment responses and the nature and conditions of pragmatic transfer.

The present study is organized into five chapters. Following this introduction, Chapter 2 will introduce the theoretical concepts and frameworks that this study is grounded on and provide an overview of previous approaches to pragmatic transfer in interlanguage pragmatics research and the study of compliment responses. It will also provide the necessary background for the study, focusing on the methodologies employed to collect speech act performances and the categorizations of compliment responses.

Chapter 3 will introduce the research questions of the present study and provide the information in detail about the procedures and instruments used for data collection and analysis of this study.

Chapter 4 will present the results of this study in terms of compliment response patterns in both Korean and American English and the nature and conditions of pragmatic transfer.

Chapter 5 will provide the overall conclusions of this research. A summary of major findings will be provided along with a discussion of the implications and applications of this study. Finally, limitations and suggestions for future research will also be discussed.

CHAPTER II

REVIEW OF LITERATURE

This chapter provides a review of important theoretical background regarding cross-cultural communication and pragmatic transfer. With this research focus, the notion of pragmatics, communicative competence and other related theories, transfer, cross-cultural interaction, and interlanguage pragmatics will be discussed in order to provide the theoretical underpinning of the study. Then, the chapter will present an overview of approaches to the study of compliment responses, pragmatic transfer, and important methodological issues in cross-cultural interlanguage pragmatics research.

2.1. Pragmatics

2.1.1. Definitions

Pragmatics is the branch of linguistics which examines language use in communication and the relationship between speakers' intentions and the particular context in which the utterances occur. This research paradigm initially sprouted as a reaction to Chomsky's view on language. Chomsky's (1965) theory of competence looked at language use as an abstract construct and grammar as a cardinal component in mastering a language independently from the actual language functions. As opposed to this view and with the growing importance of meaning in language use, not in the abstract form, a shift of research direction within linguistics has been aroused by a number of scholars over the last few decades (Crystal, 1997; Leech, 1983; Levinson, 1983; Mey, 1993; Thomas, 1995, among many others). This shift attempts to elucidate how

meanings that are “derived only by going beyond the literal interpretation of signals” (LoCastro, 2003, p.4) are created and understood in communication. A definition of pragmatics has been attempted by a number of scholars, including Levinson (1983), Thomas (1995), Yule (1996), Mey (2001), and Crystal (1997) among others. Levinson (1983) viewed language as a means of communication and emphasized performance and communicative competence in learning a target language. According to Thomas (1995), pragmatics examines the process of meaning-making between interlocutors with consideration of context. The aforementioned definitions are in accordance with Yule’s (1996) and Mey’s (2001) explanation of pragmatics. Yule (1996) viewed pragmatics as “the study of contextual meaning communicated by a speaker or a writer, and interpreted by a listener or a reader” (p. 3). Similarly, Mey (2001) explained that pragmatics examines language use for interaction and defined pragmatics as “the societally necessary and consciously interactive dimension of the study of language” (p. 315). All these perspectives have revealed two important characteristics of pragmatics that can differentiate it from other linguistic disciplines: great emphasis on language users and the context in which the users interact (Martinez-Flor & Uso-Juan, 2010). Pragmatics differs from semantics that focuses on the meaning which is drawn mainly from linguistic knowledge (Peccei, 1999). In other words, there has been a consensus that pragmatics is the study of meaning in context. Since meaning is dynamic and constantly negotiable during the process of communication, one of the most elaborated definitions of pragmatics was proposed by Crystal (1997), who explained pragmatics as:

The study of language from the point of view of users, especially of the choices they make, the constraints they encounter in using language in social interaction and the effects their use of language has on other participants in the act of communication (p. 301)

This definition puts a high emphasis on interaction, in addition to users and context which have been the central foci in pragmatics in general, and highlights what the speaker intends to convey during the communication process as well as how this speaker's intention affects the hearer.

Although pragmatics has been defined in various ways by a number of scholars, its core still remains the same; that is, the study of language use in interactions and its appropriateness according to the given context. Pragmatics, in general, involves the concepts such as speaker/hearer, interaction, context, and/or communication; however, this area of research also includes some variations with different theoretical and methodological approaches depending on various aspects of human communication (Martinez-Flor & Uso-Juan, 2010). Along the same line, Leech (1983) and Thomas (1983) made a distinction between general pragmatics and two subareas: pragmalinguistics and sociopragmatics. According to Leech (1983), general pragmatics is "the study of linguistic communication in terms of conversational principles" (pp. 10-11) and more specified local conditions during interaction determine pragmalinguistics and sociopragmatics.

2.1.2. Pragmalinguistics and Sociopragmatics

Leech (1983) made a distinction between pragmalinguistics and sociopragmatics. Pragmalinguistics refers to the grammatical aspect of pragmatics and is defined as "the particular resources which a given language provides for conveying particular illocutions" (Leech, 1983, p. 11). Such resources embrace various strategies and linguistic forms that allow interlocutors to perform communicative acts; for instance, directness and indirectness strategies, pragmatic routines, various modification devices are utilized in order to intensify or soften a particular communicative act. In other words, pragmalinguistics includes the knowledge of conventions of means and forms (Tran, 2003). It examines how interlocutors realize the illocutions of communicative acts and what types of linguistic items are used to express those particular illocutions.

On the other hand, sociopragmatics is viewed as “the sociological interface of pragmatics” (Leech, 1983, p.10). It highlights how social structure affects linguistic actions. It deals with the effects of the social factors, including power status, social distance between interlocutors, and degree of imposition of a certain communicative action. Basically, it refers to interlocutors’ interpretation of various social factors regarding appropriate social behaviors; that is, the knowledge of what to do, when, and to whom. Interestingly and more importantly, many studies have proven cross-cultural variability on this aspect (Bergman & Kasper, 1993; Blum-Kulka & House, 1989; Olshtain, 1989; Takahashi & Beebe, 1993). It provides an important pedagogical implication for ESL learners since their pragmatic choices could leave unexpected consequences in communication.

These two components of pragmatics are particularly relevant to L2 teaching and learning. Since language learners are constantly challenged with the need to use appropriate speech acts to a target language in order to avoid miscommunication and misunderstanding, these different aspects of pragmatics have gained a great importance (Cohen, 2005). Consequently, speech acts have been one of the most extensively examined features in pragmatics research (Bardovi-Harlig, 2002).

2.1.3 Speech Act Theory

One of the most noticeable notions in pragmatics is that of speech acts. The majority of the studies on pragmatics have been conducted within the theoretical framework of the speech act theory. Historically, the studies on speech acts originated in the philosophy of language. The first well-known study on speech acts was conducted by Austin (1962, 1975) and later complemented by Searle (1969, 1976). Austin (1962) provided the basic insights to examine how meaning and action are related to language based on his famous assumption that minimal units of human communication are not merely linguistic expressions, but the performance of certain kinds of acts. He proposed that “the issuing of the utterance is the performing of an action” (Austin, 1975, p.6). Based on this performative hypothesis, he claimed three dimensions of acts characterizing

the relationship to an utterance: the locutionary act, the illocutionary act, and the perlocutionary act. The locutionary act refers to the propositional meaning of an utterance conveying the basic literal meaning. For example, the utterance “*I am cold*” is a statement that the speaker is experiencing cold. The illocutionary act is the force or intention that a speaker gives to what is said, that is, the locutionary act. The above utterance, “*I am cold*”, may simply be a statement indicating the speaker’s physical state, but it may also intend to request for a certain action, closing the door/window. In saying this utterance, the speaker is performing the illocutionary act/force either explicitly or implicitly. Finally, the perlocutionary act is generating certain effects on the hearer by means of uttering the sentence. It implies what is actually done by saying something, that is, the effect of illocution on the hearer. In this specific example, “*I am cold*”, the speaker may force the hearer to close the door/window.

Austin (1962) focused more on the second type of speech acts and further developed a taxonomy of five categories of illocutionary acts: *verdictives*, which involves the act of giving a verdict or judgment, *exercitives*, which expresses the powers and rights, *commissives*, which refers to the act that entails commitment, obligation, or undertaking, *behavitives*, which relates to social behavior or reaction, such as apologizing, refusing, thanking, and the like, and *expositives*, which addresses the clarification of reasons and arguments (pp. 150-163).

On the basis of this taxonomy, Searle (1975) refined the notion of speech acts. He pointed out six difficulties with Austin’s classification of performative verbs and proposed a new classification focusing on the illocutionary purpose of the act from the speaker’s perspective. This taxonomy includes five categories: *Representatives*, which refers to linguistic acts believed by the speaker to be true or false, *directives*, which includes the acts in which the speaker directs the hearer to perform a certain action, *commissives*, which refers to the acts in which the speaker expresses a commitment, *expressives*, which involves the acts that illustrate the psychological state of the speaker, and *declarations*, which includes the acts that bring about the correspondence between propositional content and reality (Searle, 1976, pp. 1-16).

Although Austin's and Searle's pioneering work on speech acts has established a firm theoretical background and had tremendous influence on pragmatic theory, their work has also encountered strong criticism. Geis (1995) claimed that their work was based on researchers' intuition, focusing principally on the isolated sentences from the context. There was an assumption that speech act and performative verbs correspond exactly (Marquez-Reiter, 2000). Consequently, many scholars have attempted to devise a taxonomy of speech acts that would be generally accepted on the basis of communicative approaches. The main argument was that the complex interactions between interlocutors are not taken into consideration (Blum-Kulka, 1982; Richards & Schmidt, 1983). In this regard, Trosborg (1995) and Thomas (1995) argued that speech acts involve communicative functions, not merely the formal system of language. Leech (1983) also emphasized meaning and functional aspects of speech acts. In line with them, Thomas (1995) claimed that speech acts are influenced by functional, psychological, and affective factors.

Another important aspect of the speech act theory is the distinction between direct and indirect speech acts. Searle (1979) argued that a certain illocutionary act can be "performed indirectly by way of performing another" (p. 31) and named it as an indirect speech act, as opposed to a direct speech act. In an indirect speech act, the content of the utterance is not the same as the intention of the speaker. The speaker communicates to the hearer more than what is actually said and the hearer's ability to understand this indirect speech act is based on the "mutually shared factual background information of the speaker and hearer, together with an ability on the part of the hearer to make inferences" (Searle, 1975, p. 61.). Holtgraves (1986) further developed this concept and claimed that indirect speech acts not only have a certain illocutionary act to express another, but involve multiple meanings. In this respect, the hearer's ability to recognize and understand the intended meanings becomes more salient. According to Clark and Schunk (1980), in order to understand how interlocutors process indirect speech acts, it is important to consider various factors beyond the conventions of form, such as the conventions of meaning, speaker's intended goal, politeness, culture, etc. Directness and the intended meaning

is culturally determined and situationally dependent. The existence of indirect speech acts is universal but the language norms employed in speech acts vary across cultures. Accordingly, performing and/or processing speech acts in the target culture based on the native sociocultural norms may lead to misunderstanding and communication breakdown (Gumperz, 1978; Kasper 1998; Trogsgborg, 1995). The concept of directness is closely allied to the notion of politeness strategies and face-threatening acts which will be discussed in the following section.

2.1.4. Politeness Theory

Another essential concept in pragmatics is politeness. Politeness theories attempt to explain how people across cultures view, establish, and maintain social relations through language. Fraser (1990) identified four approaches to politeness including the social-norm view, the conversational contract view, the conversational maxim view, and the face-saving view. The social-norm view sees politeness as common sense, a socially acceptable behavior which involves no taboo topics and a reasonable degree of formality. In the conversational contract view, Fraser claimed that politeness is an integral part of each conversation which allows speakers to negotiate their rights and obligations in terms of conventions, social institutions, or previous encounters. The last two viewpoints including the conversational maxim view and the face-saving view have been more intensively examined and accordingly had more impact on pragmatics.

Grice's (1975) cooperative principle which includes quality, quantity, relevance, and manner is the central ground to the conversational maxim view. This point of view begins with the fact that speakers follow a certain set of maxims in order to pursue their conversational goals. However, they often disobey these rules for various reasons, one of which is to be polite. In this line, Leech (1983) postulated the politeness principle claiming that speakers attempt to find a way to maximize benefits to hearers in order to be polite.

The most well-known politeness theory is the face-saving view by Brown and Levinson (1978, 1987). On the basis of the concept of 'face' proposed by Goffman (1967), Brown and

Levinson (1987) claimed that all members of a society have a tendency to keep a certain image of themselves, namely 'face'. They further made a distinction between negative face and positive face. Negative face refers to one's desire that no one impedes his or her actions whereas positive face represents the desire to be approved of and desirable to others. It would be ideal if speakers could always respect hearers' face wants; however, certain speech acts during communication often infringe on hearer's face, such as requesting, complaining, and many more. Compliments, which could be considered to hardly threaten anyone's face, can potentially be a negative face-threatening act on the ground that they create what may draw unwelcome attention on the hearer. Giving a compliment does not always function to establish solidarity or to strengthen affection between interlocutors (Coates, 1998). Accordingly, compliment responses may also boost or threaten the face of the compliment giver depending on the context, cultural norms, etc.

Brown and Levinson identified such speech acts as face threatening acts (FTAs) and politeness as "redressive action" (p. 25). Focusing on reducing threats to the hearer's face, they further postulated that "in the context of the mutual vulnerability of face, any rational agent will seek to avoid these face-threatening acts, or will employ certain strategies to minimize the threat" (p. 68).

According to Brown and Levinson, positive or negative politeness strategies can be employed as redressive action to mitigate any face-threat that a linguistic act might pose for the interlocutor. Since positive politeness is oriented to the hearer's positive politeness face and negative politeness to the hearer's negative face, positive politeness strategies alleviate face threats to the hearer's positive face whereas negative politeness strategies protect the hearer's negative face. They further claimed that speakers determine the seriousness of an FTA in terms of three independent and culturally sensitive variables including social distance (D), social power (P), and the degree of imposition inherent in a given act (R). When being faced with FTAs, speakers determine the level of indirectness in the realization of FTAs; then, they select possible strategies to deal with them.

Although this politeness theory by Brown and Levinson has been extensively adopted in cross-cultural and interlanguage pragmatics research, it has received a strong criticism mainly for universality of the notion of face and not being able to elucidate politeness in non-western cultures (Gu, 1990; Ide, 1989; Kasper, 1990; Matsumoto, 1988; Wierzbicka, 1985; Yu, 1999). Matsumoto (1988), Ide (1989), and Gu (1990), on the basis of their studies on Japanese and Chinese, argued that the notion of face is culture specific. According to Matsumoto (1988) and Ide (1989), the Japanese do not define themselves as individuals; rather, they emphasize a group membership as the basis for interaction. Thus, the roles or social status in a particular situation, not face, is highly important for interaction. In a similar vein, Gu (1990) also claimed, with reference to Chinese culture, that politeness is more appropriately considered as obedience to social norms rather than attending to individual's face wants. These studies have shown that while both positive and negative politeness strategies may be present across cultures, the perception, recognition, or preference toward them varies culturally.

Moreover, Wierzbicka (1985) challenged Brown and Levinson's claim on the universality of politeness. She contended that universality in politeness is built solely on ethnocentric Anglo-Saxon claims and is not applicable to other cultures. In line with this criticism, Kasper (1990) argued, based on the evaluation of current theories on politeness, that Brown and Levinson's view is over-simplistic. What is considered to be polite in one culture may not be considered so in another. For example, Yu (1990) found out, linking with her work on Chinese compliment responses, that "routinized denials" (p. 4) are preferred rather than appreciation tokens which are considered to be polite from this point of view. In addition to this cultural variation, Fraser (1990) explained that politeness can also be contextually determined.

A great deal of argument and criticism suggest that more than one model exists to account for politeness and its linguistic encoding. Another intriguing point which can be drawn is the relationship between indirectness and politeness. An indirect speech act, rather than a direct one, might be chosen in order to be more polite. Leech (1983) identified this as the metalinguistic

use of politeness in speech acts. The relationship between politeness and speech acts is parallel to the one between direct and indirect speech. As discussed earlier regarding directness, appraising politeness of a certain speech act is highly culture specific and context sensitive.

As shown above, approaches to examine speech acts have varied. However, the fundamental question seems to remain common; that is, how do speakers produce and interpret speech acts? This question becomes more complicated in dealing with interlocutors speaking in a second language in cross-cultural situations. In such cases, cultural differences and language transfer should be taken into consideration.

2.2. Interlanguage Pragmatics

2.2.1. Interlanguage

Interlanguage is “language-learner language” (Ellis, 1985, p. 45). It refers to the knowledge system of language which individual language learners develop at any stage of the learning process. As the term implies, interlanguage does not belong to either learners’ L1 or L2 system. According to Larsen-Freeman and Long (1994), it involves the continuum between L1 and L2 along which language learners navigate.

The notion of interlanguage has become fundamental in second language research. The major aim of interlanguage studies is to explain language components and developmental features of interlanguage and also to elucidate the underlying processes in language learning through learners’ performance. An early stage of this research centered on Chomskyan linguistics and typically examined learners’ linguistic competence in terms of phonology, morphology, syntax, and semantics. However, the advent of Hymes’ (1972) notion of communicative competence stimulated a different direction of second language research. Further, Widdowson’s (1978) and Canale and Swain’s (1980) expanded adaptation of this concept had raised the awareness of the importance of learning how to use linguistic forms appropriately. This notion put an emphasis on the sociocultural knowledge in language use and the development of this type of knowledge in

language learning and teaching. On the basis of communicative competence, second language researchers' attention was redirected to pragmatics and the discourse of learners' second language beyond grammatical aspects of it (Blum-Kulka, House, & Kasper, 1989). This extended research focus has been known as interlanguage pragmatics, which will be further explained in the following section.

2.2.2. Interlanguage Pragmatics

A variety of definitions on interlanguage pragmatics have been proposed: “nonnative speakers' comprehension and production of speech acts, and how their L2-related speech acts knowledge is acquired” (Kasper & Dahl, 1991, p. 216); “the performance and acquisition of speech acts by L2 learners” (Ellis, 1994, p.159); “the study of nonnative speakers' use and acquisition of L2 pragmatic knowledge (Kasper, 1995, p, 145). As shown in the term itself and these definitions, interlanguage pragmatics is the combination of second language acquisition and pragmatics. The major domains of interlanguage pragmatics are pragmatic comprehension, production, and pragmatic transfer. A great deal of research has dealt with what constitutes such competence and how it should be developed in a social setting through the studies of interlanguage speech acts. The main focus of this research was about how non-native speakers realize a certain speech act in a given social setting and to what extent they differ from native speakers in performing that speech act (Kasper & Rose, 2002). Among these, pragmatic transfer, especially negative transfer, was the most widely recognized research focus (Beebe et al., 1990; Blum-Kulka, 1991; Liu, 1995; Takahashi & Beebe, 1993).

2.2.3. Language Transfer

Language transfer has been one of the most important characteristics of interlanguage in second language research. This notion originated in the behaviorist theory which defined transfer as “the effect of a preceding activity upon the learning of a given task” (Osgood, 1953, p. 520). In second language acquisition research, the notion of transfer has been linked with the role of learners' native language in learning a target language; accordingly, it has been referred to as

language transfer. Starting with Lado (1957) and Weinreich (1953) who conducted pioneering work on language transfer, many scholars have attempted to define this term. Lado (1957) defined it as “the distribution of forms and meanings of their native language and culture to the foreign language and culture” (p. 2). Kellerman and Sharwood Smith (1986) proposed a new term ‘cross-linguistic influence’ while Odlin (1989) claimed the definition of transfer as “the influence resulting from similarities and differences between the target language and any other language that has been previously (and perhaps imperfectly) acquired” (p. 27). In spite of the lack of consensus on defining this notion, the influence of learners’ native language has been extensively recognized as a major research focus in second language learning.

When two languages have different structures, ‘interference’ is likely to occur. This term was used to account for the influence of mother tongue on the acquisition of second language and was the origin of term ‘transfer’. Transfer has been viewed in two different ways: positive and negative transfer (Stockwell & Bowen, 1965). Positive transfer occurs when the native language is in concordance with the second language whereas negative transfer occurs when there was dissonance between native and second language. Positive transfer leads to language displays consistent with those in the second language. Negative transfer, on the other hand, results in producing language differently from what native speakers do or difficulties of acquisition of the second language.

Transfer is a remarkable interlanguage phenomenon and has put a great emphasis on the unavoidable importance of the native language and culture in language learning. Although controversy to the degree of influence that transfer has on language acquisition still remains, recent research foci are no longer concerned with whether or not transfer occurs, rather when, how, and why it occurs (Felix, 1980). Transfer should be viewed as an active choice of second language learners and as one of language learning strategies or communication strategies.

2.2.4. Pragmatic Transfer

2.2.4.1. Definition

This section further examines the literature on one specific type of language transfer, namely, pragmatic transfer. Transfer in interlanguage pragmatics has been named pragmatic transfer (Takahashi & Beebe, 1987; Kasper & Blum-Kulka, 1993). The notion of pragmatic transfer is closely associated with pragmatic competence. Pragmatic competence refers to the ability to acknowledge the rules and conventions regarding the use of speech acts (Kachru, 1985). In other words, it is the ability to produce appropriate speech acts and to understand what utterances mean in a given context. Previous research in interlanguage pragmatics has revealed that lack of this competence or knowledge is likely to result in miscommunication or communication breakdown. Second language learners may use the native language pragmatic knowledge in their utterances in a target language; this is what is called pragmatic transfer.

The phenomenon of pragmatic transfer has received a great deal of attention and been investigated in a great deal of work on speech acts. As indicated with the disagreement on the definition of pragmatics, pragmatic transfer has also been defined variously by several researchers. Olshtain (1983) defined pragmatic transfer as a learner's strategy to incorporate language elements of the native language in target language performance. According to Takahashi and Beebe (1987), it refers to "the transfer of first language (L1) sociocultural communicative competence in performing second language speech acts" (p. 134). Later, they refined this definition as "transfer of the L1 sociocultural competence in performing L2 speech acts or any other aspects of L2 conversation where the speaker is trying to achieve a particular function of language" (Beebe, Takahashi, & Uliss-Weltz, 1990). Kasper (1992) explained pragmatic transfer as the influence of previous pragmatic knowledge on the use of L2 pragmatic knowledge. According to Kasper, pragmatic transfer refers to "the influence exerted by learners' pragmatic knowledge of languages and cultures other than L2 on their comprehension, production, and learning of L2 pragmatic information" (p. 207). These definitions indicate that in addition to linguistic transfer of native language structures such as morphology, syntax, and phonology, second language learners show a tendency to transfer their native language

sociolinguistic norms in target language interactions. Consequently, a number of studies on this perspective have claimed that pragmatic transfer is an important source of cross-cultural communication breakdown (Olshtain & Cohen, 1989; Richard & Schmidt, 1983; Thomas, 1983; Takahashi & Beebe, 1987, Beebe, et al., 1990). In the present study, on the basis of this literature, pragmatic transfer refers to the influence of language learners' native language sociocultural and linguistic norms of appropriateness and politeness upon their target language performance.

2.2.4.2 Types of pragmatic transfer

As noted in the previous section, a distinction was made between positive and negative transfer (Stockwell & Bowen, 1965; Odlin, 1989). Adopting this distinction in the literature of language transfer, two different categories of pragmatic transfer were identified: positive and negative pragmatic transfer. Positive pragmatic transfer occurs when learners transfer language conventions shared by L1 and L2 and successfully convey their intended message whereas negative pragmatic transfer refers to inappropriate usage of learners' L1 norms and occurs when learners apply L1-based pragmatic knowledge to a target language context where pragmatic perceptions and behaviors differ (Kasper, 1992; Al-Issa, 1998; Felix-Brasdefer, 2004). The majority of interlanguage pragmatic studies have focused on negative pragmatic transfer mainly because it results in unsuccessful communicative outcomes. This unsuccessful outcome, that is, the learner's misunderstanding of a speaker's intention due to transfer of L1 sociocultural rules to the target language is called 'pragmatic failure' (Thomas, 1983). Many studies have revealed that pragmatic failure is much more problematic than linguistic errors since learners who make linguistic errors would be considered to be less proficient while those who make pragmatically inappropriate utterances would be considered to be impolite or rude (Bardovi-Harlig, Hartford, Mahan-Taylor, Morgan, & Reynolds, 1991; Thomas, 1983).

Cross-cultural communication breakdown has highlighted the significance of understanding pragmatic failure in second language learning. Accordingly, on the basis of the distinction between sociopragmatics and pragmalinguistics (Leech, 1983), two types of pragmatic

failure were identified: pragmalinguistic failure and sociopragmatic failure (Thomas, 1983).

Pragmalinguistic failure happens when learners directly translate from their native language into the target language and fail to produce understandable utterances due to the differences in communicative conventions. Sociopragmatic failure is associated with the pragmatic knowledge about what and when to say to whom, which varies cross-culturally due to several factors including the degree of imposition, power, social status, etc.

Adopting this distinction, the categorization of two major types of transfer in interlanguage pragmatics has also been made in a number of studies (Blum-Kulka, 1989; House & Kasper, 1987; Trosborg, 1987; Olshtain & Cohen, 1989; Beebe et al., 1990; Kasper, 1992; Bergman & Kasper, 1993). Pragmalinguistic transfer is the influence of learners' first language upon their perception and production of conventions of forms and means in a target language.

Kasper (1992) explained pragmalinguistic transfer as follow:

Pragmalinguistic transfer shall designate the process whereby the illocutionary force or politeness value assigned to particular linguistic material in L1 influences learners' perception and production of form-function mappings in L2 (p. 209).

This type of transfer is related to how learners express a certain illocutionary force such as requesting, apologizing, complimenting, or responding to compliments, etc. in the linguistic form. Pragmatic failure at the pragmalinguistic level happens when learners apply their native language pragmalinguistic norms (e.g., strategy, structure, etc.) to their target language speech act performance.

Sociopragmatic transfer is the influence of learners' first language upon their assessment of the appropriateness of communicative acts in a given context. Kasper (1992) claimed context-external factors and context-internal factors and described this type as follows:

Sociopragmatic transfer, then is operative when the social perceptions underlying language users' interpretation and performance of linguistic action in L2 are influenced by their assessment of subjectively equivalent L1 context (p. 209).

Pragmatic failure at the sociopragmatic level occurs when learners depend on their native language sociopragmatic norms, such as politeness value or appropriateness, social status, degree of imposition, etc., in their target language performance.

Second language learners are prone to both types of pragmatic transfer when they attempt to produce target language speech acts. To be more specific, when learners determine the appropriateness of a particular speech act in a given context, they tend to be subject to sociopragmatic transfer. On the other hand, when they choose a proper target language form to conduct a certain speech act, they could be apt to pragmalinguistic transfer (Kasper, 1992). Furthermore, these types seem inter-related. They often operate simultaneously in communicative performance and it is not always possible to differentiate between the two types (Thomas, 1983; Kasper, 1992; Roever, 2001). Liu (1995) further claimed that the separation between these two is not needed because sociopragmatic transfer often causes pragmalinguistic transfer. Thus, both pragmalinguistic and sociopragmatic transfer will be considered in the present study without making a clear distinction.

2.3. Previous Approaches to the Study of Compliment Responses

2.3.1. Rationale behind the Choice of Compliment Responses

This dissertation project examines the nature of pragmatic transfer through compliment responses (hereafter CRs) of non-native speakers of English whose first language is Korean. The choice of CRs for this study could be justified with the following three reasons. First of all, in general, compared to other speech act studies such as apology, request, complaint, and many more, all of which have been extensively investigated, the studies on CRs have received much less attention. Despite this unpopularity, there have been a number of studies on CRs focusing on several English varieties, such as Pomerantz (1978) and Herbert (1986) for American English, Holmes (1986) for New Zealand English, Herbert and Straight (1989) for American English and South African English, Herbert (1991) for American English and Polish, Cordella, Large, and Pardo (1995) for Australian English, etc.; however, CR studies based on non-western languages

are mostly restricted to Chinese or Japanese. There has been very limited research available on cross-cultural pragmatics between Korean CRs and American English CRs.

Another reason for selecting CRs is that responding to compliments well reflects sociocultural norms. A number of researchers have considered CRs as a suitable speech act to examine contrastive pragmatics across cultures (Herbert, 1989; Wierzbicka, 1985; Saito & Beecken, 1997; Yuan, 2001, Lorenzo-Dus, 2001). Herbert (1989) contended that “there is relatively strong agreement within the speech community as to what form constitutes a correct response” (p.5). Lorenzo-Dus (2001), in a similar vein, viewed CRs as a “mirror of cultural values” (p.108). Thus, CRs provide a helpful path to better understand diverse cultures, social values, and the meaning of language use in a certain community.

The last justification for the choice of CRs in this study comes from the noticeable differences between Korean and American cultural norms. One distinguishable feature of Korean pragmatics is the conservation of respect and politeness toward the interlocutor through established strategies (Hwang, 1990). Koreans show a strong tendency to cleave to socially approved patterns and avoid any face threatening situation in order to please the interlocutor. They hardly say a direct negative answer face-to-face. Thus, ‘yes’ doesn’t always mean agreement or compliance. Moreover, it is quite common for Koreans to ask questions about their age, marital status, income, etc. to someone who they first meet. Such utterances are generally considered to be caring and appropriate by Koreans but could easily be considered vague and intrusive by native English speakers. As far as CRs are concerned, a great deal of studies on CRs in English varieties have revealed that the majority of English native speakers tend to accept a given compliment by responding ‘thank you’. In contrast, since boasting of one’s achievement or possessions is viewed as impolite, rude, and often uneducated according to Korean norms, Koreans adhere to humility and modesty by rejecting compliments (‘*not at all*’, ‘*I’m ashamed*’, etc.). The contrastive cultural and social norms between these two cultures would set a viable

environment where pragmatic transfer is likely to occur. Accordingly, this contradiction generates the present study.

2.3.2. Previous Studies on the Speech Act of Compliment Responses

2.3.2.1. Categorization of complement responses

A wide range of pragmatics studies have focused on CRs (Baba, 1996; Chen, 1993; Golato, 2003; Herbert, 1986; Holmes, 1986; Jeon; 1996; Lorenzo-Dus, 2001; Pomerantz, 1978; Tran 2007; Yuan, 1996, etc.). These studies have attempted to establish theoretical frameworks of CR categorization and examine different (or similar) pragmatics across cultures.

The classic frameworks of CR categorization were proposed by Pomerantz (1978), Herbert (1989), and Holmes (1986). Pomerantz (1978) conducted the pioneering study on compliment responses in which she claimed two conflicting maxims of speech behavior when responding to compliments: “agree with the speaker” and “avoid self-praise”. She argued that a variety of strategies are employed to solve this conflict and categorized these response strategies as shown in Table 1.

Table 1. Pomerantz’s Taxonomy of CR types (1978)

Category		
Acceptances	Appreciation Token Agreement	
Rejections	Disagreement	
Self-praise Avoidance Mechanisms	Praise Downgrades	Agreement Disagreement
	Referent Shifts	Reassignment Return

On the basis of her groundbreaking work, several scholars have attempted to provide quantitative evidence of different types of compliment responses. Herbert (1986), among many,

proposed another framework of CR categorization through American and South African English data. Table 2 shows his categorization.

Table 2. Herbert's Taxonomy of CR types (1986, p. 78)

Category	
Agreement	Appreciation token Comment acceptance Praise upgrade Comment history Reassignment Return
Non-agreement	Scale down Question Disagreement Qualification No acknowledgement
Other interpretation	Request interpretation

Holmes (1986) was another researcher interested in categorizing different types of CR strategies. She examined New Zealand English data and developed three major categories of CR types as illustrated in Table 3.

Table 3. Holmes's Taxonomy of CR types (1986, p. 492)

Category	
Accept	Appreciation/agreement token Agreeing utterance Downgrading/qualifying utterance Return compliment
Reject	Disagreeing utterance Question accuracy Challenge sincerity
Deflect/evade	Shift credit Informative comment Ignore

Legitimate evasion
Request reassurance/repetition

The above-mentioned frameworks of CR categorization have been broadly implemented in the studies of CRs with or without modifications (Han, 1992; Lorenzo-Dus, 2001). In addition to this classic frameworks, a number of researchers have attempted to develop new categorizations on the basis of culturally and linguistically diverse group data. Among several attempts, Saito and Beecken (1997) proposed an interesting CR categorization framework through American learners of Japanese. They analyzed CRs both quantitatively and qualitatively with Initial Sentence Analysis and Semantic Formula Analysis and suggested the following framework from the semantic formulae used in the data analysis (See Table 4).

Table 4. Saito and Beecken's CR categorization (1997)

Semantic Formula	Examples (p. 370)
1. Gratitude	Thank you; Appreciate it
2. Affirmative explanation	I have confidence; I'm good at cooking
3. Agreement	Yes; I know
4. Acceptance	I'm glad you like it
5. Joke	You need to practice ten more years to beat me
6. Avoidance/Topic change	Really?; let's play again
7. Mitigation	It happened by chance
8. Return	You're good, too
9. Denial	No; I'm not good

In addition to Saito and Beecken's framework, Chiang and Pochtrager (1993) also developed a new way of analyzing CR types. They examined L1 Chinese English speakers and L1 American English speakers and categorized five areas of CRs as presented in Table 5.

Table 5. Chiang and Pochtrager's CR categorization (1993)

Category	Examples (p. 8)
Acceptance	Ritual thank you (agreement with no further elaboration)
Positive Elaboration	Account, history, positive comment, efforts, return of compliment
Neutral Elaboration	Seeking confirmation or shift of credit
Negative Elaboration	Downgrading, duty or responsibility, need for improvement
Denial	No, negative opinion

Tran (2007) was another researcher who attempted to propose a new framework of categorizing CR types, focusing on compliment responses in Australian English and Vietnamese. She claimed that CR strategies are connected with each other and form a continuum and developed a new framework to categorize CR data in the study (See Table 6).

Table 6. Tran's CR continuum (2007)

The Acceptance to Denial continuum

Compliment Upgrade → Agreement (including Agreement token) → Appreciation Token → Return → Explanation → Reassignment → (Non-idiomatic Response) → Compliment Downgrade → Disagreement (including disagreement token)

The Avoidance continuum

Expressing Gladness → Follow-up Question → (Doubting) Question → Opting out

The above-mentioned classic frameworks along with newly proposed CR categorizations have been evaluated as well-grounded and widely accepted in a number of studies. Nevertheless, it is also true that they may not be able to account for all CR data collected from diverse research settings. Therefore, there is always a research need to develop another angle to analyze CR data which provide a better fit to a specific study. Especially, there has been very limited research available on Korean CRs. None of the existing pragmatics studies of CRs suggested the CR categorization specific for analyzing compliment response patterns in Korean. Accordingly, it is necessary to document an initial framework of CR categories in Korean in comparison with American English.

2.3.2.2. Previous studies on compliment responses

On the ground of Pomerantz's (1978) work, numerous researchers have examined compliment responses. The wealth of research has illustrated how speakers from culturally and linguistically different context react to compliments of their appearance, possessions, behavior, ability, etc. Early studies of CRs focused exclusively on English and several regional varieties of English: Pomerantz (1978), Herbert (1986, 1989), and Wolfson (1983) for American English, Holmes (1988) for New Zealand English, Cordella, et al. (1995) for Australian English, etc. The majority of these studies have discovered, regardless of regional varieties, a preference toward compliment acceptance among native English speakers. In other words, the agreement maxim plays a vital role in English speaking countries.

Compliment responses have also been investigated from cross-cultural perspectives. Many researchers have examined these cross-cultural variations in compliment responses between English and a variety of languages. Herbert (1990) studied American and South African compliment responses and found out contrastive patterns in terms of ideological differences such as equality, democracy versus elitism. Lorenzo-Dus (2001) also conducted a contrastive study on compliment responses between British and Spanish English. Focusing on politeness, she found

some interesting differences and similarities from cross-cultural and cross-gender perspectives and emphasized the essentiality of more research on speech acts across cultures.

Along the same line, the wealth of research has been conducted concentrating on non-western languages (Chen, 1993; Chen & Yang, 2010; Cheng, 2003, Daikuhara, 1986; Jeon, 1999; Tang & Zhang, 2009, among many). Chen (1993) studied compliment responses between Chinese learners of English and native speakers of American English; his findings indicate significant differences between the two groups. Cheng (2003) and Tang and Zhang (2009) also examined the variations in responding to compliments between different varieties of Chinese and American English. Moreover, similar studies targeting Japanese have been conducted by Daikahara (1986), Baba (1999), etc. These studies have provided some interesting differences based on different socio-cultural norms between two speech communities. Unlike the dominance of the agreement maxim in English, the politeness and modesty maxim show a huge influence on responding to compliments in Chinese and Japanese.

2.3.2.3. Previous studies of pragmatic transfer in compliment responses

Judging by the main focus of the present study, it is particularly important to review the studies of pragmatic transfer in CRs more specifically. Existing studies in pragmatic transfer in responding to compliments are, as briefly reviewed above, highly restricted to Chinese and Japanese while very few studies are available on Korean. These studies yielded conflicting results regarding the presence of pragmatic transfer in CRs among non-native speakers of English. Some studies discovered pragmatic transfer in CRs (Liu, 1995; Jeon, 1996; Yu, 1999) whereas other studies supported no evidence of pragmatic transfer (Yuan, 1996).

In the studies of Chinese compliment responses, evidence of pragmatic transfer was identified by Liu (1995) and Yu (1999). Liu (1995) found that Chinese learners of English tend to transfer their L1 strategies into English and deny a given compliment by saying '*not really*'. The findings indicated that Chinese learners carried over their L1 cultural values in their L2 performance. In turn, this carryover caused the pragmalinguistic transfer of their native language

speech act strategies into compliment responses in the target language performance. Interestingly, all the participants responded that they had already known the different responding strategies in English. Thus, Liu claimed that pragmatic transfer occurred unconsciously because participants kept their L1 patterns in L2 performance despite their awareness of different pragmatics. Yu's (1999) study also showed similar findings. According to the results, Chinese speakers, in responding to compliments, rejected more often than accepted by using routinized denial, '*I'm not*'. Yu (1999) explained that this tendency of denial could be viewed impolite in the western culture.

In terms of Korean, Jeon (1996) investigated complimenting behaviors and also revealed the evidence of pragmatic transfer. She examined both giving compliments and responding to them and contended that sociolinguistic rules are more likely transferred in compliment responses. Although Korean ESL learners were aware of contrastive rules of English and even some responded that they tried to adapt those rules, they showed again a strong tendency to deny compliments or provide negative elaboration.

On the contrary, Yuan (1996) claimed no evidence of pragmatic transfer with his study of Chinese learners of English. Through a written DCT from three different language groups including native English speakers, Chinese ESL learners, and Chinese native speakers, the data collected indicated that interlanguage pragmatics of Chinese learners was articulated very closely to the target language norms. Chinese learners mostly accepted compliments with using the appreciation token '*thank you*' as native English speakers do. Thus, Yuan claimed that there was no evidence of pragmatic transfer, rather successful convergence of target languages norms. On the basis of the Speech Accommodation theory, he explained this absence of pragmatic transfer with claiming that frequent and salient forms (i.e., thanks) are acquired prior to less frequent and salient forms (i.e., no).

This conflicting research evidence of pragmatic transfer, in addition to lack of CR studies in Korean, clearly demonstrated the need of further research to understand contrastive pragmatics

and the nature of pragmatic transfer in responding to compliments. More importantly, the different findings even with the same cultural and linguistic settings also raise an important question regarding methodology of data collection (Tran, 2003). Most of the studies reviewed above employed mainly written discourse completion tasks for data collection, although some of them used follow-up interviews or questionnaires. Accordingly, this methodological issue in contrastive pragmatics studies will be discussed in the following section.

2.4. Methodological Issues in Cross-cultural Pragmatics Research

What would be the most appropriate methodologies has been greatly debated in cross-cultural pragmatics research. According to Kasper (2000), “research into adequate data gathering methodology remains a lasting concern in pragmatic research” (p.340). The previous research on speech act has shown a consensus that naturally occurring data represent the most effective source; however, most studies have scarcely employed such data, mainly due to the difficulties of obtaining enough data and controlling sociolinguistic variables (Beebe & Cummings, 1995). Hence, most of the studies on speech acts have used more controlled data collection methods including discourse completion tests (DCTs), either written or spoken version, survey questionnaires, role-plays, and interviews (Felix-Brasdefer, 2004). Considering this variety of different methodologies, Kasper and Dahl (1991) discussed data collection methods in interlanguage pragmatics research and proposed a continuum of instruments based on the different types of research. Several major methodologies that have been extensively used in cross-cultural pragmatics studies are discussed in the following section.

2.4.1. Discourse Completion Test (DCT)

The most frequently used data collection method in speech acts studies is the discourse completion test (DCT). The DCT is a written data collection instrument that involves a series of incomplete discourse fragments for participants to complete a given conversation. In pragmatics research, the DCT was first employed by Blum-Kulka (1982) to examine apology. Each dialogue

sequence contains a particular speech act and begins with the description of situations including social relationship between speakers. It is followed by a short incomplete dialogue in which participants are required to provide a second turn containing the targeted speech act.

The DCT format has been extensively used in interlanguage pragmatics research. On the basis of a simple basic dialogue sequence, a variety of modifications has been attempted such as DCTs with rejoinders that have follow-up phrases or sentences (Johnston, Kasper, & Ross, 1998), the dialogue construction DCT that requires participants to construct the whole dialogue (Ebsworth, Bodman, & Carpenter, 1996), open-ended elicitation questionnaires which provides a description of a situation and a written prompt (Ye, 1995), a multiple choice questionnaire that provides several options for respondents to choose the most appropriate form (Rose, 1994), and the oral DCT in which respondents verbally perform speech acts while their dialogues are recorded (Yuan, 2001).

2.4.1.1. Advantages of DCTs

The fact that this type of data collection method has been the most commonly used method in cross-cultural interlanguage pragmatics research clearly represents its advantages. The most fundamental reason behind the popularity of DCTs is associated with practical perspectives. It allows the researcher to collect a large amount of data in a relatively short period of time. Accordingly, it requires low costs. More important advantages come from research oriented perspectives. Some studies have shown that DCTs could produce more common and standardized responses of particular speech acts (Blum-Kulka, 1989; Beebe & Cummings 1996). Furthermore, in this method, social variables such as age, gender, power status, social distance, a degree of imposition, etc. can be easily controlled; this advantage makes it more viable to conduct comparative studies across cultures.

2.4.1.2. Disadvantages of DCTs

Despite some advantages mentioned above, a number of researchers have criticized using DCTs as a valid data collection method. The most recurring concern is that through DCTs, it is not able to elicit naturally occurring real performance data. The hypothetically controlled situations in DCTs results in less authenticity of the data. The answers collected are what respondents think they would say, not what they actually say in real life situations (Boxer, 1996).

Another concern is that it may not be able to accurately represent the spoken discourse due to the nature of written instruments. Especially, compliment responses mostly occur in interactive spoken discourse, which cannot be represented in written situations. In this line, Golato (2003) compared CRs in German collected with DCTs with those through recording naturally occurring conversation and identified some essential differences between the two. DCT data ignored several features found in actual conversation. She claimed, based on the differences, that DCTs may not be appropriate for examining actual language use.

2.4.2. Role-plays

A role-play is another widely used instrument that has recently gained a great popularity in interlanguage pragmatic research. A role-play consists of a description of a situation and a dialogue between a role-play conductor and a participant. Typically, the role-play informants are given a few minutes to understand and prepare for the given situation. The actual enactment process is then followed. There are two types of role-plays: closed and open role-plays. The closed role-play is composed of one turn by a conductor and another turn by an informant. It is relatively shorter and more controlled compared to the open role-play. In this sense, it shares some similarities to the oral DCT. On the other hand, in the open role-play, participants take turns speaking and interact freely. Accordingly, it is more interactive than the closed type.

2.4.2.1. Advantages of Role-plays

Compared to DCTs, role-plays have been evaluated as a better instrument for interlanguage pragmatic research, mainly based on its interactive nature (Kasper & Dahl, 1991). The most outstanding advantage of using role-plays is that they can provide actual spoken speech

acts in more authentic settings. The data from role-plays allows the researchers to investigate not only the speech act patterns and utterances but also additional non-verbal discourse features such as laughter, pauses, tone, etc., all of which are greatly important to understand pragmatics. Role-plays also provide more elaborated speech act utterances compared to written instruments. Moreover, similar to DCTs, controlling social variables is also manageable in role-plays.

2.4.2.2. Disadvantages of Role-plays

Despite the advantageous features discussed above, role-plays often result in unnatural speech act patterns (Jung, 2004). It is because situations and contexts are not always realistic to participants. Another disadvantage in terms of practicality is that similar to authentic data, role-plays require a long task of transcribing, which could be time-consuming (Kasper & Dahl, 1991). A wider context created by role-plays causes difficulties in coding and less successful control of variables.

2.4.3. Field Observation of Natural Data

Observation and recording of naturally occurring conversations is another way of collecting data in interlanguage pragmatic research, even though it has been much less frequently used. Some studies attempted to conduct ethnographic research by observing real-life interactions (Holmes, 1990; Golato, 2003) in order to obtain more accurate and authentic data. The most prominent merit of this data collection method is the possibility of eliciting spontaneous and natural speech data. Naturally occurring utterances are the longest and the most complex forms (Eisenstein & Bodman, 1986) and includes various discourse features. This natural data set enhances the validity of research findings.

Although this type of methodology seems ideal in terms of authenticity, it also has been subject to criticism. First of all, it is difficult to control variables which affect the results since very few can be planned ahead. Moreover, it is hard to obtain a sufficient amount of data set in a given situation. Due to its spontaneous nature, it cannot be guaranteed that targeting speech acts

would be performed even with a long time for observation. Thus, it is often needed to find supplementary data from other sources (Hatfield & Hahn, 2011).

2.4.4. Combination Method

As discussed so far, each data collection method has its advantages and disadvantages; thus, careful consideration should be taken into account based on the research focus. In this line, more than one method can be employed in one study so that researchers can maximize the advantages and compensate for the disadvantages of the other. This combination method takes multiple approaches of data collection in a way in which one method is used for primary data source and the other for complementary data (Kasper & Dahl, 1991). Several researchers have recommended this multiple approach in interlanguage pragmatics research (Beebe & Cummings, 1996; Tran, 2003). Thus, the present study will employ various methods including the Conversational role-play, a written questionnaire, and a retrospective interview in order to triangulate the data set and enhance the validity of research findings.

2.5. Purpose of the Study

As this review of literature has shown, there are several areas of concerns regarding how previous interlanguage pragmatics research has examined compliment responses. In addition, this chapter also indicates a clear research gap for the study on this particular speech act across cultures and the nature of pragmatic transfer. It is believed that a newly adapted multiple approach of data collection, along with revisiting existing theoretical frameworks presented in this chapter, could provide a more effective and appropriate approach to analyze this particular speech act. The present study aims to conduct a comparative study of interlanguage pragmatics. Thus, this study investigates the speech act of responding to compliments in Korean and American English and the nature of pragmatic transfer.

CHAPTER III

METHODOLOGY

This chapter presents the research questions of the present study and describes data collection and data analysis procedures adopted in the present study. It begins with a brief introduction to the research questions, followed by a description of the participant groups. The rationale behind the choice of subjects is also explained. Next, the instruments employed for data collection and the validity of the data gathered are discussed. In addition, the data collection procedures are introduced; then, the coding scheme and the quantitative and qualitative data analysis methods are also presented in detail. Finally, coding reliability is reported.

3.1. Research Questions

The present paper aims to give an insight into the speech act of compliment responses in Korean and American English and the nature of pragmatic transfer. Through a quantitative and qualitative analysis of data, this study provides the categorization of compliment response patterns, compares the differences or similarities between the two interactions of Korean and American English, and ultimately examines the evidence of pragmatic transfer.

The research questions for this study are twofold. The first two questions are concerned with the categorization of compliment response patterns by Korean learners of English as a second language and American native speakers of English. The second set of research questions focuses on the nature and conditions of pragmatic transfer that Korean learners of English as a

second language illustrate in cross-cultural interactions. Specifically, the following research questions are addressed in the present study:

1. What are the compliment response patterns of Korean learners of English as a second language in cross-cultural interactions?
2. What are the compliment response patterns of native speakers of Korean and native speakers of American English? Are there any differences or similarities between the patterns of these two groups, Korean NSs and American English NSs, and those of Korean ESL learners?
3. Is there any evidence of pragmatic transfer in the speech act of responding to compliments by Korean learners of English as a second language?
 - 3-1. To what extent do Korean learners of English demonstrate pragmatic transfer in the speech act of compliment responses in American English?
 - 3-2. Under what conditions does pragmatic transfer happen?

3.2. Data Collection

This section provides a detailed description of the whole process of data collection. The participants and instruments involving this research project and the data collection procedures are reported in detail.

3.2.1 Participants

Participants in the present study were categorized into two major groups: role-play informants and role-play conductors. The group of role-play informants was composed of three subgroups including native speakers of American English, native speakers of Korean, and Korean learners of English as a second language. All participants agreed that their data could be used for research purposes prior to data collection (See Appendix A).

3.2.1.1. Role-play informants

The major data for this research were collected by means of a conversational role-play, which was designed to collect spontaneous and authentic compliment response data for this study. A total of sixty informants participating in this study consisted of twenty American English native speakers, twenty Korean native speakers, and twenty Korean learners of English. In order to attain optimum comparability of the three groups of participants, all of them were female university students, ranging in age from 19 to 28. Thus, the informant groups illustrated homogeneity in terms of age¹, gender, level of education, and profession. More detailed information about each group is provided in the following sections.

3.2.1.1.1. Native speakers of American English (Group AE)

Group AE consisted of 20 native speakers of American English. They were all female undergraduate students enrolled freshman composition courses at a state university in the U.S. They were recruited through contact with instructors who permitted the researcher either to visit their classes or to send an email of announcements. A total of 22 students initially volunteered; however, two 1.5 generation Asian Americans were excluded for the purpose of this project. This group of informants provided the baseline data on American English CRs.

3.2.1.1.2. Native speakers of Korean (Group K)

Group K included 20 native speakers of Korean in South Korea. All of these 20 informants were female undergraduate students attending a national university in South Korea. The processes of recruiting participants and collecting data were made during Summer 2014 with the researcher's visit to Korea. Through personal contact with a professor, the researcher visited two classes and recruited participants. All of the 20 participants have studied English for over 10 years with an average of 13.15 years; but, none of them had experiences studying abroad. This group offered the baseline data on Korean CRs.

¹ It would be safe to say homogeneity in terms of age because the majority of participants were ranged in age from 19 to 24, except only 4 in the group of native Korean speakers.

3.2.1.1.3. Korean learners of English as a Second Language (Group KE)

Group KE consisted of 20 Korean learners of English as a second language. They were all female international undergraduate students who were attending a state university in the U.S. A research announcement was emailed through the Korean Student Association list as well as to Korean female students enrolled in international composition courses with instructors' permission. The average length of stay in the U.S. among participants was 2.5 years. In terms of their English proficiency, the background questionnaire included a self-assessment of English proficiency with 6 scales; the majority of participants rated their proficiency as intermediate with a mean score of 3.3 out of 6 while a few responded as advanced². This group provided the main data for the present study, non-native speakers' CRs in English.

3.2.1.2. Role-play conductors

The present study included two role-play conductors in addition to the researcher in order to assist in eliciting reliable role-play data with different informant groups in different settings. Two graduate students in the TESL/Linguistics program at a state university were recruited and trained to conduct role-plays. Both assistants were female and native speakers of American English. All three role-play conductors, including the researcher, led role-plays with informants in their native language. Two assistants conducted role-plays in English with native English speaking undergraduates (Group AE) and with Korean international students at OSU (Group KE); The Korean-speaking researcher conducted role-plays with native Korean speakers (Group K) in Korea.

3.2.2. Instruments

² For more objective assessment, in addition to the self-rated proficiency, participants were asked to provide the standardized English test scores (e.g. TOEFL, IELTS) in the background questionnaire. However, less than half of them responded to the question. Interestingly, among those who provided actual test scores, there was a tendency to underestimate their proficiency on the self-assessment compared to their test results.

Although written DCTs have been extensively used in interlanguage pragmatics research and are expedient and easy to control variables, they allow informants too much time to consider stereotypical answers or what they believe to be right. Role-play data may not be authentic enough mainly due to unrealistic and hypothetical setting. Thus, the data collected from these methods do not necessarily reflect their actual spoken language production. Regarding the purpose of this study, it is desirable to obtain authentic data. With this in mind, the major source of data in this study came from the combinational process of three different data collection methods: a written questionnaire, the Conversational role-play, and a retrospective interview. This multiple combination approach allowed the data collection process to be more reliable by intensifying the strengths of each method and compensating for the weaknesses mentioned above.

3.2.2.1. Written questionnaire

The present study used a written questionnaire before the role-play. This written questionnaire was intended to obtain demographic and some necessary background information about the role-play informants such as age, academic classification, length of stay in the U.S., exposure to English, and the self-assessment of their English proficiency, which could play an important role in controlling social variables appropriately for the objective of the study (See Appendix B). The background questionnaire was assigned at the beginning of the data collection procedure.

3.2.2.2. Conversational role-play

The major data set of this study were elicited from the Conversational role-play, which was specially designed for this research project. The Conversational role-play was newly developed on the basis of Conversation method (Baba, 1996) and the Naturalized role-play (Tran, 2003). This method came from an attempt to make the best use of the advantages of major methods discussed above and to replenish the disadvantages. Written questionnaires and role-plays allow an easy control of social variables but they have been criticized because the data elicited is not authentic enough. On the other hand, naturally occurring conversation does fulfill

authenticity of data but it does not control social variables. Considering the research aim, it is crucial to elicit natural data in both an authentic and a controlled setting. Thus, the present study proposes the Conversational role-play.

This method collects more natural and spontaneous data in an authentic setting while possible social variables are appropriately controlled. The focus of research is not revealed to informants during their role-plays. Informants are aware of being observed for the study but they are not conscious of the time when they produce targeting speech act performances. Thus, the data collected is expected to represent what they would actually say in real-life situations.

For this aim, the Conversational role-play is designed to create real-life like settings for conversations. It begins with small talk between a conductor and an informant before the role-play, such as introduction, greeting, some complimenting, etc. This stage was planned to elicit some naturally occurring conversation.

Moreover, the role-plays included several tasks that are designed to distract informants' attention from the speech act in focus, including giving directions, offering a ride, describing recipes, etc. (See Appendix C). While the informants concentrated on the given tasks, the role-play conductors led the conversation to the use of a targeting speech act. The conductors were fully informed regarding when, where, and how to provide compliments during role-plays. Specifically, they were instructed to place compliments on informants' appearance and/or belongings at the very beginning before starting a role-play, on skills/accomplishment, personality, and possession in the first situation, on appearance and skills in the second situation, and finally on language proficiency and performance³ after the role-play. Although the specific step-by-step instructions were presented to the role-play conductors, they were also given the

³ The compliment on informants' language proficiency was only given to Group KE because the other two groups participated in role-plays in their native language. The participants in Group AE and Group K were complimented on their performance.

freedom of developing the conversation any way they wanted. They only needed to keep in mind the research focus and to provide compliments whenever they felt natural and relevant throughout the process. The use of distracting tasks allowed the researcher to collect more natural data since the speech act in focus came up naturally during the conversation, not out of the prescribed tasks. Thus, the Conversational role-play overcame the major drawback of using an existing role-play and is expected to enhance authenticity of the data elicited.

The Conversational role-play involves two major situations with several subtasks (See Appendix C). As discussed, the role-play tasks were designed to distract informants' attention from the research focus, responding to compliments, because if the informants were aware of it, they may respond in a way that they think they should rather than the way they would actually respond in real life. Some important considerations were made in designing role-play situations and subtasks. First of all, the role-play situations and tasks were created in order to reflect the social environment that informants belong to. Based on the fact that all the role-play participants were university students, the situations in this project were set in campus life. More specifically, informants had a role as a university student and they had conversations with their peer classmate in the first situation and with their professor in the second situation. In a similar vein, the subtasks were also constructed to reflect the informants' current social identity as a student, such as winning a scholarship, giving directions to the bookstore, offering a ride to a classmate, coming to an advisor's potluck, describing a recipe of the food they bring, etc. Thus, it was carefully intended that the informants would not have to play the roles that are different from what they really are. This is another important distinguishable feature of the Conversational role-play from typical role-plays where participants are required to pretend other social positions that are not real.

The social distance between interlocutors and different topics of compliments were also taken into careful consideration as possible variables. Previous studies on compliments and compliment responses have shown that the most frequent and lengthy utterances are performed

between acquaintances and the least between intimates or strangers (Wolfson, 1988). Hence, based on the social status of informants set as students, the interlocutors were chosen as informants' peer classmate and professor. These two different statuses also allow us to investigate the effect of different level of social status between interlocutors: responses to a person of equal status and to someone of higher status.

Another consideration for designing the Conversational role-play was associated with the topics of compliments. The role-play situations and tasks were designed to collect responses to compliments on appearance, personality, possession, and ability, all of which have been considered as typical compliment types in real-life situations (Holmes, 1986).

Finally, the language chosen for the Conversational role-play is another essential feature to be explained. Two language versions of the Conversational role-plays were administered: Korean version for Group K and English version for Group AE and Group KE. However, the instructions and situations for role-plays were described in Korean for Group KE, while they were asked to perform role-plays in English. This was done because the instructions and situations written in a target language might unintentionally provide some clues that participants can easily pick up and use (Cohen, 1996). It may discredit the authenticity of the data set. Hence, the Korean translation of role-play descriptions was also constructed for this study.

On the foundations of the above-mentioned considerations, the Conversational role-play was projected to provoke more authentic CR data to compliments on appearance, personality, possession, and ability between acquaintances in two different social statuses, with someone of equal and higher status. Table 7 describes the topics of compliments and power variables in the Conversational role-play.

Table 7. Topics and Power variables

Compliment topics	Contents	Status between interlocutors
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Appearance	Look (NC)	To equal/higher status ⁴
	Clothing (S2)	To higher status
Personality	Kindness (S1)	To equal status
Possession	Car (S1)	To equal status
	Belongings (NC)	To equal/higher status
Ability	Scholarship (S1)	To equal status
	English proficiency (NC) – <i>only to Group KE</i>	To equal/higher status
	Role-play performance (NC)	To higher status
	Cooking (S2)	

S= situation, NC= natural conversation (before/after role-plays)

3.2.2.3. Retrospective interview

The retrospective interview has been widely used in pragmatic research as a useful technique to trace participants' thoughts (Cohen, 1998). In this study, a retrospective interview was conducted immediately after the role-play. On the basis of the main focus of this research, the pragmatic transfer of Korean ESL learners, the participants from Group AE and Group K were included to provide a baseline data. Accordingly, the retrospective interview was administered mainly with Group KE informants whereas Group AE and Group K participants were asked a few simple questions (See Appendix D). The Group KE informants were asked to listen to their audio-taped conversations with the researcher and to answer several questions regarding their performance during the role-play. The interview questions included whether the

⁴ Initially, the data from natural conversation was planned to be the CRs to equal status since both role-play conductor and informants were aware of each other's status as OSU students. However, according to the retrospective interview results, Group K considered a role-play conductor to be in higher status while Group KE viewed a role-play conductor as either higher or equal. This will be further examined in the Results section.

informants had realized the main research focus and the reasons, intentions, and thoughts behind their responses to the compliments; thus, these questions were included to discover the evidence of pragmatic transfer, if any, and also the conditions of pragmatic transfer. All the retrospective interviews were conducted by the researcher immediately following each role-play session in order to enhance the reliability of informants' reports (Cohen & Olshtain, 1993). The interviews were conducted in the informants' native language for more elaborated and insightful responses.

3.2.3. Data Collection Procedures

As described above, the major data source of this study were collected through the Conversational role-play. Additionally, written survey questionnaires and retrospective interviews were also carried out to provide supplementary and triangulated data.

At the beginning of the data collection process, prior to the role-play, the participants were given a briefing session with the researcher. During this session, the participants were asked to fill out the background questionnaire; then, they were provided with the information about the role-play procedures, situations, and main tasks. The information concerning the role-play tasks was offered on purpose in order to distract their attention from the main research focus, responding to compliments. This attempt was quite successful since none of the participants answered that they recognized the research focus during the role-plays. The majority of them responded, during the retrospective interview, that they thought this study aimed to examine their speaking patterns in general. They were also given enough time to familiarize themselves with the role-plays and to ask questions regarding the process and situations. This stage took approximately five minutes.

Then, the participants were introduced to the role-play conductor and given some time for small talk. During this small talk, before starting the actual role-play situations, the role-play conductors were trained to lead some natural conversations, including greetings, complimenting on the participants' appearance, belongings, and whatever comes naturally at that moment. This stage was carefully created to elicit natural CR data from their conversations in an authentic

setting. Subsequently, the Conversational role-plays were conducted with the role-play conductors. All the role-plays had the same situations while they were performed in two different language versions: Korean for Group K and English for Group AE and Group KE. As explained above, during and between situations, the role-play conductors were allowed the freedom to add more conversations and to offer compliments whenever they thought appropriate. All of the role-plays were audio-taped. The time allotted for each role-play session was approximately ten minutes.

Following the role-play sessions was the debriefing stage with the researcher in which the participants shared their thoughts and responses in more detail. The participants were given a chance to talk about their responses and performance during a role-play. The guided questions for the retrospective interviews were intended to have a closer look at participants' perceptions on the research focus (See Appendix D). The retrospective interviews were directed immediately after the role-plays in order to tap participants' memory more effectively. Finally, the debriefing session took approximately ten minutes for Group KE and less than five minutes for Group AE and Group K.

3.3. Data Analysis

The CRs of the recorded data were thoroughly analyzed to examine CR patterns of Korean ESL learners in cross-cultural interactions and to investigate if there is any evidence of pragmatic transfer by comparing CRs of Group AE, KE, and K. All the CR data collected were transcribed roughly following the transcription conventions originally developed by Du Bois, Schuetze-Coburn, Cumming, and Paolino (1993) (See Appendix E). Since the present study does not focus on the microanalysis of discourse, it was not attempted to indicate detailed paralinguistic features within each transcription. However, the transcription method above allows the researcher to indicate some of relevant discourse features including laughter and pauses, which could be vital factors for this study. For example, pauses were presented with ellipsis and laughter was indicated as '@'.

The data elicited from Group K, which were performed in Korean, were accordingly transcribed into the original Korean for analysis while the excerpts of Korean CR data in this paper are presented in Korean and translated to English. Then, underneath the translation, both macro and micro level CR strategy information was provided. Consequently, a complete set in each excerpt had four lines: Korean, English translation, the micro CR strategy, and the macro CR strategy. Throughout the transcripts, the numbers indicating the order of recordings were used as pseudonyms in order to keep participants' identities in confidence. For example, the first participants of Group KE, K, and AE were indicated as KE1, K1, and AE1, respectively. All the role-play conductors were presented as C.

In order to answer the research questions for this study, the comparison between the CR data of Group KE and Group AE was the starting point of analysis. This comparison allowed the researcher to examine differences and/or similarities of CR patterns and strategies between Group KE and AE in cross-cultural perspectives. On the basis of this comparison, the CR data of Group KE were thoroughly examined, with comparison of those of Group K, in order to explore interlanguage pragmatics of Korean ESL learners in cross-cultural interactions. With regard to the research question about the conditions of pragmatic transfer, the analysis focused on the data from background questionnaires and more importantly from retrospective interviews.

3.3.1. Coding Scheme

With regard to the main focus of the present study, pragmatic transfer, it is fundamental to examine how each group of participants responds to compliments. To identify CR strategies in Korean and English, this study used the following coding scheme, which was established on the basis of the previous classifications of the empirical research of CRs. Each category of CR strategies is explained in the following section. The features and examples presented below for each category are assumed valid both for Korean and English interactions. However, the possibility that some properties could be unique to each language was also taken into account based on cross-cultural variability of responding to compliments that the previous studies have

shown (Wolfson, 1981). If the data collected indicate new features or categories, they will be discussed in the Discussion section of this dissertation.

3.3.1.1. Categorization of CR strategies

Categorization of CR strategies plays a crucial role in the data analysis of the present study. As discussed in 2.3.2.1, although previous studies on the speech act of responding to compliments have claimed various CR categorization frameworks, none of these could fully account for the CR data in linguistically and culturally diverse settings. Moreover, previous studies have also shown that many CR patterns do not yield to one clear category, rather lie somewhere in between on the continuum of acceptance on the one end and rejection on the other end (Pomerantz, 1978; Herbert, 1989). Therefore, a newly documented categorization framework for Korean CR data was essential for this study. With this aim, a new CR categorization is proposed based on the data collected. Table 8 illustrates the outline of this CR categorization framework.

Table 8. CR categorization of this study

Macro Strategies	Micro Strategies
Accept	Upgrading utterance
	Appreciation token
	Agreeing utterance
	Return
Amend	Downgrading utterance
	Qualifying utterance
	Credit reassignment
	Explanatory comment
	Doubting/Reassurance question
Avoid	Ignore/Topic change
	Laugh
	Joke

Reject	Questioning sincerity
	Disagreeing utterance
Combination*	Macro level combination
	Micro level combination

On the basis of the CR categorization proposed by Holmes (1988), which identified 3 main strategies (Accept, Reject, and Deflect/Evade) and 11 substrategies, some modification were made. Two new strategies were suggested as macro strategies, such as the Avoid strategy and the Amend strategy, and some of the micro strategies were newly proposed or rearranged to fully account for the CR data of two targeting languages. Two micro level strategies, the Laugh and the Joke, were newly added to this framework under the Avoid strategy to represent the CR strategies which were often employed especially by Korean speakers. In addition, the Downgrading utterance and the Qualifying utterance were reassigned to the Amend strategy based on the retrospective interview results which illustrate participants' intention to deflect direct acceptance of the complimentary force provided.

As a result, this framework identifies four macro level CR strategies and fourteen micro level CR strategies. Combination strategy and its two subcategories are also added to the above framework because the data showed a strong tendency to combine more than one CR strategy in a single sequence. The descriptions and examples of each strategy are given below. Examples are selected from the data collected in this study and presented in italics.

- A. Accept strategy: The compliment receiver recognizes the status of the previous utterance as a compliment and his/her responses either explicitly or implicitly accept the credit provided. The following are considered as the micro strategies under this macro strategy.
 - A-1. Upgrading utterance: The compliment receiver promotes the complimentary force.
 - e.g., *Yeah, I know. It is brand-new.*
 - A-2. Appreciation token: The responses show gratitude.

e.g., *Thank you; thanks; thank you so much*

A-3. Agreeing utterance: The compliment receiver agrees with the compliment by offering a response that is in general “semantically fitted to the compliment” (Yu, 1999, p. 62). It also includes agreement tokens such as *yes, yeah*, etc.

e.g., *I think it is, @@@*

Yeah, thanks, it is pretty cool, huh?

A-4. Return: The compliment receiver redelivers the compliment to the compliment giver.

e.g., *Thank you. You look great, too.*

B. Amend strategy: The compliment receiver attempts to deflect the complimentary force of the previous utterance. He/she may recognize the status of the previous utterance as the compliment. The following are considered as the micro strategies under this macro strategy.

B-1. Downgrading utterance: The compliment receiver demotes the complimentary force of the compliment given.

e.g., *It is just an old used car.*

B-2. Qualifying utterance: The compliment receiver qualifies the complimentary force of the compliment provided.

e.g., *I'm glad you like it. I had a lot of fun.*

B-3. Credit reassignment: The compliment receiver shifts the credit offered to a third person or object.

e.g., *My professor helped me a lot.*

I just follow the recipe online.

B-4. Explanatory comment: The compliment receiver provides additional information, often irrelevant, to impersonalize the complimentary force.

e.g., *I had to spend a whole year for this.*

I bought this at a local used car market.

B-5. Doubting/Reassurance question: The compliment receiver asks a question for reassurance. (not an information seeking question)⁵.

e.g., *Really?*

C. Avoid strategy: The compliment receiver attempts to evade the compliment credit given.

C-1. Ignore/Topic change: The compliment receiver does not respond to the previous utterance of compliments at all and/or changes the topic.

e.g., *(silence) Where are you going?*

C-2. Laugh: The compliment receiver does not provide any verbal responses; rather responds merely with laughter.

C-3. Joke: The compliment receiver tries to evade responding to the compliment by making a joke.

e.g., *You owe me a drink! @@@*

D. Reject strategy: The compliment receiver implicitly and explicitly disagrees with the credit provided. The following are considered as the micro strategies under this macro strategy.

D-1. Questioning sincerity: The compliment receiver challenges the sincerity of the compliment.

e.g., *Do you really think so?*

You must be kidding.

⁵ This is different from the Questioning sincerity under the Reject strategy (See D-1) mainly because this CR strategy does not challenge the sincerity of the compliment provided. Rather, it simply ask a reassurance question ‘really’ with an attempt to deflect their acceptance.

D-2. Disagreeing utterance: The compliment receiver disagrees with the complimentary force. It also includes disagreement tokens such as *no, not at all*.

e.g., *oh, no, it's not*.

E. Combination strategy: The responses consist of more than one strategy in a single compliment response sequence.

E-1. Macro level combination (Inter-macro combination): The compliment receiver combines more than one of the macro level strategies.

e.g., *Thanks, but I don't think I deserve it*.

(Accept + Reject)

E-2. Micro level combination (Intra-macro combination): The compliment receiver combines more than one of the micro level strategies under the same macro strategy.

e.g., *Thank you. I'm so happy to receive this prestigious scholarship*.

(Appreciation token + Agreeing utterance)

This newly proposed CR categorization framework was verified through checking coding reliability (See 3.3.3).

3.3.2. Quantitative and Qualitative Analysis

In order to answer the aforementioned research questions, the data collected were analyzed both quantitatively and qualitatively. The quantitative analysis involved frequencies of CR strategies among each group on the basis of data coding. Categorization of CR strategies also played an important role in the qualitative analysis. In addition to the quantitative analysis, CR patterns of Group KE were qualitatively examined both in combination with retrospective interview results and in comparison with the patterns of Group AE and Group K in order to ascertain if there is an evidence of pragmatic transfer and if any, under what conditions it happens. By combining both analyses, it was possible to achieve a better understanding of pragmatic transfer.

3.3.3. Coding Reliability

In order to ensure the reliability of the data analysis, two second raters, one Korean NS and one American English NS, were invited for data coding in addition to the primary researcher (Cohen, 1960). The American NS was one of the role-play conductors in English who contributed in the data collection process of this study and the Korean NS also participated in recruiting role-play informants in Korea. Since both of them fully acknowledged the research focus and data collection process, a brief training session was provided to explain the necessary coding schemes with examples. Due to regional constraints, this process with the Korean NS rater was conducted electronically via emails and video conference sessions.

For this validation process, fifteen percent of the data from each group were randomly chosen and independently coded by second raters. The CR data from Group KE and AE were coded by the American English NS contributor while the CR data from Group K were analyzed by the Korean NS contributor. Then, their coding results were analyzed to see whether or not the results confirmed the initial categorization by the researcher. The cases that did not match were given to a third rater for accurateness. For the role-play data in English, the interrater agreement was 85.5 % and seven instances out of the forty eight instances required a third rater whereas the Korean role-play data showed a 92 % match and only two instances among twenty four needed additional coding.

CHAPTER IV

RESULTS

This chapter presents the results of the quantitative and qualitative data analysis. Prior to reporting the findings, it is essential to differentiate between a sequence and a token. A sequence, in this study, refers to a set of utterances including a compliment and compliment response(s) whereas a token is one micro level CR strategy. A total of 479 sequences of CRs were recognized from the data set: 153 from Group AE, 167 from Group KE, and 159 from Group K. There was a strong tendency of combining more than one CR strategy throughout all three groups. With the combination patterns of CR strategies, one CR sequence often involved more than one CR strategy. As a result, a total of 763 tokens of CRs were identified and analyzed: 270 tokens from Group AE, 238 from Group KE, and 255 from Group K. The findings of the present study are presented in four parts: overall patterns of compliment responses, CR patterns in four different settings of compliment topics, CR patterns corresponding to two different power variables, and combination patterns of CR strategies.

4.1. Overall Patterns of Compliment Responses

Table 9 and Figure 1 illustrate the frequency of CR sequences and tokens for each group. A single sequence indicates the one with one CR token while a combination sequence contains more than one CR token. As shown in Table 9, the total number of CR sequences in each group is similar because possible compliment topics and situations were carefully planned and discussed

among role-play conductors; however, the number of CR tokens varies because of the differences in the frequency of combination sequences in each group.

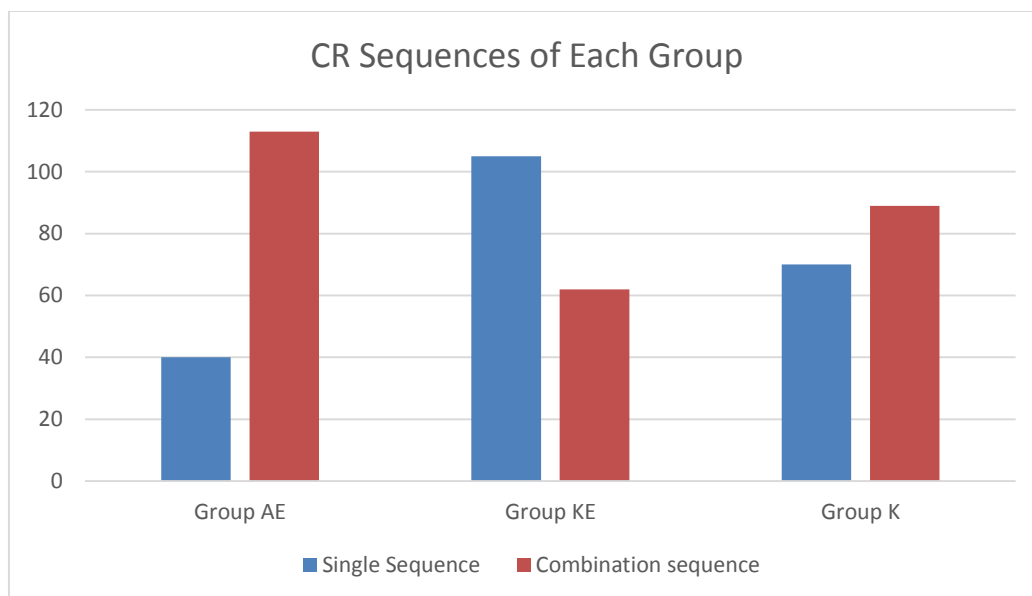
Table 9. Frequency of CR Sequences in Each Group

CR Sequences	Group AE N (%)*	Group KE N (%)	Group K N (%)
Single Sequence	40 (26.1)	105 (62.9)	70 (44.0)
Combination sequence	113 (73.9)	62 (37.1)	89 (56.0)
Total Sequence	153 (100)	167 (100)	159 (100)
Total Token	270	238	255

* Percentages were rounded to one decimal.

More than half of the CR tokens in Group AE were used in combination with other micro CR strategies, which leads to the highest frequency of combination strategies in Group AE. Group K also demonstrated a higher tendency for combination while Group KE showed a considerably lower percentage of combination sequences compared to the other two groups. Figure 1 displays this difference more clearly.

Figure 1. Frequency of CR Sequences in Each Group



The retrospective interviews after the role-play sessions revealed that this difference resulted from Group KE participants' limited language proficiency and/or lack of confidence in English. Despite the lower frequency of combination sequences, the way Group KE combined two or more micro CR strategies includes some interesting patterns. This will be further elaborated in a later section.

Table 10 shows the overall distribution of the four macro CR strategies and fourteen micro CR strategies across all situations for Group AE, Group KE, and Group K. This table, in general, indicates that the frequency of CR strategies by each group is noticeably different. It illustrates that Group AE preferred using the Accept strategy the most while they showed much less frequent usage of the Avoid and the Reject strategy. Their preference toward the Accept strategy generally confirms what the previous studies on CR have found (Herbert, 1989; Holmes, 1988, etc.). On the contrary, the Accept strategy was considerably less frequently employed in Group K's interactions; instead, the Amend strategy was the most preferred one among Korean native speakers. Avoidance of using the Accept strategy also concurred with the findings of the previous research on CRs in Asian languages that revealed a strong tendency to avoid accepting compliments and rather to reject them (Daikuhara, 1986).

An interesting feature was found in the data of Group KE. In contrast with the previous findings, Group KE selected the Accept strategy most frequently and showed a similar tendency of using the other three macro strategies to Group AE's pattern. This pattern, moreover, differs from the CR patterns of Group K. Group KE showed a considerably higher usage of the Accept strategy and a much less frequent usage of the Amend strategy than Group K. Interestingly, despite their evident preference toward acceptance, they also demonstrated a higher frequency in the Avoid and the Reject strategy in comparison to Group K. This is notable because Group KE participants illustrated their preferences to two mutually contradictory CR strategies at the same time. This interesting feature will be discussed in more detail with the combination strategy in section 4.4, more specifically with the Inter-macro level combination.

Table 10. Frequency of CR Strategies in Each Group

CR Strategies		Group AE N (%)	Group KE N (%)	Group K N (%)
Macro Strategies	Micro Strategies			
<i>Accept</i>	Upgrading utterance	9 (3.3)	5 (2.1)	2 (0.8)
	Appreciation token	121 (44.8)	68 (28.5)	24 (9.4)
	Agreeing utterance	38 (14.1)	12 (5.0)	8 (3.1)
	Return	34 (12.6)	12 (5.0)	19 (7.5)
Subtotal		202 (74.8)	97 (40.8)	53 (20.8)
<i>Amend</i>	Downgrading utterance	10 (3.7)	28 (11.8)	55 (21.6)
	Qualifying utterance	16 (5.9)	3 (1.3)	3 (1.2)
	Credit reassignment	4 (1.5)	7 (2.9)	15 (5.9)
	Explanatory comment	26 (9.6)	13 (5.5)	40 (15.7)
	Doubting/Reassurance question	2 (0.7)	3 (1.3)	35 (13.7)

Subtotal		58 (21.5)	54 (22.7)	148 (58.0)
<i>Avoid</i>	Ignore/Topic change	1 (0.4)	11 (4.6)	8 (3.1)
	Laugh	0 (0.0)	26 (10.9)	2 (0.8)
	Joke	5 (1.9)	0 (0.0)	10 (3.9)
Subtotal		6 (2.2)	37 (15.5)	20 (7.8)
<i>Reject</i>	Questioning sincerity	3 (1.1)	4 (1.7)	2 (0.8)
	Disagreeing utterance	1 (0.4)	46 (19.3)	32 (12.5)
Subtotal		4 (1.5)	50 (21.0)	34 (13.3)
TOTAL		270 (100)	238 (100)	255 (100)

Figure 2 and 3 are graphic representations of the general CR patterns of all three groups at macro level and micro level, respectively. They clearly demonstrate the differences among the three groups. Group AE presented distinct differences from Group K, especially with the markedly higher frequency of the Accept strategy and a lower usage of the Avoid and the Reject. As shown in the micro level analysis (Figure 3), the Appreciation token was the most preferred strategy in Group AE. The preference for the Appreciations token was also identified in the data of Group KE; however, an interesting point to be examined is that the Disagreeing utterance was the second most preferred micro strategy by Group KE, which is generally considered as opposite to accepting. As in Example 1 and 2, the Inter-macro level combination can explain this interesting inconsistency. Group KE tended to employ the Appreciation token and/or the Agreeing utterance in association with the Disagreeing utterances.

Example 1. Use of Appreciation token in Group KE

C: You did a great job! You have a good English!

KE4: *Oh, no. I did not.* *But thank you.*
 (Disagreeing utterance) (Appreciation token)

Reject

Accept

Example 2. Use of Appreciation token in Group KE

C: Beautiful dress!

KE2: *Thanks.* (Appreciation token) *But it's not, I got so much weight and it's too tight.* (Disagreeing utterance)
Accept Reject

As shown above, in Group KE's CR patterns, it was frequently found that the micro strategies under the Accept strategy were combined mostly with the micro strategies under the Reject or the Amend strategy. This combination pattern explains a relatively higher usage of the Accept micro strategies among Group KE participants, which goes against the previous findings and Korean cultural norms. In the Korean culture where modesty plays a vital role as well as the previous research on non-western language CRs, acceptance is the least favorite CR strategy mainly due to cultural inappropriateness.

Figure 2. Frequency of Macro CR Strategies

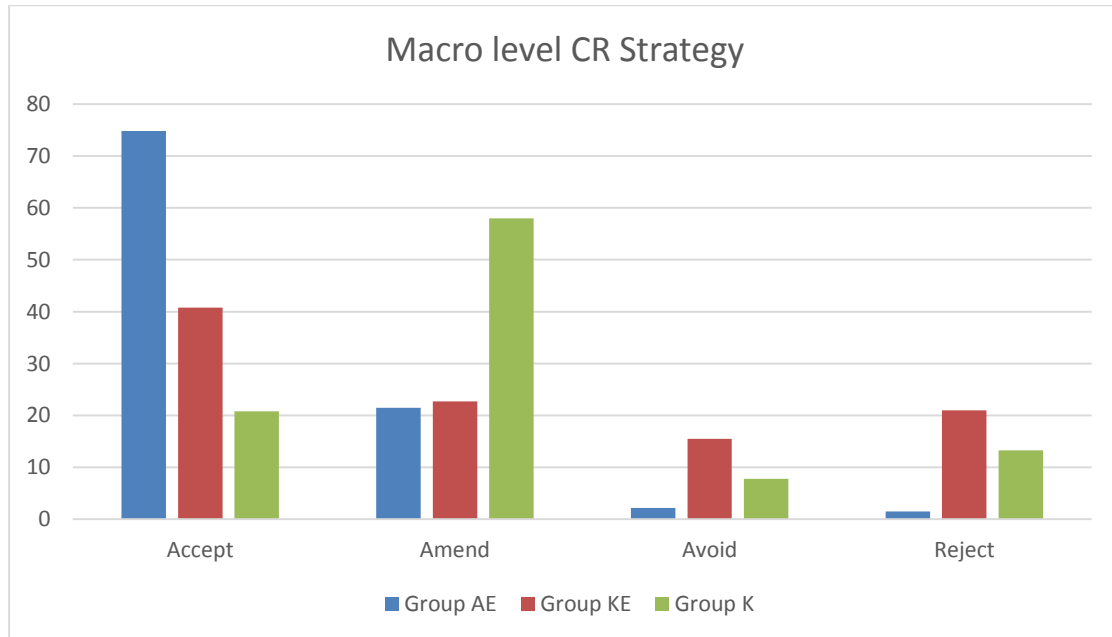
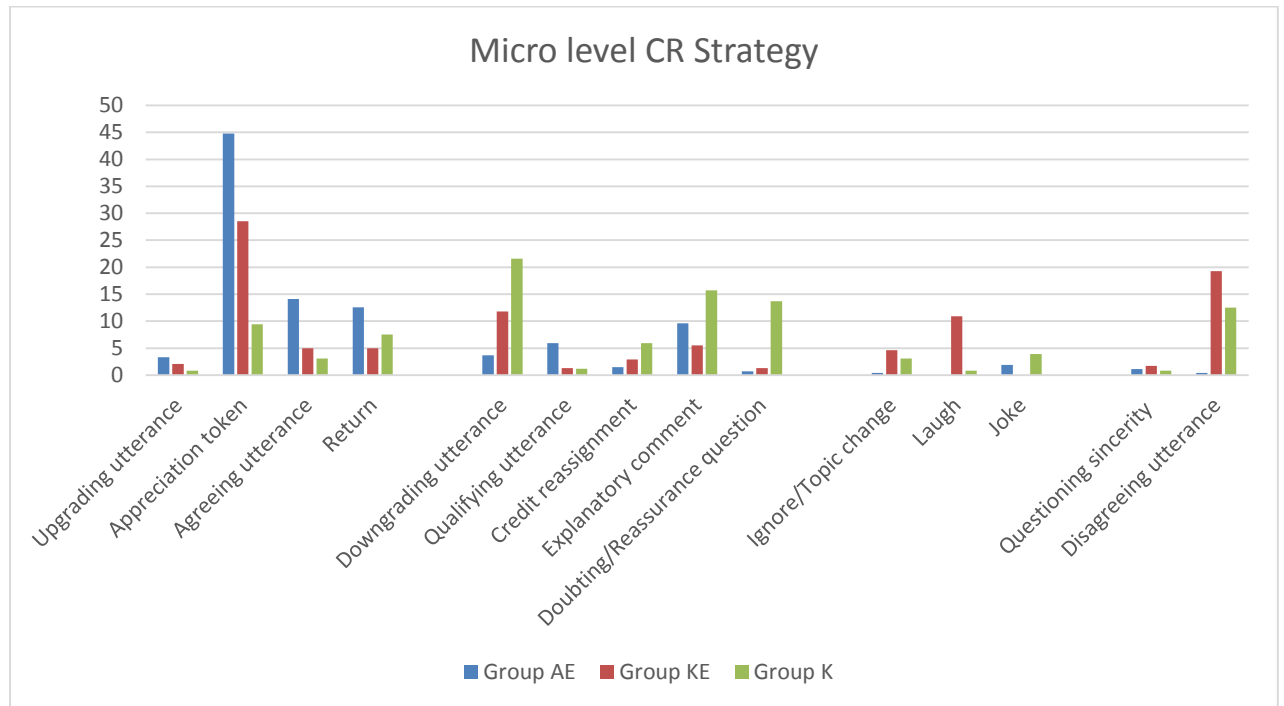


Figure 3. Frequency of Micro CR Strategies



In a comparison of Group KE and K, the top three micro strategies for Group K, in terms of their frequency of use, were all affiliated with the Amend strategy whereas Group KE showed a diverse pattern across all four macro strategies. As briefly mentioned above, the combination strategy was the reason behind this difference. Group KE participants tended to combine the Accept micro strategies with the one(s) under either the Amend or the Reject macro strategy, as illustrated in Example 3. On the other hand, Group K showed a dominant usage of the Amend strategy, such as Downgrading utterances, Explanatory comments, and Doubting/Reassurance questions. Example 4 demonstrates this tendency.

Example 3. Accept strategy + Reject/Amend strategy in Group KE

C: Beautiful dress! You look great!

KE3: ... *Thank you....* *I bought it yesterday.* *It was a real bargain, really cheap.*
 (Appreciation token) (Explanatory comment) (Downgrading utterance)
 Accept Amend Amend

K6: 커피 사줘야겠다. @@@
I need to buy you a coffee. @@@
(Joke)
Avoid

KE5 in Example 5 did not respond to the compliments at all, even with the second attempt by the role-play conductor, whereas K6 in Example 6 made a joke to naturally escape the situation. Retrospective interviews with Group KE revealed that their language proficiency was the reason behind this difference. Although they wanted to elaborate their responses to the compliments, their insufficient proficiency prevented them from doing so, as illustrated in Example 7.

Example 7. Retrospective interview in Group KE

KE5: 뭐라고 말해야할지 모르겠더라구요. @@ ‘내 옷이쁘죠’ 하기에는 좀 어색한데, 그렇다고 ‘아니요’ 하자니 안 맞는거 같고. 좀 공격적인거 같아서요. 뭔가 좋은 얘기를 해주고 싶었는데 영어가 떨어져서. @@ 그래서 그냥 웃었어요. 한국말이었으면 더 말 잘했을텐데. @@

I just didn't know what to say there. @@ It was awkward to say 'yes, my blouse is pretty'. But simple 'no' didn't sound right, either. It seemed a little offensive. I wanted to say something good to her (the role-play conductor) but my English is not good enough. @@ So I was hesitated and laughed. I would have said more in Korean. @@

Researcher: 뭘 더 얘기했을 거 같아요?
What would you say more about in Korean?

KE5: 음.. 설명을 좀더 했을 거 같아요. 이 옷 한국에서 가져온건데 그 얘기도 해주고. 뭐 그런거. 암튼 이것저것 말 잘했을 거 같아요. 안 어색하게 @@

Uhm... I would explain more. I got this blouse from Korea and things like that. I think I could say much more. And less awkwardly. @@

As in Example 7, lack of language proficiency resulted in the differences in CR patterns between Group KE and K. A noticeably less frequent usage of the Explanatory comment among Group KE participants compared to Group K can also be explained with this point. Even when they wanted to elaborate their CRs by adding more information, their language proficiency inhibited their use of the Explanatory comment for elaboration.

4.2. Compliment Response Patterns Corresponding to Different Settings

The data collected were also analyzed with regard to different compliment topics including appearance, personality, possession, and ability. The findings are demonstrated with tables and figures below based on both macro and micro level analysis. Table 11 represents the total number of sequences and tokens identified by each group. Wide discrepancies in the total number of CR sequences for each compliment topic are indicative of the nature of the Conversational role-play. The Conversational role-play allows a certain degree of freedom to the role-play conductors in order to elicit more naturally occurring CR data. They were allowed to lead the conversation freely within the given situations and to offer compliments whenever they seem appropriate. Consequently, each role-play had a different number of CR sequences and topics.

Due to the dominant usage of the combination strategies, the total number of CR tokens in the three groups is larger than the number of CR sequences, regardless of compliment topics. However, CRs to the compliments on personality showed fewer combinations compared to the CRs to the other compliment topics. The smaller number of CR tokens to personality indicate that participants, regardless of the groups, were less likely to elaborate their responses when they were complimented on personality. In other words, personality was the most sensitive compliment topic.

Table 11. Frequency of CR Sequences/Tokens corresponding to 4 Situations

	Appearance			Personality			Possession			Ability		
	AE	KE	K	AE	KE	K	AE	KE	K	AE	KE	K
N of CR Sequences	50	38	40	21	26	20	39	28	40	43	75	59
N of CR Tokens	92	56	68	29	31	30	72	43	59	77	108	98

Table 12 and Figure 4 present more detail with the macro level CR patterns corresponding to four situations including different compliment topics. Table 12 provides the raw data regarding the frequency of CR strategies in four settings. Due to the different number of CR sequences and tokens produced by each group, comparing the number of CR strategies directly cannot explain the actual difference among the three groups. Thus, Figure 4 demonstrates the percentage of CR strategies by each group at the macro level.

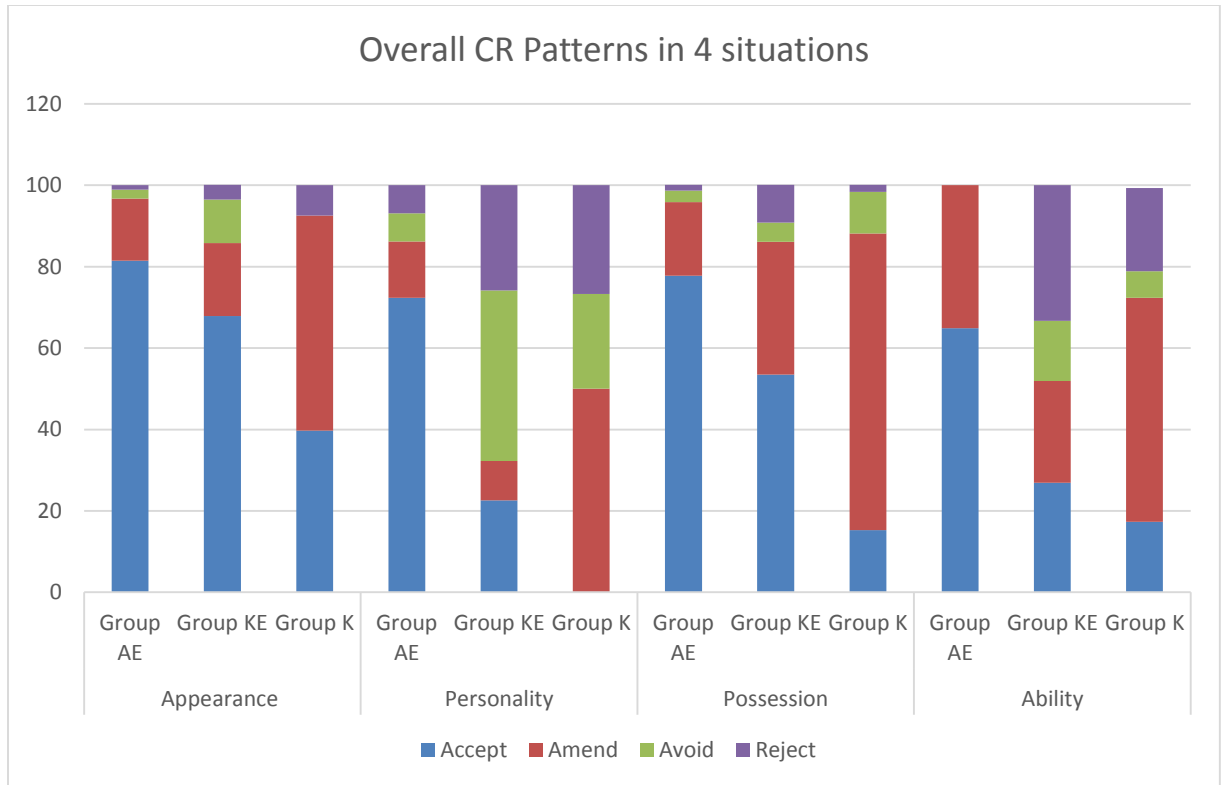
Table 12. Frequency of CR Patterns corresponding to 4 Situations (Raw data)

		Appearance			Personality			Possession			Ability		
		AE	KE	K	AE	KE	K	AE	KE	K	AE	KE	K
Accept	Upgrading utterance	0	1	1	0	0	0	8	2	1	1	2	0
	Appreciation token	43	25	10	18	7	0	23	14	2	37	22	12
	Agreeing utterance	5	1	2	0	0	0	24	6	6	9	5	0
	Return	27	11	14	3	0	0	1	1	0	3	0	5
	<i>Subtotal</i>	<i>75</i>	<i>38</i>	<i>27</i>	<i>21</i>	<i>7</i>	<i>0</i>	<i>56</i>	<i>23</i>	<i>9</i>	<i>50</i>	<i>29</i>	<i>17</i>
Amend	Downgrading utterance	2	5	6	3	1	11	2	2	9	3	20	29
	Qualifying utterance	1	0	0	0	1	0	1	0	0	14	2	3
	Credit reassignment	0	2	3	0	0	3	1	2	1	3	3	8
	Explanatory comment	10	2	11	1	0	1	9	9	21	6	2	7
	Doubting/ Reassurance Question	1	1	16	0	1	0	0	1	12	1	0	7

	<i>Subtotal</i>	<i>14</i>	<i>10</i>	<i>36</i>	<i>4</i>	<i>3</i>	<i>15</i>	<i>13</i>	<i>14</i>	<i>43</i>	<i>27</i>	<i>27</i>	<i>54</i>
Avoid	Ignore/Topic Change	0	3	0	0	3	1	1	0	4	0	5	3
	Laugh	0	3	0	0	10	0	0	2	0	0	11	2
	Joke	2	0	0	2	0	6	1	0	2	0	0	2
	<i>Subtotal</i>	<i>2</i>	<i>6</i>	<i>0</i>	<i>2</i>	<i>13</i>	<i>7</i>	<i>2</i>	<i>2</i>	<i>6</i>	<i>0</i>	<i>16</i>	<i>7</i>
Reject	Questioning sincerity	1	0	1	1	0	0	1	2	0	0	2	1
	Disagreeing utterance	0	2	4	1	8	8	0	2	1	0	34	19
	<i>Subtotal</i>	<i>1</i>	<i>2</i>	<i>5</i>	<i>2</i>	<i>8</i>	<i>8</i>	<i>1</i>	<i>4</i>	<i>1</i>	<i>0</i>	<i>36</i>	<i>20</i>
Total		92	56	68	29	31	30	72	43	59	77	108	98

Figure 4 is a graphic presentation of the macro level analysis of CR strategies. At the macro strategy level, a similar trend was found in accordance with the overall CR pattern demonstrated in Table 10 above. In general, the Accept strategy was the most preferred one for Group AE and Group KE whereas the Amend strategy was most frequently used by Group K, with an exception of CRs to personality in Group KE. The Accept strategy was always the most favored macro CR strategy in Group KE's patterns; however, their CRs to personality demonstrated a different pattern with a highest usage of the Avoid strategy.

Figure 4. Macro CR Patterns in 4 Situations (Percentage)



As shown in Figure 4 above, CRs to the compliments on personality illustrated a different pattern. Group KE tended to use the Avoid strategy most frequently while they preferred the Accept strategy in other settings. Group K also avoided responding to compliments more frequently compared to the overall pattern and never accepted the compliments at all on personality. Moreover, the Reject strategy was more frequently used by Group AE in responding to the compliment on personality. It is noticeable because Group AE participants hardly used the Reject strategy in other situations. Along with the above-mentioned less elaborated responses, these differences throughout the groups also indicate the sensitivity of personality as a compliment topic.

In addition to personality, while CRs corresponding to appearance and possession generally confirm the overall CR patterns, a similar variance was found in CRs to ability. When it comes to responding to the compliments on ability, Group KE showed a lower frequency of using

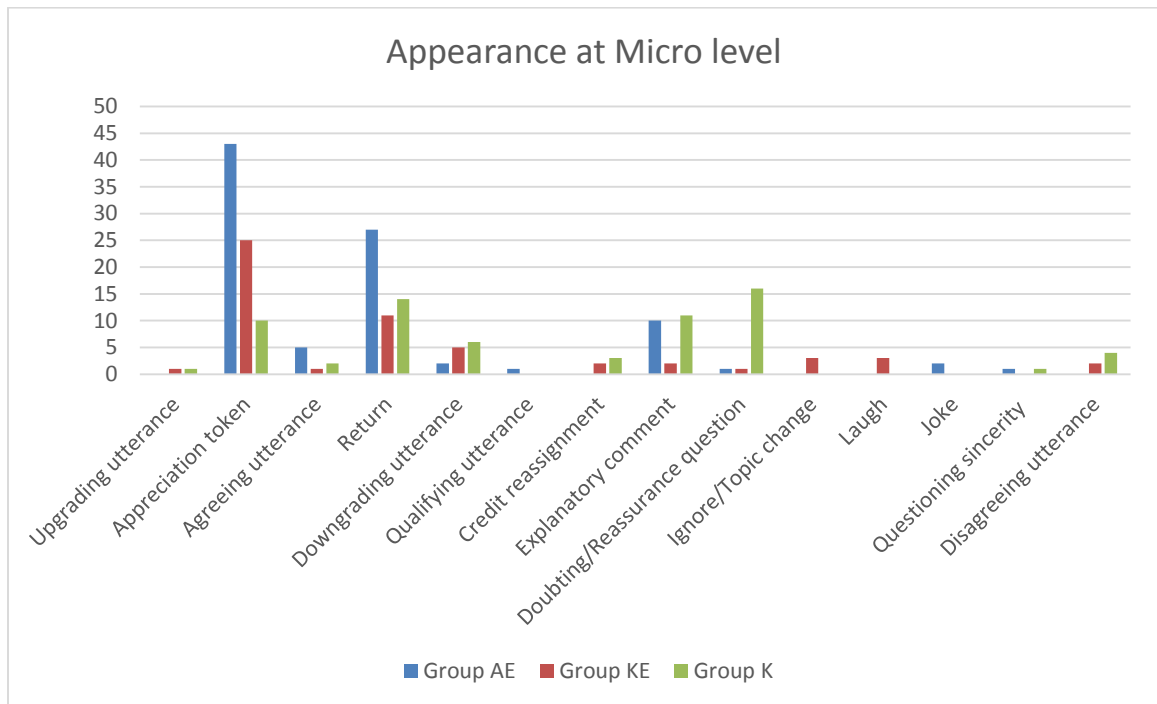
the Accept strategy and a rather higher frequency of the Reject strategy. Group K also employed more Reject strategies in this setting. On the contrary, Group AE responded in a similar pattern to the overall tendency without any usage of the Avoid and the Reject strategy at all in terms of ability as a compliment topic. This difference may indicate that the compliments on ability could be another delicate topic for Koreans.

4.2.1. Micro Level Analysis of CR Patterns in four settings

4.2.1.1. CR Patterns corresponding to Appearance

In addition to the macro level analysis, the CR data from each group regarding four settings were examined at micro level as well. Figure 5 demonstrates the CR pattern regarding the topic of appearance at micro level.

Figure 5. Micro CR patterns corresponding to Appearance



Group AE preferably used the Appreciation tokens and hardly employed micro strategies under the Avoid and the Reject strategy. Interestingly, this group showed a higher

tendency to provide return compliments to the interlocutor on the topic of appearance. The Returns were very often associated with the Appreciation token, as shown in Example 8.

Example 8. Appreciation token + Return in Group AE

C: You look great tonight!

AE4: <i>Oh, thank you.</i>	<i>You look amazing as well.</i>
(Appreciation token)	(Return)
Accept	Accept

In the responses of Group KE, a parallel pattern to the results of Group AE was found although the frequency of micro strategies under the Accept strategy in Group KE was considerably lower than that of Group AE. Two micro CR strategies under the Accept, Appreciation tokens and Returns, were preferably selected by Group KE respondents. The most preferred micro strategy for Group K was the Doubting/Reassurance question under the Amend strategy, which was quite predictable based on their overall CR pattern. What is interesting was the relatively higher usage of Returns. The micro CR strategies under the Accept macro strategy were not popularly employed among native Korean speakers; however, the results indicated that the frequency of using Returns among Group K was even higher than that of Group KE which tended to show the more frequent usage of the Accept strategies in general.

In terms of appearance as a compliment topic, the results identified the higher frequency of Returns in general throughout all three groups. What is more interesting here was the difference in the way that the Return was formed among the three groups. Examples 9, 10, and 11 illustrate the two different types of Returns.

Example 9. Return in Group AE

C: You look great tonight!

AE4: *Oh, thank you.* *So do you!*

(Appreciation token)	(Return)
Accept	Accept

Example 10. Return in Group KE

C: You look very nice in your dress!

KE14: Thank you.	<i>But your dress is <u>more</u> beautiful.</i>
(Appreciation token)	(Return)
Accept	Accept

Example 11. Return in Group K

C: 헤어스타일이 너무 예뻐요. 잘 어울려요.
I love your hair style. You look great!

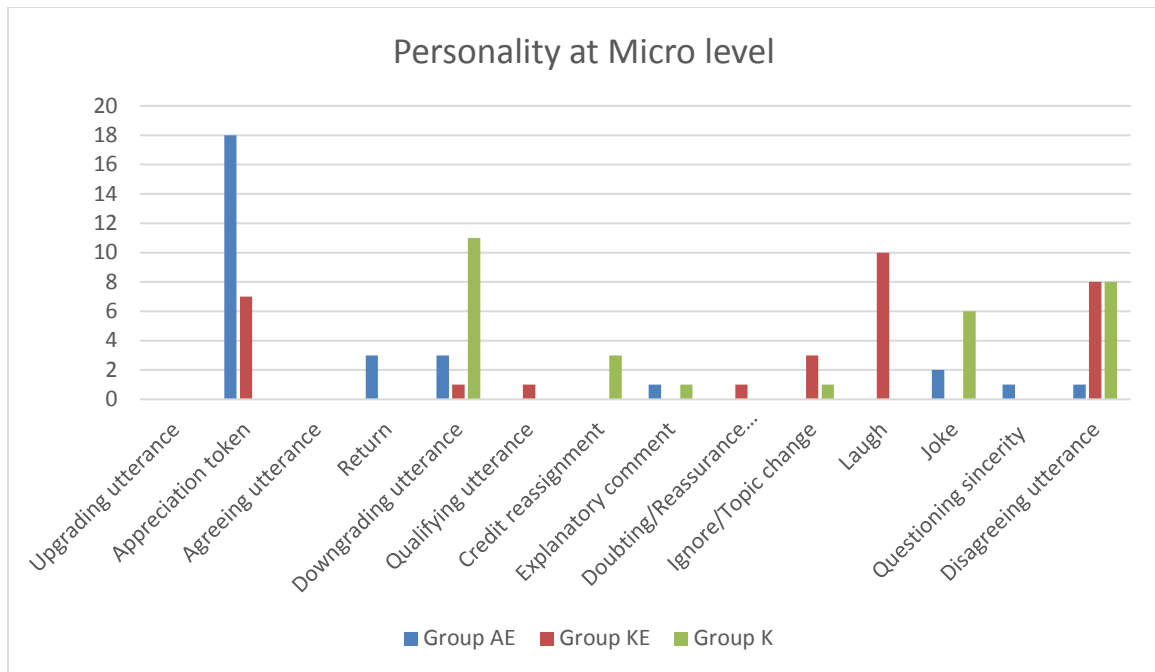
K18: 저번주에 새로 했어요. @@ 근데 저는 언니 머리가 더 예쁜데요. 더 여성스러워요.	
I had my haircut last week. @@ <i>But I think your style is prettier. <u>More</u> feminine.</i>	
(Explanatory comment)	(Return)
Amend	Accept

As illustrated above, Group AE respondents used the Return simply to pay back the same complimentary force to the compliment giver, whereas the informants in Group KE and K provided a special return that involved a stronger complimentary credit for the compliment giver. With this special return, the participants in Group KE and K attempted to show more respect to their interlocutors and indirectly downgrade their complimented object.

4.2.1.2. CR Patterns corresponding to Personality

As indicated above in the lower frequency of combination strategies in CRs to personality in comparison with other compliment topics, participants showed discomfort or reluctance in responding to the compliments on personality. Figure 6 demonstrates the micro CR patterns corresponding to the compliments on personality.

Figure 6. Micro CR patterns corresponding to Personality



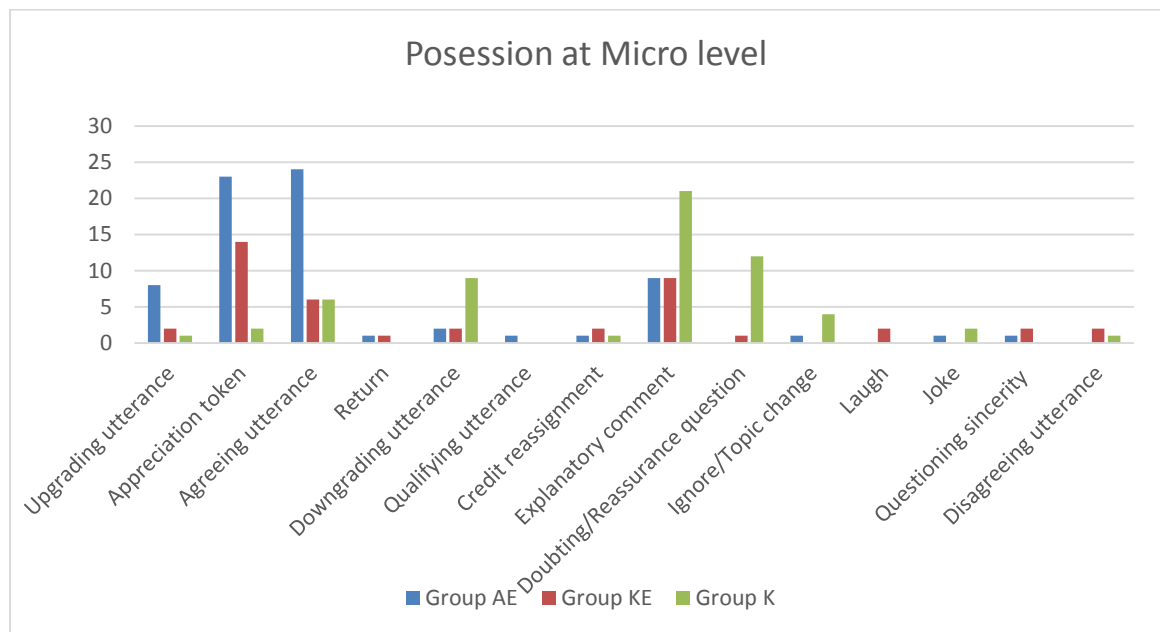
In Group AE, even though the Appreciation token was again the most preferred micro strategy, there was very limited distribution of micro CR strategies under the Accept strategy. This is a contradicting result based on the overall CR patterns of Group AE that presented a diverse usage of the Accept strategies. Even the higher usage of the Appreciation token showed another contradicting pattern. Usually Group AE informants used the Appreciation token in association with other micro strategies, such as Returns, Agreeing utterances, or Explanatory comments; however, in this setting, they tended not to elaborate their responses. Group KE and Group K demonstrated a similar pattern with less acceptance and higher avoidance and rejection. Group KE avoided responding to compliments in this setting with mere laughter. These patterns indicated the unwillingness and/or discomfort against accepting compliments on personality by Korean respondents.

4.2.1.3. CR Patterns corresponding to Possession

Figure 7 illustrates the micro level analysis of CR patterns corresponding to the compliments on possession. The CR patterns of each group generally confirmed the overall CR

patterns shown in Table 9 and Figure 3. Group AE informants dominantly used the Appreciation tokens, the Agreeing utterances, and the Upgrading utterances, all of which were categorized into the Accept strategy while Group K mostly employed micro strategies under the Amend strategy, such as the Explanatory comments, the Downgrading utterances, and the Doubting/Reassurance questions. Group KE showed again the parallel pattern to that of Group AE but with less frequency.

Figure 7. Micro CR patterns corresponding to Possession



Unlike the CRs in the setting of personality, micro level CR patterns revealed that the compliments on possession were generally considered to be more receptive than other compliment topics. Group AE used a noticeably higher frequency of the Upgrading utterance and the Agreeing utterance and Group KE and Group K employed the micro CR strategies under the Avoid and the Reject much less frequently, compared to the other settings. Examples 12, 13, and 14 illustrated the CR patterns to possession of the three groups.

KE11: 잘 모르겠어요. 그냥 핸드폰 멋지다니까 새로 산거라고 얘기한 거 같아요.

I don't know. I just responded 'it is brand new' when she said 'nice cell phone'.

Researcher: 다른 칭찬이면 대답하는게 다를까요? 장학금 받은 거 칭찬하는 거는 아니라고 계속 하던데.

Would you respond differently to different compliment topics? You kept rejecting the compliments on your scholarship.

KE11: 스마트 하다고 칭찬하던데, 네 맞아요 하기에는 좀 쑥스러워서. @@

She complimented I must be really smart. It was awkward to say 'yes, I am' to that compliment. @@

4.2.1.4. CR Patterns corresponding to Ability

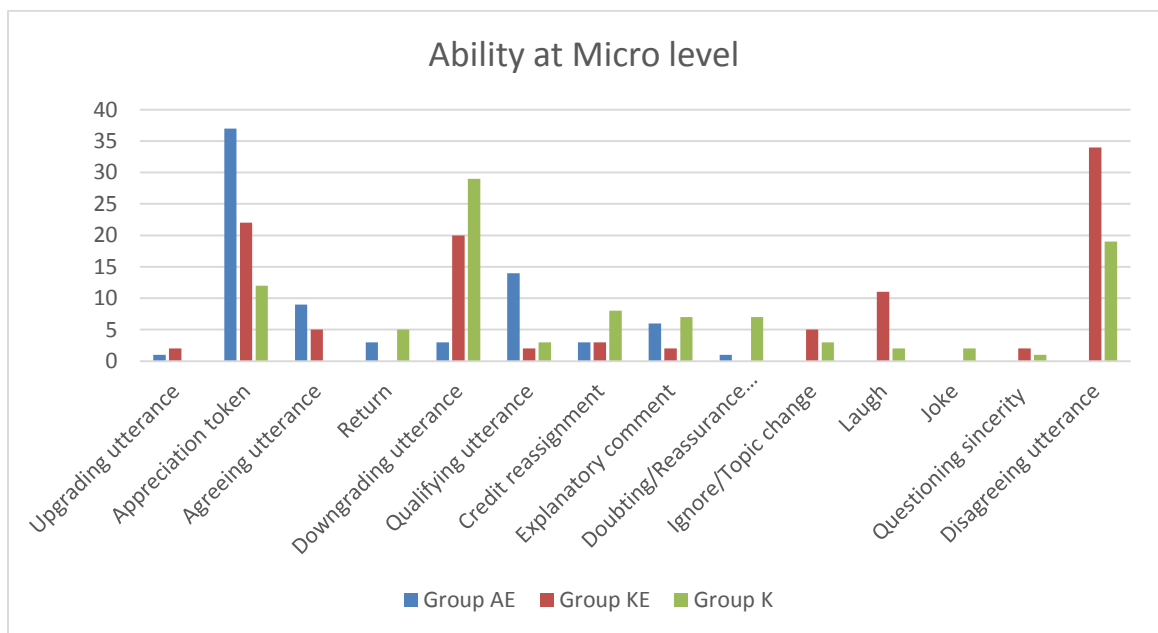
Figure 8 illustrates the micro CR patterns regarding the last compliment topic, ability.

Group AE and Group K showed concurring patterns with the overall CR patterns identified

above: a dominant usage of the Appreciation token for Group AE and a higher frequency of the

Amend micro strategies for Group K.

Figure 8. Micro CR patterns corresponding to Ability



One noticeable point was the considerably higher usage of the Disagreeing utterance among Group KE participants. In comparison with other compliment topics, the compliments on ability were not likely to be accepted by Group KE participants. This hesitancy of Group KE results from the difference in data collection settings. As presented in Table 7, two different compliment topics regarding ability were provided. Group AE and K informants were complimented on their role-play performance while Group KE were given a compliment on their language proficiency. Considering their self-assessed proficiency, intermediate to intermediate high as explained in 3.2.1.1.3, Group KE participants were not confident enough to accept the compliments on ability. Examples 16 and 17 show this pattern.

Example 16. CR to Ability in Group KE

C: You did a great job giving me the direction in English.

KE14:	<i>Oh, no.</i>	<i>I was so nervous and made many mistakes.</i>
	(Disagreeing utterance)	(Downgrading utterance)
	Reject	Amend

Example 17. CR to Ability in Group KE

C: Great job! Your pronunciation is good!

KE19:	<i>... not sure if my answers are enough @@.</i>
	(Disagreeing utterance)
	Reject

As shown above, Group KE participants tended to reject the compliments on ability, more specifically, on their language proficiency. As to the language proficiency, in addition to the self-assessed proficiency, Group KE participants were also asked to provide the standardized English test scores (e.g., TOEFL, IELTS, etc.) in the background questionnaire. Interestingly, they showed a tendency to underestimate their actual English proficiency on the self-assessment. They inclined to downgrade their level of English compared to the test results. Example 18 is an

excerpt from the retrospective interview with KE 19 who rejected the compliment on ability in Example 17.

Example 18. Retrospective Interview of Group KE

Researcher: 토플점수가 아주 높은데요. 영어 잘하는데 왜 3 점 밖에 안줬어요. @@
Your TOEFL score is pretty high! You must have a good English. But why did you give only '3' for your English? @@
KE19: @@ 아니에요. 운이 좋아서 점수 잘받은거지 영어 잘 못해요....
@@ *oh, no. I was so lucky to get that score. I'm not good at English.*
Researcher: 자신감 가지셔도 될거 같아요. @@ 롤플레이할 때도 정말 잘하시던데요 뭘. 발음도 좋구. @@
You should be more confident! @@ You did a great job during role-play. Good pronunciation, too. @@
KE19: 아니에요. 떨리고 좀 어색해서 많이 틀린거 같은데. @@
No. I was nervous and a little awkward so I made many mistakes. @@

Although KE 19 reported that her TOEFL score is 92, which could be classified as an advanced level, she didn't feel confident with her English and reluctant to accept the compliment on her language proficiency. The lack of confidence as well as the Korean norm, being modest, again play an important role here. It further affected the CR patterns of Group KE to the compliments on ability and led a higher usage of the Reject strategy among Group KE.

4.3. Compliment Response Patterns Corresponding to Different Power Variables

The present study also examined the differences in compliment responses corresponding to different power variables: CR patterns to the interlocutors in higher and equal status. As illustrated in Table 7, the first situation of the Conversational role-play was designed to gather the CRs to equal status (between fellow students) while the second one was intended to collect the CRs to a higher status interlocutor (between a professor and a student). Natural conversation during the role-play was initially designed to elicit the CR data corresponding to equal status because both role-play conductors and participants were given the information about

each other's status. It went well as planned with Group AE; however, Group KE and Group K did not regard the role-play conductor as having equal status. Retrospective interviews after the role-play sessions revealed that Group K considered a role-play conductor to be in a higher status while Group KE viewed a role-play conductor as either higher or equal. Thus, for the analysis regarding different power variables, only the two role-play situations were included for Group KE's CR data and natural conversation data from Group K was analyzed as CRs to the higher status. Table 13 presents the total number of sequences and tokens based on this consideration.

Table 13. Frequency of CR Sequences/Tokens corresponding to Power Variables

	Group AE		Group KE		Group K	
	To Higher	To Equal	To Higher	To Equal	To Higher	To Equal
N of Sequences	40	113	41	72	99	60
N of Tokens	72	198	57	104	160	95

Table 14 illustrates the results of CR patterns according to different statuses. In order for a more reasonable comparison, percentages were also obtained for each category. Figures 8 and 9 show the CR patterns corresponding to different power variables both at macro and micro level, respectively.

Table 14. CR Patterns corresponding to Power variables

CR Strategies		Group AE N (%)		Group KE N (%)		Group K N (%)	
Macro Strategies	Micro Strategies	To Higher	To Equal	To Higher	To Equal	To Higher	To Equal
Accept	Upgrading utterance	1 (1.4)	8 (4.0)	1 (0.2)	4 (3.8)	1 (0.6)	1 (1.1)
	Appreciation token	36 (50.0)	85 (42.9)	14 (24.6)	23 (22.1)	14 (8.8)	10 (10.5)

	Agreeing utterance	2 (2.8)	37 (18.7)	2 (3.5)	7 (6.7)	4 (2.5)	4 (4.2)
	Return	14 (19.5)	19 (9.6)	8 (14.0)	0 (0.0)	19 (11.8)	0 (0.0)
	Subtotal	53 (73.6)	149 (75.3)	25 (43.9)	34 (32.7)	38 (23.8)	15 (15.8)
Amend	Downgrading utterance	4 (5.6)	6 (3.0)	7 (12.3)	12 (11.5)	31 (19.4)	24 (25.3)
	Qualifying utterance	7 (9.7)	9 (4.5)	1 (0.2)	1 (0.9)	2 (1.3)	1 (1.1)
	Credit reassignment	1 (1.4)	3 (1.4)	2 (3.5)	2 (1.9)	11 (6.9)	4 (4.2)
	Explanatory comment	4 (5.6)	22 (11.1)	2 (3.5)	9 (8.6)	25 (15.6)	15 (15.8)
	Doubting/Reassurance question	0 (0.0)	2 (1.0)	1 (0.2)	1 (0.9)	27 (16.9)	8 (8.4)
	Subtotal	16 (22.2)	42 (21.2)	13 (22.8)	25 (24.0)	96 (60.0)	52 (54.7)
Avoid	Ignore/Topic change	0 (0.0)	1 (0.5)	4 (7.0)	4 (0.4)	6 (3.8)	2 (2.1)
	Laugh	0 (0.0)	0 (0.0)	8 (14.0)	10 (9.6)	2 (1.3)	0 (0.0)
	Joke	3 (4.2)	2 (1.0)	0 (0.0)	0 (0.0)	0 (0.0)	10 (10.5)
	Subtotal	3 (4.2)	3 (1.5)	12 (21.1)	14 (13.5)	8 (5.0)	12 (12.6)
Reject	Questioning sincerity	0 (0.0)	3 (1.5)	1 (1.8)	2 (1.9)	2 (1.3)	0 (0.0)
	Disagreeing utterance	0 (0.0)	1 (0.5)	6 (10.5)	29 (27.9)	16 (10.0)	16 (16.8)
	Subtotal	0 (0.0)	4 (2.0)	7 (12.3)	31 (29.8)	18 (11.3)	16 (17.4)
	TOTAL	72 (100)	198 (100)	57 (100)	104 (100)	160 (100)	95 (100)

As presented above in Table 14, the CR patterns of each group corresponding to two different statuses were in accordance with the overall CR patterns. Regardless of power variables, Group AE tended to accept more and hardly reject whereas Group K mostly attempted to amend the complimentary force and much less frequently used the Accept or the Reject strategy. The CR patterns of Group KE also showed a parallel trend; that is, the frequency of each macro strategy was located somewhere in the middle between those of Group AE and K. These patterns are represented in Figure 9.

Figure 9. Macro level CR Patterns corresponding to Power Variables

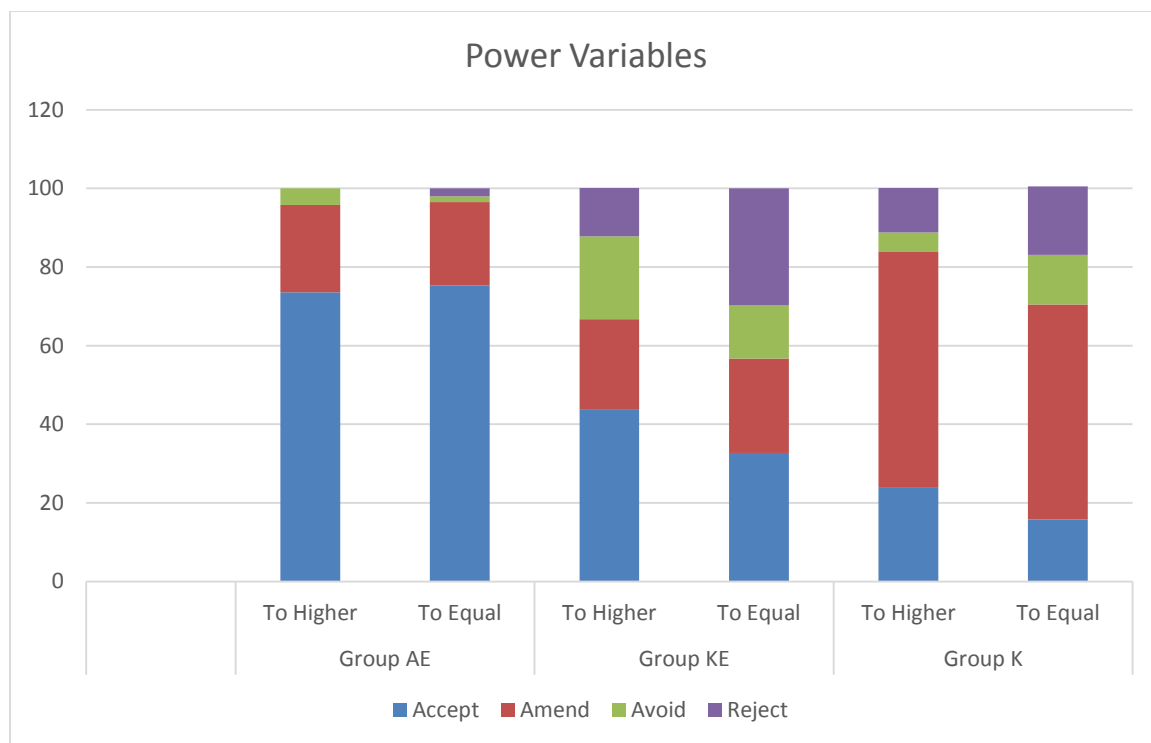


Figure 9 illustrates the macro level CR patterns with respect to different statuses. As shown above, at the macro level, all three groups showed similar CR patterns regardless of the power variables. It was assumed that different CR patterns would be found according to the different social status of the interlocutors, especially in the cases of Group KE and Group K. On the basis of Korean cultural norms as well as a generally accepted act in most cultures, it was anticipated that respondents would report higher usage of the Amend, the Avoid, and the Reject strategies to the interlocutors in higher position while they would accept more with their interlocutors in equal status. On the contrary, the results indicated that Group KE showed a less frequent usage of the Accept strategy and a higher usage of the Reject strategy to the interlocutors in equal status. Group K showed similar patterns. Examples 19 and 20 show the CR patterns to equal status in Group KE and Group K, respectively.

Example 19. CR to Equal status in Group KE

C: Nice car!

KE3: uhm, „thanks	<i>But not brand-new. it's a used car.</i>
(Appreciation token)	(Disagreeing utterance)
Accept	Reject

Example 20. CR to Equal status in Group K

C: 장학금 받았다면서? 너 정말 똑똑하구나.
I heard you've got a prestigious scholarship. You must be really smart!

K8: 아니야.	운이 좋았지 뭐.
<i>Oh, no.</i>	<i>I was just lucky.</i>
(Disagreeing utterance)	(downgrading utterance)
Reject	Amend

This unexpected CR pattern could be explainable with the micro level analysis which demonstrates an interesting usage of the combination strategy. They opted to combine the Accept strategy when they rejected the compliments as shown above. This tendency will be further discussed with Figure 10 below.

Figure 10. Micro level CR Patterns corresponding to Power Variables

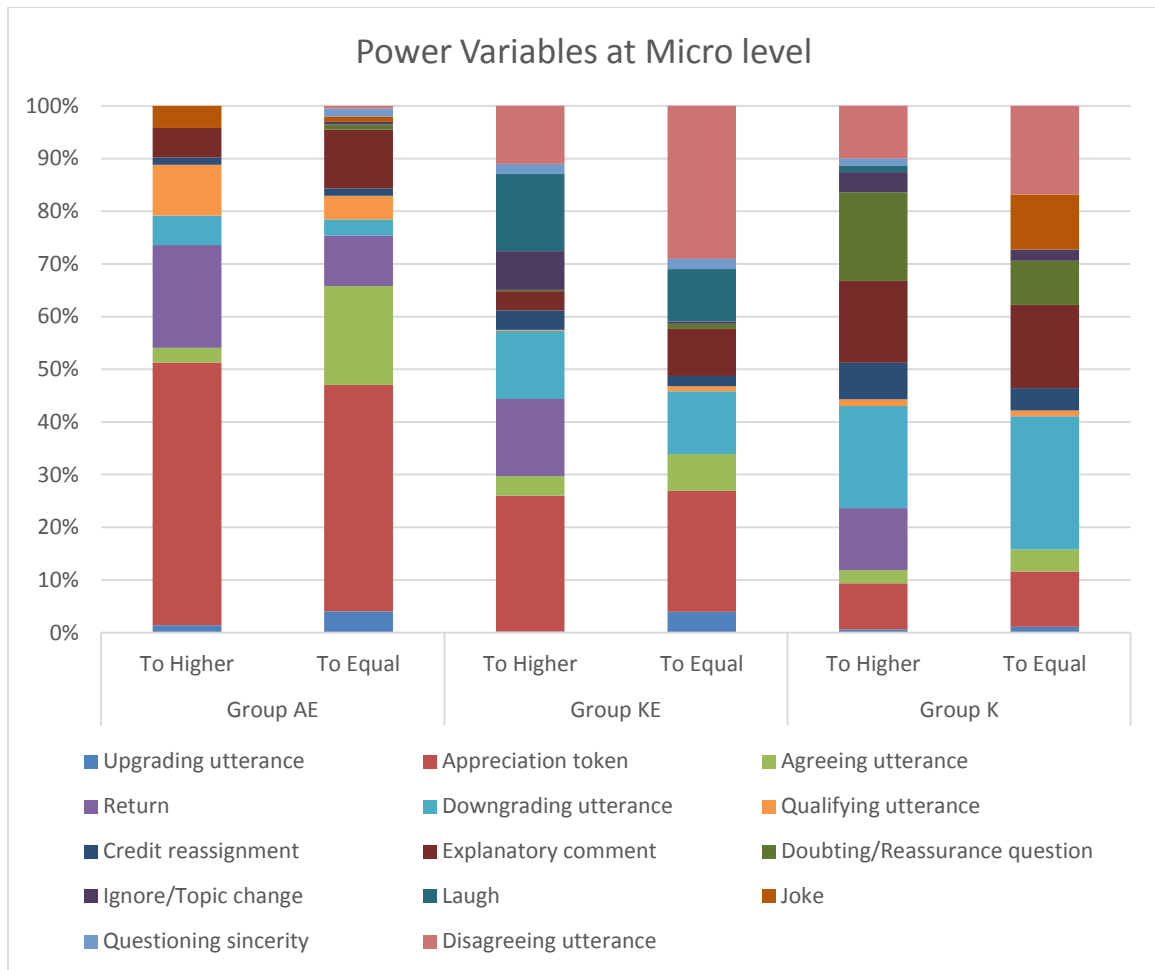


Figure 10 presents the micro level CR patterns corresponding to the power variables. More diverse patterns are visualized in each bar graph. Group AE informants used the Agreeing utterance more frequently and employed the Return less frequently in interactions with equal status, which seems to be understandable in general. Group KE and Group K illustrate more variations especially with Disagreeing utterances, Returns, and Jokes.

Both Group KE and K participants showed a higher usage of the Disagreeing utterance to equal status. This leads the unexpectedly higher usage of the Reject strategy at the macro level, as mentioned above. Interestingly, they often used the Disagreeing utterance in combination with Appreciation tokens or the Agreeing utterances in their interaction with interlocutors of equal status. As shown in Examples 21 and 22, this tendency allowed them to follow the Korean

cultural norms, being modest, while accepting the compliments by deflecting their acceptance of complimentary forces.

Example 21. Accept + Reject in Group KE

C: That's so kind of you.

KE9: *Oh..... thank you.* *But, it's not.*
(Appreciation token) (Disagreeing utterance)
Accept Reject

Example 22. Accept + Reject in Group K

C: 너 정말 어려운 장학금 받았다면서. 너 진짜 공부잘하는구나.
I heard you got a prestigious scholarship. You are really smart!

K16: 이거 별거 아니야. 하여튼 고마워.
It is nothing. *Thanks anyway*
(Disagreeing utterance) (Appreciation token)
Reject Accept

The similar combination pattern was found in Group K with a higher usage of Jokes and Downgrading utterances. Group K participants tended to combine the Joke or the Downgrading utterance with the Appreciation token, as shown in Examples 23 and 24. Accordingly, they safely accepted the compliments from their friends without going against the Korean norms.

Example 23. Joke + Appreciation token in Group K

C: 너 새차 뽑았어? 멋지다.

You have a new car? Wow, nice!

K12: 고마워. 좀 볼줄 아는데 @@
Thanks *You have an excellent eye for a car. @@*
(Appreciation token) (Joke)
Accept Amend

Example 24. Downgrading utterances + Appreciation token in Group K

C: 장학금 받았으면서, 역시 대단하다.

You've got a scholarship! How smart!

K19: 그냥 다 받는건데 뭐.

하여튼 고마워.

It's for everybody, nothing special.

Thanks anyway

(Downgrading utterance)

(Appreciation token)

Amend

Accept

Another interesting feature identified at the micro level analysis was the use of Returns.

Across all three groups, the Return was used more frequently in the interactions with higher status interlocutors. Group AE informants returned the compliments more often to higher status whereas they made more Agreeing utterances to equal status. They wanted to show more respect by returning the complimentary forces to someone in higher status. When it comes to Group KE and K, this pattern became more interesting. A similar pattern of the Return strategy was found in Group KE and K. Both groups did not employ any Return at all to the interlocutor in equal status while they showed considerably higher usage of the Return to higher status. A special usage of the Return described in Example 10 and 11 in 4.2.1.1 was also recognized here. Their returns to higher status involved comparisons between the two compliment objects of a compliment receiver and a giver.

Example 25. Special usage of Return to higher status in Group KE

C: Look at you. You look so nice!

KE16: Uhm, thank you.

I think your dress is much better

(Appreciation token)

(Return)

Accept

Accept

As in Example 25, they tended to raise the compliment giver higher and to show more respect by indirectly downgrading their compliment object.

4.4. Combination Strategy

One of the most interesting findings of this study was the combination strategy. As explained in 4.1 with Table 8 and Figure 1, all three groups showed a strong tendency to combine more than one CR strategy. Group AE illustrated a particularly higher usage of combination sequences compared to the other two groups of Korean participants. It well reflects a contrast between the cultures of Korea and America. Being loquacious especially about the compliments was not encouraged and often culturally inappropriate in Korean cultural norms. Furthermore, language deficiency, combined with this Korean cultural norm, shaped the least frequent usage of combination sequences in Group KE. Despite the lower frequency, Group KE showed a very interesting pattern of combination which will be further discussed later.

The tendency of combination was found both at the macro level and at the micro level. These two types of combination were identified as Inter-macro combination and Intra-macro combination, respectively, as shown in Examples 26 and 27. Example 26 illustrates a combination of two different macro strategies (Inter-macro combination) and Example 27 presents a combination of two micro-level strategies under the same macro level strategy (Intra-macro combination).

Example 26. Inter-macro combination

C: I love your car!

KE17: *Ah, ah..... yes. My parents chose it for me.*
(Agreeing utterance) (Credit reassignment)
Accept Amend

Example 27. Intra-macro combination

C: Wow, look at your car. You've got good taste. I love it.

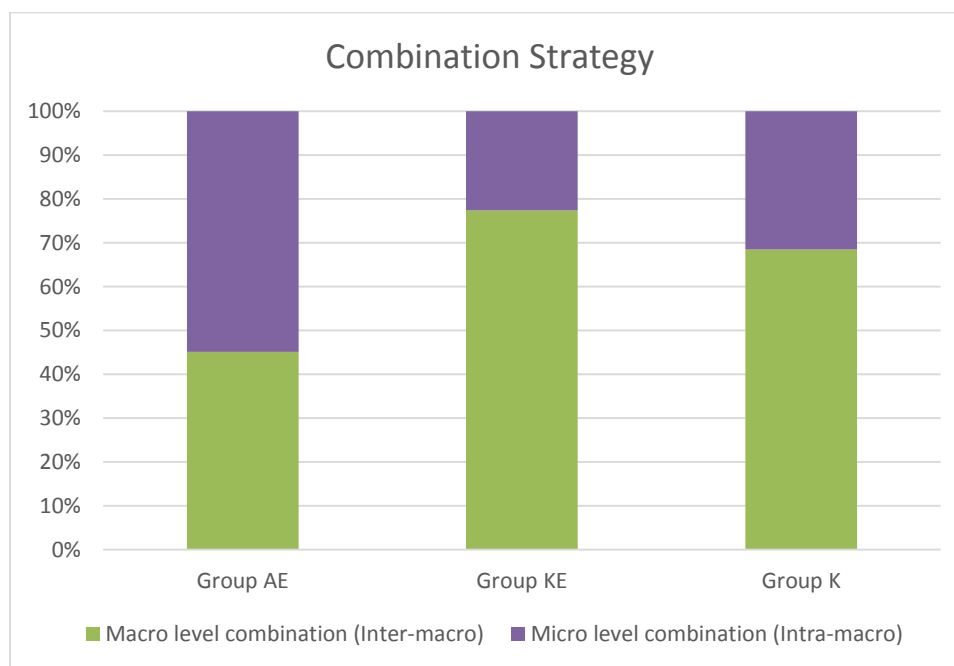
AE11: *Thank you. I'm very picky about my cars. @@*
(Appreciation token) (Agreeing utterance)
Accept Accept

Table 15 and Figure 11 demonstrate the frequency of both types of the combination strategy by each group. All three groups used both macro and micro level combinations; however, the frequency of each combination showed some variation.

Table 15. Frequency of Combination Strategy

CR Sequences		Group AE N (%)	Group KE N (%)	Group K N (%)
Combination	Macro level combination (Inter-macro Combination)	51 (45.1)	48 (77.4)	61 (68.5)
	Micro level combination (Intra-macro Combination)	62 (54.9)	14 (22.6)	28 (31.5)
Total		113 (100)	62 (100)	89 (100)

Figure 11. Frequency of Combination Strategy



As shown in Figure 11, Group AE used the micro level (Intra-macro) combination more frequently whereas Group KE and Group K showed a preferred usage of the macro level (Inter-macro) combination. Among the three groups, Group KE presented the highest usage of the Inter-macro combination. Among a total of 264 sequences, only fifteen sequences included three CR strategies: four sequences in Group AE, seven in Group KE, and four in Group K. Table 16 illustrates the combination patterns of each group in detail.

Table 16. Combination Patterns of Each Group

CR Strategy Combination				Group AE	Group KE	Group K	
Appreciation token (Accept)	+	Accept	Upgrading utterance	6	3	1	
			Appreciation	1	0	0	
			Agreeing utterance	23	0	0	
			Return	27	7	2	
	+	Amend	Downgrading utterance	6	10	2	
			Qualifying utterance	8	1	1	
			Credit reassignment	3	1	0	
			Explanatory comment	17	6	4	
	+	Avoid	Doubting/Reassurance question	0	0	4	
			Ignore/Topic change	1	0	0	
	+	Reject	Joke	5	0	1	
			Questioning sincerity	2	0	2	
			Disagreeing utterance	1	10	0	
Agreeing utterance (Accept)	+	Accept	Upgrading utterance	1	2	0	
			Return	0	0	1	
	+	Amend	Qualifying utterance	1	0	0	
			Credit reassignment	1	1	0	
			Explanatory comment	2	1	1	
			Doubting/Reassurance question	0	0	1	
Return (Accept)	+	Accept	Return	1	0	0	
Explanatory comment (Amend)	+	Accept	Return	0	0	3	
			Amend	Qualifying utterance	2	0	0
				Credit reassignment	0	0	1
				Doubting/Reassurance question	0	0	7
		Avoid	Ignore/Topic change	0	0	1	

Doubting/reassurance question (Amend)	+	Accept	Return	0	0	3
		Amend	Credit reassignment	0	0	1
		Avoid	Ignore/Topic change	0	0	1
			Joke	0	0	1
Reject	Questioning sincerity	0	0	1		
Downgrading utterance (Amend)	+	Accept	Agreeing utterance	0	0	1
		Amend	Qualifying utterance	0	0	2
			Credit reassignment	0	0	2
			Explanatory comment	0	1	1
			Doubting/Reassurance question	0	0	9
		Avoid	Joke	0	0	2
Reject	Questioning sincerity	1	0	1		
Disagreeing utterance (Reject)	+	Accept	Appreciation	0	0	4
			Agreeing utterance	0	1	0
			Return	0	0	2
		Amend	Downgrading utterance	0	8	12
			Credit reassignment	0	2	5
			Explanatory comment	0	0	3
		Avoid	Ignore/Topic change	0	0	1
			Joke	0	0	1
Reject	Disagreeing utterance	0	1	0		
3 strategy combination				4	7	4
Total				113	62	89

Table 16 illustrates the variation across groups according to two types of combination. Group AE dominantly used the Intra-macro combination. Group AE participants, based on their evident preference toward the Appreciation token, tended to combine the Agreeing utterance or the Return with the Appreciation token, all of which are categorized into the Accept strategy. This pattern again confirms what the previous studies on English CRs have shown, higher acceptance. The Appreciation token was often associated with few Amend micro strategies, mostly with the Explanatory comment.

On the contrary, Group K results indicated reverse patterns that were mostly associated with the Reject and the Amend strategy. The most prevailing pattern was the combination of the Disagreeing utterance and the Downgrading utterance. As shown in Example 28, the Disagreeing

utterance was frequently combined with the Downgrading utterance in Group K informants' responses, showing a strong avoidance to accept the complimentary forces offered.

Example 28. Disagreeing utterances + Downgrading utterances in Group K

C: 너 장학금받았다면서. 대단하다 정말
I heard you got a scholarship. You are really amazing.

K7: 아니야, 별거 아닌데 뭘.	운이 좋았던거 같아.
<i>No, it's nothing.</i>	<i>I think I was lucky.</i>
(Disagreeing utterance)	(Downgrading utterance)
Reject	Amend

This combination pattern illustrates the norms that are socially and culturally encouraged and valued among Koreans, namely modesty. By demoting and rejecting the complimentary credits, Group K participants attempted to show their modesty and to be more polite.

Another favorably used pattern of Group K was the Intra-macro combination within the Amend strategy. As indicated above with the dominant usage of Amend strategy in Group K responses, several micro strategies under the Amend macro strategy were associated with each other. A popular combination pattern within the Amend strategy was mostly associated with the Doubting/Reassurance question. This micro strategy was very often combined with the Downgrading utterance or the Explanatory comment. Examples 29 and 30 demonstrate this type of combination.

Example 29. Doubting/reassurance question + Downgrading utterance in Group K

C: 역할극 정말 잘하시는데요. 정말 자연스러워요.
You did a great job. So natural!

K7: 정말요?	다행이 한국어라. 영어로 했으면 엄청 버벅댔을 거예요.
<i>Really?</i>	<i>I was so relieved to use Korean. I would have been so evasive in English.</i>
(Doubting/Reassurance question)	(Downgrading utterance)
Amend	Amend

Example 30. Doubting/reassurance question + Explanatory comment in Group K

C: 너 새차 뽑았어? 멋지다.
Is this your new car? Cool!

K7: 정말?	엄청 알아보고 중고매장에서 샀어.
<i>Really?.</i>	<i>I did some research and found this at the used car market.</i>
(Doubting/Reassurance question)	(Explanatory comment)
Amend	Amend

These examples clearly show that the Korean cultural norms play a crucial role. Group K participants wanted to show their politeness by devaluing the complimentary forces toward themselves.

When it comes to Group KE, more interesting patterns were identified, which were different from both Group AE and Group K. The participants in Group KE preferably used the Inter-macro combination. They tended to use the Accept strategy in combination with either the Reject or the Amend strategy. Group KE showed a considerably higher frequency of using the Appreciation token compared to the Group K's CRs, which could be easily interpreted as appropriate assimilation toward a target culture because Group AE illustrated the exactly same preference to the Appreciation token. Interestingly, however, contrastive combination patterns were found between Group KE and Group AE. Contrary to the Group AE's CR patterns where the Appreciation token was dominantly combined with the Agreeing utterance or the Return, Group KE participants employed the Appreciation token in combination with different micro strategies under the Amend and the Reject strategy. As Examples 31 and 32 show, they used

more than half of the Appreciation tokens together with the Downgrading utterance or the Disagreeing utterance⁶.

Example 31. Appreciation token + Downgrading utterances in Group KE

C: That would be great. You're really kind..

KE12: Uhm...thank you. *But it's not a big deal.*
(Appreciation token) (Downgrading utterance)
Accept Amend

Example 32. Appreciation token + Disagreeing utterances in Group KE

C: Good job. It's over. Good job!

KE20: *Thank you.* *But my English is not good.*
(Appreciation token) (Disagreeing utterance)
Accept Reject

One of the interesting but unexpected findings regarding the overall CR patterns among Group KE was that the Appreciation token was the most frequently selected micro strategy. The above mentioned combination pattern, however, could be an adequate reason for this unexpectedness. This type of combination plays a very crucial role not only in following Korean social and cultural norms but also in avoiding going against what is expected in the target culture at the same time. In other words, using this type of combination, they could successfully meet the two cultural requirements.

Another notable Inter-macro combination pattern of Group KE was the Disagreeing utterance associated with the Downgrading utterance. Similar to Group K's dominance of this

⁶ The majority of the other half were employed with obvious hesitation, which was indicated by pauses, or awkward laughing. This could be another evidence to show their unwillingness or embarrassment toward accepting the compliments.

combination, Group KE also often combined the Disagreeing utterance with the Downgrading utterance, as shown in Example 33.

Example 33. Disagreeing utterance + Downgrading utterance in Group KE

C: Congratulations on your scholarship. You are so talented.

KE5: *Oh, no, no.* *I think I was the only one submitting the application.* .
(Disagreeing utterances) (Downgrading utterance)
Reject Amend

So far the CR patterns of Group AE, Group KE, and Group K were demonstrated with examples both at the macro and the micro level, according to different settings. Some interesting features, both similar and contrastive, were found in comparison of the three groups. In comparison between Group AE and KE, it was expected that they would show marked differences on the basis of the cultural differences between two cultures. However, both groups illustrated parallel patterns especially with their preferences toward compliment acceptance. Although the micro level analysis indicated some contrastive features between the two, this unanticipated similarity is still noticeable in regard to pragmatic transfer. On the other hand, as far as the comparison between Group KE and K is concerned, similar patterns were assumed to be found again based on the shared Korean cultural norm, being modest. Despite the similarities, some interesting variances were also found between these two groups.

Accordingly, it is not clear to say whether or not there is a pragmatic transfer in responding to compliments among Korean learners of English as a second language. There was no strong evidence of positive or negative pragmatic transfer. This interesting point will be further discussed in the following section.

CHAPTER V

DISCUSSION

This chapter discusses further interpretation of the findings reported in the previous chapter. It is structured according to the following outline based on the research questions of this study. First, this chapter begins with the comparisons of the CR patterns among Group AE, KE, and K in regard to the first two research questions. Then, the nature and conditions of pragmatic transfer of Korean ESL learners is further discussed, which is concerned with the last set of the research question. Third, some important pedagogical implications are also discussed. Finally, the limitations of the study will be explained and followed by some suggestions for future research.

5.1. CR Patterns of the Three Groups

As illustrated in the previous chapter, the results identified how the participants of each group respond to compliments in different settings. The macro and micro level analysis of CR patterns demonstrated some interesting differences and similarities among the three groups. This section attempts to provide a further analysis of these comparative findings and their implications. As far as the main research focus of this study, pragmatic transfer of Korean learners of English as a second language, is concerned, it is crucial to identify the contrastive pragmatic features between Korean and American culture. Accordingly, this section begins with a comparison of CR patterns between Group AE and Group K.

5.1.1. Group AE vs. Group K

As found in the previous chapter, the overall CR patterns of Group AE validates what the previous research on CRs in English has identified. The studies on CRs in several varieties of English have revealed that native English speakers tend to accept the compliments (Cordella, et al., 1995; Herbert, 1986, 1989; Holmes, 1988; Pomerantz, 1978). Similarly, the results of this study showed that the participants in Group AE mostly accepted the compliments by employing the Appreciation tokens, the Agreeing utterances, and the Returns, all of which are the micro CR strategies categorized under the Accept strategy, and hardly avoided or rejected the compliments. Another noticeable CR strategy of Group AE, in addition to the Accept strategies above, was the Explanatory comment which falls into the Amend strategy. According to the micro level analysis, the Appreciation token was often employed in combination with Returns, Agreeing utterances, and Explanatory comments by Group AE participants. This tendency is well aligned with Pomerantz (1978)'s dilemma. She explained, based on her study of CRs in American English, that there exists a dilemma in responding to compliments and speakers are required to solve the conflict between agreeing with the compliment giver and avoiding self-praise. More specifically, if a speaker accepts the compliment, he or she is opting for being polite by showing agreement with what an interlocutor says at the cost of not being modest because he or she is praising him or herself, which may not be considered as an appropriate manner. In a similar vein, in dealing with this dilemma while responding to compliments, the participants in Group AE tended to elaborate their acceptance by adding agreeing utterances, offering return compliments, or providing further explanations. This tendency of combination allows them to successfully solve the conflict by agreeing with the complimentary forces offered and to mitigate obvious self-praising with elaboration. Interestingly, even though they made an attempt to alleviate their acceptance, they hardly combined the Reject strategies, as shown in Table 15; in other words, their willingness to accept and agree with the complimentary forces always surpassed their attempt to deflect.

In regard to the CR patterns of Group K, the findings indicated some interesting contrastive features to the CR patterns of Group AE. Contrary to the preference to acceptance

among Group AE participants, Group K employed the micro CR strategies under the Amend and the Reject strategy considerably more frequently as shown in Table 9 and Figure 2. They predominantly used the Explanatory comment and the Disagreeing utterance whereas the frequency of using the Appreciation token was noticeably lower compared to Group AE. This difference generally confirms the previous research findings on CRs in non-western languages that demonstrated less acceptance and higher denial (Chen, 1993; Daikuhara, 1986). Moreover, this tendency of using the Amend and the Reject strategy in Group K reflects the Korean cultural norms. One of the typical pragmatic features of the Korean culture is the conservation of respect and politeness for the interlocutor (Hwang, 1990). Certain pragmatic strategies have been established in order to avoid argumentation or confrontation, to please the interlocutor, and to show modesty, such as never saying direct 'no', 'yes' for a face-saver, self-downgrading, etc. Boasting one's achievements or possessions is often considered as rude or uneducated. The prevailing tendency of deflecting and rejecting among Group K participants clearly demonstrates this Korean cultural norm, being modest.

The attempt to be polite and show humility by Group K was also found in their interaction with the interlocutor in higher status. They tried to evade the complimentary forces by using the Amend strategies and the Reject strategies. Interestingly, even in the case of a relatively higher usage of accepting to higher status, the micro level analysis has revealed the evident tendency to show more respect and humbleness to the interlocutor in a higher status. More specifically, all the fourteen Appreciation tokens were employed in honorific expressions and the majority of Returns showed a special usage, as described in Example 11. Unlike the Group AE's usage of Returns, which simply offered returning compliments to the interlocutor with similar complimentary forces, Group K participants tended to give a compliment with stronger complimentary credits mainly because they wanted to be more respectful to the compliment giver in higher status, to their professor in this setting. This special usage reflects the Korean's hierarchical social relationship. Koreans tend to view relationships in a hierarchical structure;

especially, age and rank within a profession are the important determinants of one's status as well as social distance. Even a very small age difference often requires different honorifics and different degree of politeness (Bell, 1998). This feature was also mirrored in Group K's reluctance and awkwardness in responding to compliments in naturally occurring conversations with the researcher. As mentioned above, naturally occurring conversations were initially planned as the interactions between equal statuses since the role-play conductors were introduced as their fellow students. Nevertheless, the majority of the Group K informants could not consider the role-play conductor to be in an equal status, as illustrated in Example 34 and 35.

Example 34. Natural conversations in Group K

K5: 저보다 한참 선배신데 친구처럼 얘기하려니까 어색하네요 @@.

You're my senior by many years, it is not comfortable to talk to you like my friend. @@

Example 35. Natural conversations in Group K

K11: 편하게 말 놓으세요. 저 많이 어려워요.

You can talk to me easily/freely (meaning 'no need to use 'honorifics'). I'm much younger than you.

The researcher conducted role-plays in Korean and introduced herself as a student working on this research project; however, the informants in Group K treated her as a senior alumnus. Accordingly, as shown in the examples above, they refused to place the role-play conductor in the equal status to theirs and endeavored to be polite by downgrading themselves. Interestingly, they employed the Reject or the Avoid strategy noticeably more frequently in natural conversations than other role-play settings, as illustrated in Example 36.

Example 36. Reject and Avoid in Natural conversation in Group K

Researcher: 잘하시는데요.

You've done a great job in role-plays.

K9: 아니에요. 녹음하니까 좀 떨리고 어색해서. 더 길게 얘기했어야하는데.

근데 어떻게 공부를 더하시게 되셨어요?

No, little nervous and awkward in recording, I should have said more.

(Disagreeing utterance)

Reject

By the way, what made you to decide to study more in the States?

(Topic change)

Avoid

As discussed so far, CR patterns of Group AE and Group K clearly demonstrated contrastive pragmatic features between American and Korean culture. This disparity between the two cultures is the baseline for determining pragmatic transfer of Korean learners of English as a second language. The following two sections, 5.1.2 and 5.1.3, compare the CR patterns of Group KE with Group AE's and Group K's, respectively.

5.1.2. Group KE vs. Group AE

Group KE illustrated the most varied patterns in responding to compliments among the three groups. The frequency of each CR strategy showed a diverse distribution throughout all the CR strategies both at macro and micro level. Within this pattern of CR strategies, certain preferences were also identified compared to the other two groups. Similar to the CR patterns of Group AE, the Accept strategy was the most preferred CR strategy among Group KE participants. Although there was a gap in terms of the frequency of use between these two groups, it is still noticeable that the Appreciation token showed the highest usage in Group KE's interactions because it conflicts with the Korean cultural norm, being modest, as well as the above-mentioned previous research findings on CRs in non-western languages. Group KE's preference toward acceptance leads to the interpretation that they possibly acquire appropriate pragmatic features of the American culture in responding to compliments. There could be various factors affecting this acquisition process, such as exposure to a targeting culture, language input, explicit instructions, etc., which will be further discussed as the conditions of pragmatic transfer in a later section.

As to the Amend strategy, Group KE also demonstrated the similar frequency to that of Group AE. The micro level analysis, however, revealed a different usage regarding the

Downgrading utterance and the Explanatory comment. Group KE made a considerable attempt to downgrade the complimentary forces by combining other CR strategies whereas Group AE mostly elaborated their CRs with additional explanations. Interestingly, the Downgrading utterance was very often combined with the Appreciation token in Group KE's CRs. This combination pattern reflects Group KE's effort to follow Korean cultural norms while accepting the compliments.

Along the same line, another interesting difference between Group KE and AE was found in the usage of the Avoid and the Reject strategy. Even with the strong tendency to accept, Group KE also demonstrated a noticeably higher usage of the Avoid and the Reject strategy. More interestingly, at micro level, the Disagreeing utterance under the Reject strategy was often employed in association with the Appreciation token similar to the combination pattern above. It is worthy of attention since using the Accept strategy means the compliment receiver agrees to take the offered complimentary forces whereas the Reject strategy, more specifically, the Disagreement utterance, is at the other extreme end of an agreement continuum (Tran, 2007). Moreover, this combination is substantially different from the combination patterns of Group AE in spite of their common preference for acceptance. Even though both groups used the Appreciation token most frequently which was often associated with other CR strategies, Group KE habitually combined the Appreciation token with the Disagreeing utterance or the Downgrading utterance whereas Group AE tended to elaborate their acceptance with the Agreeing utterance, the Return, or the Explanatory comment. Unlike Group KE, Group AE hardly combined the Accept and the Reject strategy in their CRs. As explained above with the combination of the Appreciation token and the Downgrading utterance, this distinctive combination pattern of Group KE is another reflection of the Korean cultural norms. In the English interactions, Group KE participants attempted to adjust themselves to the targeting culture by employing the Accept strategy but they still wanted to keep their native Korean cultural norms at the same time by combining the Reject strategies. This interesting tendency of

combination strategies provides suitable explanations regarding the contradicting CR patterns of Group KE and also indicates the remarkable difference in responding to compliments between Group KE and Group AE, despite the parallel CR patterns at the macro level.

5.1.3. Group KE vs. Group K

It was assumed that Group KE would show similar patterns in responding to compliments to that of Group K on the basis of the CR patterns of Group K where the strong influence of Korean cultural norms was found as well as the previous research findings regarding non-western languages. The findings of the present study indicate, however, clear differences between Group KE's and Group K's CR patterns both at macro and micro levels. One of the most striking differences was recognized with the most preferred CR strategy of each group. Group KE employed the Accept strategy most frequently whereas Group K showed the dominant usage of the Amend strategy. The higher usage of the Amend strategy among Group K participants is understandable and easily explainable based on the Korean cultural norms, being modest. Their tendency to use the Downgrading utterance, the Explanatory comment, and the Doubting/Reassurance question, all of which are categorized under the Amend strategy, well reflects their attempt to keep the Korean norms and show modesty and respect to the interlocutor. The similar pattern was expected with Group KE's interactions mainly because both groups share the same cultural background; Group KE, however, demonstrated the parallel patterns in responding to compliments to that of Group AE. The Appreciation token was the most frequently used micro CR strategy among Group KE participants, which leads to the highest usage of the Accept strategy. Moreover, in terms of the Amend strategy, Group KE showed an almost identical frequency to Group AE's at the macro level, although there were some differences at micro level in regard to the Downgrading utterance and the Explanatory comment. Consequently, as shown above with a contrast between Group AE and Group K, Group KE's similarity to Group AE's CR patterns leads to the contrastive usage of CR strategies between Group KE and Group K. Group KE illustrated a much higher frequency of the Accept strategy, more specifically at the

micro level, the Appreciation token, and a much lower usage of the Amend strategy in comparison with Group K. The Korean cultural norms, which underlie the Group K's choice of CR strategies, do not seem to play an important role in Group KE's CR patterns. With the Accept strategy as the most preferred one, Group KE seems to violate the socially and culturally encouraged norms in Korea, showing modesty and respect. This disobedient pattern of Group KE can be explained with the combination strategy. Group KE illustrated the interesting combination patterns which involve the Appreciation token and the Disagreeing utterance. They showed a strong tendency to use the Accept strategy in combination with the Reject strategy; to be specific, the micro level analysis revealed that more than half of the Appreciation tokens were combined with the Disagreeing utterance or the Downgrading utterance in Group KE's interactions. Consequently, this type of combination leads to another notable difference between the CR patterns of Group KE and Group K. As indicated in Figure 2 and 3, the frequency of using the Reject strategy among Group KE participants was considerably higher than that of Group K. It is very interesting mainly because the Accept strategy was always the most preferred CR strategy regardless of compliment topics and power variables in Group KE's CR patterns. In spite of their strong preference toward acceptance, Group KE also showed a higher usage of the Reject strategy, more specifically, the Disagreeing utterance, which contradicts the acceptance flatly. The above-mentioned combination pattern of Group KE explains this contradictory result. They strongly opted to combine the Disagreeing utterance when they accepted the compliments. The Korean cultural norms again were the underlying motivation behind this combination of the two mutually contradictory CR strategies. Although they ostensibly accept the complimentary forces offered and follow the targeting cultural norm, they still make a decent attempt to keep their native cultural norms, being modest.

5.2. Pragmatic Transfer

This section talks about the main research question of the study, the nature of pragmatic transfer among Korean learners of English as a second language on the basis of the comparisons

in the previous section. In addition, it further discusses under what circumstances pragmatic transfer occurs, that is, the conditions of pragmatic transfer. Based on this discussion, some important pedagogical implications will be also discussed.

5.2.1. Transfer or Non-transfer

Results from the main data through the Conversational role-play and the comparisons of the three groups' CR patterns have demonstrated interesting differences and similarities in CR strategy selection among Group AE, Group KE, and Group K. With reference to the main objective of the present research, pragmatic transfer of Korean ESL learners, it is not clear to say if there is pragmatic transfer in the use of CR strategies. On the basis of contrastive pragmatic features identified between Korean and American cultures in responding to compliments, it was expected that negative pragmatic transfer was likely to occur in the cross-cultural interactions of Korean ESL learners. If this assumption can be positively confirmed, the CR strategy section of Korean ESL learners should show significant differences from that of native speakers of American English and further these differences can be explained by the similarities to the CR patterns of native Korean speakers. As reported so far, the results of the study have not provided a clear evidence of negative pragmatic transfer. Group KE demonstrated the parallel patterns in responding to compliments to what Group AE showed and the contrastive CR usages to the CR selection of Group K.

The combination strategies provides a plausible explanation for the fact that there was no evidence of negative pragmatic transfer. Throughout all three groups, all participants illustrated a salient tendency to combine more than one CR strategy both at macro and micro level, which were identified as the Inter-macro combination and the Intra-macro combination, respectively. Interestingly and distinctively from Group AE, Group KE tended to associate two mutually contradicting CR strategies together. Contrary to the CR combination pattern of Group AE which involves two (or more) micro CR strategies under the Accept strategy, Group KE's combination was associated with two different macro level CR strategies: the Accept and the Reject strategy.

To be more specific, even when they accept the compliments in English interactions by the use of the Appreciation token, which is considered and learned as an appropriate or correct behavior in the target culture, they try to deflect or evade their acceptance by combining the Disagreeing utterance under the Reject strategy. Being modest, which is highly valued in the Korean culture can be the major underlying motivation for this tendency. With this combination pattern of Group KE, it can be observed that even though there was no clear evidence of negative pragmatic transfer, the Korean cultural norms still play a central role in their CR strategy selection in responding to compliments. On the one hand, Korean ESL learners showed assimilation to the target culture by accepting the compliments with the Appreciation token, similar to the American ways of responding to compliments; that is, no pragmatic transfer occurred at the surface level in spite of contrastive pragmatic features between the two cultures. On the other hand, Korean ESL learners still attempted to follow their native cultural norm by combining the Reject strategy with their acceptance. This combination pattern clearly points out the strong influence of Korean cultural norms on their compliment responses; consequently, it further indicates that certain cultural pragmatic features have been transferred in their compliment responses in cross-cultural interactions.

Referring back to the main research question of the study, does pragmatic transfer occur in the interactions of Korean ESL learners? A positive answer cannot be offered directly because of the resemblance between Group KE and AE as well as the contrast between Group KE and Group K. An instant 'no' is not appropriate either due to the transfer of the Korean pragmatic features in the target language interactions. This dilemma calls for a new angle of examining pragmatic transfer, which is named as '*Covert pragmatic transfer*' in this study.

5.2.2. Covert Pragmatic Transfer

When the cultural norms of one's native language are noticeably different from the ones of the target language, pragmatic transfer is likely to occur (Kasper, 1992). Based on the previous

research of cross-cultural pragmatics on non-western languages, it was expected that negative pragmatic transfer would be easily found in cross-cultural interactions of Korean ESL learners mainly due to the contrastive norms between Korean and American culture. The results, however, fail to present a definite answer to this assumption.

On the surface level, Korean ESL learners showed a higher tendency to accept the complimentary forces offered in English interactions; that is, they are following the linguistic and cultural norms of the target language. Looking at this tendency at the micro level, the dominant usage of combination strategies indicates that they mostly associate the Accept strategy with the Reject strategy. They are concurrently trying to keep their native cultural norms by adding denials to compensate for their acceptance. In other words, Korean ESL learners *overtly* accept the compliments in English interactions in order to show appropriate manners in the target language culture; however, they *covertly* transfer Korean cultural norms to their English conversation by using combination of two mutually contradicting CR strategies. Even though the findings do not present any clear evidence of negative pragmatic transfer, the dominant and distinctive usage of combination strategies of Korean ESL learners suggests a new standpoint of pragmatic transfer. This new angle is named as '*Covert pragmatic transfer*' and defined as follows: While language learners *overtly* follow the linguistic and cultural norms of L2, they *covertly* hand over the cultural norms of L1 to their L2 interaction simultaneously.

With the covertly transferred Korean cultural norms, Korean ESL learners made a successful attempt to demonstrate the culturally and linguistically appropriate CR patterns in their English interactions and not to violate the Korean cultural norms at the same time. Consequently, covert pragmatic transfer allows them to successfully fulfill the two cultural requirements. They express agreement and enhance solidarity for the interlocutor in cross-cultural interactions while maintaining their cultural identity and gaining social approval from their native culture.

5.3. Conditions of Pragmatic Transfer

In regard to the last set of the research questions posited for this study, under what circumstances pragmatic transfer occurs was also examined in order to take a better look at the nature of pragmatic transfer among Korean ESL learners. The retrospective interviews following each of the Conversational role-plays, in addition to the background questionnaire at the beginning of the data collection process, revealed several factors that affect the occurrence of pragmatic transfer: target language proficiency, exposure to target language input, and consciousness of the speech act.

5.3.1. Target Language Proficiency

The standardized English test results were asked along with the self-assessed language proficiency in order to take a closer look at the major targeting group; however, very few provided their actual test scores. Accordingly, only the self-rated language proficiency was considered for data analysis. However, it would be appropriate to say that the language proficiency of Group KE participants was controlled approximately as the high intermediate or the advanced level since they were undergraduate students who all were accepted and enrolled in an American university. This assumption was generally confirmed with their self-rated proficiency. The majority of participants assessed their proficiency as a little higher than intermediate with a mean score of 3.3 out of 6 scales while few responded as advanced.

The previous interlanguage pragmatics research has revealed contradictory findings regarding the relationship of language proficiency with pragmatic transfer. Some studies have documented that pragmatic transfer decreases as proficiency increases because more proficient language learners would have more pragmatic knowledge of the target language (Bodman & Eisenstein, 1988; Ramos, 1991). On the contrary, others have argued for the positive correlation of L2 proficiency with pragmatic transfer (Blum-Kulka, 1991; Olshtain & Cohen, 1989). According to them, pragmatic transfer increases with language proficiency because insufficient language competence prevents language learners to appropriately hand over their native pragmatic norms. The latter argument was confirmed in this study. A few participants in Group

KE responded that they could have said more if the role-play had run in Korean. Even though they wanted to elaborate their responses more, their insufficient language proficiency hindered them from doing so and led them to the dominant usage of the Appreciation token. They ended up merely saying ‘thank you’ with long pauses or awkward laughs because they could not add any more utterances due to their limited proficiency. Ironically, their lack of language proficiency allows them to demote pragmatic transfer and follow the targeting cultural norms by their simple use of the Appreciation token. Although it is not enough to examine the correlation between the level of proficiency and pragmatic transfer because participants’ proficiency level was controlled in this study, it is still possible to witness the influence of insufficient language proficiency on pragmatic transfer.

5.3.2. Exposure

Since the majority of Group KE participants were freshmen or sophomores, their length of stay in the target language culture did not show much difference; the average length of stay in the U.S. among Group KE participants was 2.5 years. However, the amount of language input the participants had varied. They showed a different amount of interactions with their native English speaking friends and exposure to the English media, such as songs, sitcoms, and movies in English. The retrospective interviews revealed that the more language learners are exposed to the target language input, the less pragmatic transfer occurs. Example 37 illustrated this point.

Example 37. Retrospective interview in Group KE

KE10: 평소애 미국 방송 많이 봐요. 프렌즈나 모던 패밀리 다운받아서. 물론 자막 있구요. @@ 그래서 그런진 모르겠는데, 누가 칭찬해주면 영어로 말할때는 자동으로 입에서 ‘땡큐’가 나오는 거 같아요.

I used to watch American TV shows. I downloaded Friends and Modern Family. Of course with subtitles. @@. I'm not sure this is the main reason but if somebody compliments in English, 'thank you' seems to be automatically popped up out of my mouth.

As shown above, the negative correlation was identified between the amount of target language input and pragmatic transfer. Exposure to the target language was identified as another influential factor to reduce pragmatic transfer, which leaves an important pedagogical implication.

5.3.3. Consciousness of the Speech Act

During the retrospective interviews, the very first question asked was always whether or not the participants were aware of the targeting speech act. None of them recognized that responding to compliments was the targeting speech act for this study; rather, they assumed their overall language use in English was the main focus of the study. Thus, they focused mainly on the distracting tasks, such as giving directions, offering a ride, giving a food recipe, etc. and did not consciously monitor their utterances when responding to compliments. The following example was extracted from the retrospective interview with one of the participants who showed evident denials in their CRs.

Example 38. Retrospective interview in Group KE

KE13: 어머, 칭찬에 대한 대답을 보시는 거였어요? 저는 지도에서 길찾는거랑 레서피 알려주는 것만 엄청 신경썼는데. @@

Oh, were you looking at how to respond to compliments? I paid extra attention to map reading and giving a recipe. @@

Researcher: 만약에 미리 알았다면 다르게 대답했을 거 같아요?

If you had known the research focus, do you think you would have responded differently?

KE13: 아마 그럴 거 같아요. 미리 알았으면, 길게는 못 말해도 적어도 땡큐는 했을 거 같아요.

Probably. If I knew, I couldn't say a long response but at least I could say 'thank you'.

As shown above, participants who do not pay attention to their utterances are more likely to hand over their native pragmatic features to the target language interaction. The lack of awareness on the on-going speech act affects the occurrence of pragmatic transfer. Interestingly, all of the participants responded that they recognized the contrastive pragmatic features in CRs between Korean and American culture. However, when they did not pay enough attention to their

speech, their pragmatic knowledge was not activated in their actual utterances. It indicates that consciousness and awareness of the on-going speech prevents pragmatic transfer.

In regard to Covert pragmatic transfer, participants' awareness of contrastive pragmatic features also plays a crucial role in their CR patterns. When they are aware of the targeting pragmatic norms in responding to compliments in comparison with their native cultural norms, they make an appropriate attempt to meet the two cultural pragmatic requirements. Example 39 is the excerpt from the retrospective interview of one participant who responded with the combination of the Appreciation token and the Disagreeing utterance to the compliments from her professor.

Example 39. Retrospective interview in Group KE

KE4: 미국인한테 칭찬을 받으니까 땡큐가 자동으로 나오긴 했는데, 그냥 땡큐만 하기는 좀 민망하고 그래서 한국식으로 한거 같아요. 겸손하게. 예의바르게. @@

I automatically said 'thank you' because it was the compliment from an American. But it was uncomfortable/embarrassed to just say 'thank you' so I did it in Korean way. Humbly and politely. @@

Researcher: 한국식은 뭔가요? 미국식이랑은 다르다고 생각하세요?

What do you mean by the 'Korean way'? Do you think it is different from the American way to respond to compliments?

KE4: 음...한국식은 좀더 겸손하고 부정하는 태도가 많은 거 같아요. 특히 교수님이 칭찬하면. 미국에서는 보통 다들 땡큐라고 대답하는 거 같아요.

uhm... I think we show more polite and disagreeing attitude in Korean way. Especially when my professor give me a compliment. But in America, they seem to always say 'thank you'.

As shown in the above example, based on the awareness of the contrastive pragmatic features between two cultures, language learners are able to determine culturally and linguistically appropriate responses which compensate for their pragmatic awkwardness and fulfill two different cultural norms; consequently, this attempt leads to safe avoidance of negative pragmatic transfer.

5.4. Pedagogical Implications

The findings of the present study regarding the conditions of pragmatic transfer leave some important pedagogical implications for learners and teachers of English as a second language. Especially, exposure and pragmatic awareness, as the influential conditions that obstruct pragmatic transfer, clearly indicate the need and possibility of teaching pragmatics in language classrooms.

As identified in the results, exposure to the target language reduces the possibility of pragmatic transfer. Learners' length of stay in the target language culture may not guarantee the acquisition or development of pragmatic competence, although it is still true that the longer they stay in the target culture, the more possibilities of target language input. Furthermore, the data collection process of this study somewhat controlled the participants' length of stay, as explained above. Thus, by exposure in this study, it refers to the language input from the learners' direct interactions with native speakers of English and indirect interactions with the target language media.

According to Rose (2001) who examines CR patterns of American English through both films and naturally occurring conversation, the media data can "correspond fairly closely to authentic data, particularly for major pragmalinguistic categories" (p. 321). It indicates that both direct and indirect interactions provide very useful resources of the target language pragmatic input for language learners, which may, in turn, affect the amount of pragmatic transfer. Therefore, language learners should actively engage in various activities in language classrooms that allow them to be more exposed to the target language input.

Another influential condition identified in this study was awareness of the on-going utterances and contrastive pragmatic features, which also sheds light on teaching pragmatics. Passive exposure to the target language input may not be enough to acquire pragmatic competence; rather, language learners should be aware of and attend to what is going on in their cross-cultural interactions and the contrastive pragmatic norms between two cultures involved. In a similar vein, a number of studies on cross-cultural interlanguage pragmatics have emphasized

the importance of raising pragmatic awareness and the need of pedagogical intervention (Bardovi-Harlig, 2001; Bardovi-Harlig & Griffin, 2005; Cohen, 2008; Rose & Kasper, 2001, Takahashi, 2001, etc.). Based on this importance, there also has been a great deal of research examining the effect of pragmatic instruction and those studies have indicated the teachability of pragmatic features in language classrooms. (Billmyer, 1990; Bouton, 1994; Kubota, 1995; Olshtain & Cohen, 1990; Wildner-Bassett, 1994). Despite the evidence from theoretical and empirical research, the need and importance of teaching pragmatics of a target culture has not yet been widely recognized in actual language classrooms. None of Korean ESL learners participating in this study responded that they had explicit instruction of pragmatic features in their English classes. Only one participant replied that she had experienced responding to compliments in English once during a role-play in her high school whereas the other nineteen participants answered that they implicitly learned how to respond to compliments from their interaction with native English speaking friends and/or movies, sitcoms, or books in English. Interestingly, most of them showed positive attitudes towards the explicit instruction of pragmatic features in language learning, as shown in Examples 40 and 41.

Example 40. Retrospective interview in Group KE

KE3: 만약에 영어시간에 칭찬에 어떻게 대답하는지 뭐 이런거 배웠으면, 아마도 더 길게 잘 대답할 수 있었을 거 같아요. 그냥 땡큐만 하고 가만히 있으면 서로 어색하잖아요. @@
If I had learned how to respond to compliments in my English classes, I think I could have provided longer and more elaborated responses to the compliment. Just saying 'thank you' and nothing else coming up, it is awkward. @@

Example 41. Retrospective interview in Group KE

KE15: 땡큐라고는 자연스럽게 나오는데 그다음에는 뭘 얘기할지 모르겠어요. 뭔가 더 얘기를 해서 대화를 이어가야할 거 같은데, 안 어색하게.. @@ 이럴 때 땡큐처럼 뭔가 공식같은 게 있으면 편할 거 같아요.
A 'thank you' comes naturally but I don't know what to say next. I think I should say something more to continue the conversation naturally, not awkwardly. @@. It would be useful if there was kind of formula, just like thank you.

These examples clearly indicate the need of teaching pragmatics explicitly in language classes. Constant comprehensible input with an explicit pragmatic focus would be necessary in language learning and teaching. Korean ESL learners in this study showed the most frequent usage of the Accept strategy, parallel to the CR patterns of a target culture; however, the Appreciation token was outstandingly employed and other Accept strategies were hardly selected whereas native speakers of American English demonstrated diverse patterns including different Accept strategies. Merely saying ‘thank you’ to all compliments in English may be insufficient and even often inappropriate since this very brief CR is likely to hinder further social interactions between interlocutors. Giving compliments often serves additional functions to the spoken complimentary forces, such as initiating a conversation, building solidarity, etc. Consequently, recognizing the social functions of the compliments is really important and challenging to language learners for their success in cross-cultural interactions. Raising awareness of different pragmatic features between the two cultures allows language learners to develop their pragmatic ability to understand what is and is not appropriate in given contexts and further to perform appropriate communicative actions accordingly.

5.5. Limitations of the Study

Although the present study has provided some interesting findings regarding the CR patterns in cross-cultural interactions of Korean ESL learners and a new angle of pragmatic transfer, it also has some limitations. Most of all, the number of subjects in each group involved in this study was relatively small and the variety of participants’ background in terms of age, gender, and language proficiency was fairly limited due to the controlled variables. Thus, careful caution should be required in generalizing the current findings to different contexts with different participants.

Another limitation is concerned with data collection methodology deployed in this study. Although the Conversational role-play made several important attempts to elicit natural

data as in real-life settings, the whole procedure under the role-play framework is not completely spontaneous. Further, it may be necessary to validate the Conversational role-play with a comparison with the data from closed role-plays and discourse completion tasks.

The limitations of the present study notwithstanding, it still brings a substantial contribution to the study of responding to compliments and further cross-cultural interlanguage pragmatics research in general.

5.6. Suggestions for Future Research

The present research focuses on the nature and conditions of pragmatic transfer among Korean ESL learners. It should be noted that it is an initial investigation of their patterns in responding to compliments. In order to completely understand the norms and patterns of the speech of compliment responses and pragmatic transfer, the following suggestions may serve as guidelines for future research.

First of all, the data collected in this study was from a rather strictly controlled group of participants in terms of age, gender, and language proficiency. Thus, it would be valuable to extend this study to explore different contextual variables in order to obtain further insights into the compliment response patterns of two targeting groups.

In addition, this study proposed a new angle to examine pragmatic transfer between Korean and American culture in terms of the speech act of responding to compliments. Further research may replicate the present study to investigate whether Covert pragmatic transfer can be found in other non-western languages and whether it is applicable in other speech acts.

Finally, this study employed a newly developed methodology, the Conversational role-play to compensate for the hindrances of role-plays and DCTs and to obtain more natural CR data. Further studies can be done to testify and validate the effectiveness of the Conversational role-play in cross-cultural pragmatics research through comparisons of the CR data from existing data collection methods, such as written/oral DCTs, closed/open role-plays, and observation of naturally occurring data.

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APPENDICES

Appendix A

INFORMED CONSENT FORM

PROJECT TITLE: Investigation of communicative behaviors of native speakers of English and Korean ESL learners

INVESTIGATORS: Seungmin Yun,
Ph.D candidate in the English department,
Oklahoma State University
Dr. Gene Halleck,
Professor, English, Oklahoma State University

PURPOSE: The present study aims to examine pragmatic transfer of Korean learners of English as a second language.

WHAT TO EXPECT: You will be asked to perform a short role-play. The PI will explain the procedures in detail in advance. After the role-play, the PI conduct a retrospective interview on your acts during the play and you will be asked to fill out a short questionnaire. All the procedures will be audio-taped but there will be no questions which may reveal your identity. The role-play will take approximately 10-15 minutes and the following interview and questionnaire will take 10 minutes.

RISKS: The only possible risk with this study is associated with a breach in confidentiality. To minimize this risk, no identifiers which may reveal your identity are to be associated with your data.

BENEFITS OF PARTICIPATION: You may gain an appreciation and understanding of how research is conducted. In addition, if you are interested, we will send you a copy of the results of the study when it is finished.

YOUR RIGHTS: Your participation in this research is voluntary. There is no penalty for refusal to participate, and you are free to withdraw your consent and participation in this project at any time, without penalty.

CONFIDENTIALITY: The records of this study will be kept private. Any written results or public presentations will discuss group findings and will not include information that would identify you. The data collected will be stored in a locked facility in 414 Morrill Hall, Oklahoma State University, and the digital data will be password protected. Only qualified researchers and the research oversight will have access to them.

CONTACTS: If you have any questions, please contact Seungmin Yun at 405-269-3700 or by e-mail at seungmin.yun@okstate.edu or Dr. Gene Halleck, at 405-744-6229. In addition, if you have questions about your rights as a research volunteer, you may contact Dr. Shelia Kennison, IRB Chair, 219 Cordell North, Stillwater, OK 74078 at 405-744-3377 or by e-mail at irb@okstate.edu.

CONSENT DOCUMENTATION:

I understand that my participation is voluntary, that there is no penalty for refusal to participate, and that I am free to withdraw my consent and participation in this project at any time, without penalty. I have also been fully informed about the procedures listed here. I am aware of what I will be asked to do and of the benefits and risks of my participation. I also understand the following statements: 1) I affirm that I am 18 years of age or older. 2) I have read and fully understand this consent form. I sign it freely and voluntarily. I hereby give permission for my participation in this study.

Signature of Participant

Date

I certify that I have personally explained this document before requesting that the participant sign it.

Signature of Researcher

Date

Appendix B

BACKGROUND QUESTIONNAIRE

Background Questionnaire

Thank you for participating in this project. It would be greatly appreciated if you could give some information about yourself prior to the role play. Your information provided will be kept confidential and used only for the research purposes.

- Academic status: 1) ___ Freshman 2) ___ Sophomore 3) ___ Junior
4) ___ Senior 5) Others (Specify: _____)
- Age:
- Major:
- First Language (Native language):

If you are a Korean native speaker in the US, please answer the followings:

- Language you speak at home:
- How often do you watch TV shows, movies in English? (Circle one that corresponds to your case)
Never Rarely Sometimes Often Regularly
- How often do you interact with native speakers of English? (Circle one that corresponds to your case)
Never Rarely Sometimes Often Regularly
- Months/Years staying in the U.S (or other English speaking countries):
- TOEFL (IELTS) scores:
- Evaluate your English proficiency. Please circle the appropriate number on the following scale:

Below Average (Novice)	Excellent (Superior)
1 2 3 4 5 6	

Appendix C

CONVERSATIONAL ROLE-PLAY

Procedures [for Conductors]

1. Greeting
2. Small talk including compliments on their clothes, belongings (bag, cell phone, laptop, etc.), appearance.
3. Briefly explain the role play procedures.
4. Role-plays (compliment on their language proficiency or role-play performance in addition to the ones provided within each situation)

[[ROLE-PLAY SCRIPTS]]

Situation 1

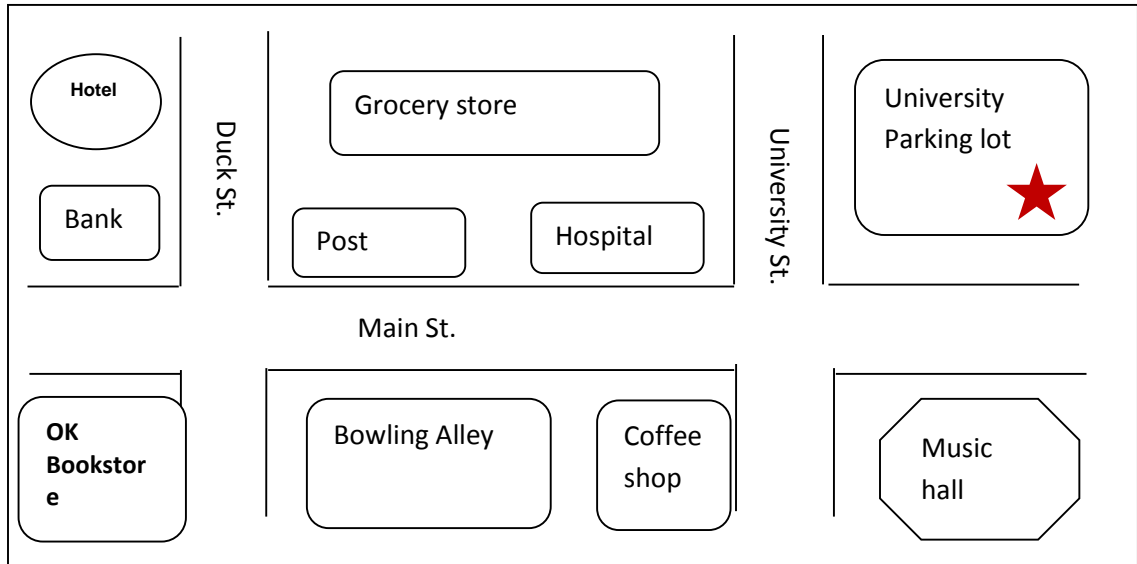
[Participant]

You are one of the best students in your class/university. You have recently awarded a prestigious scholarship. You are walking in the parking lot towards your new car (you recently bought a new car). On your way, you meet one of your classmates and you two talk while walking together.

1. (when being asked) Give your classmate the directions to the bookstore.
2. (when being asked) Tell your classmate when the OK bookstore is closed.
3. The book store is about to close. Offer your classmate a ride to get to the bookstore.

The talk should include but is not limited to the points above. Please make the conversation as natural as you would in your life.

Here comes the map.



[Conductor]

One of your classmates has recently awarded a prestigious scholarship. You are leaving school and you want to stop by a bookstore to buy a textbook. But you do not know where it is. You meet the classmate with the achievement above and you two walk together.

1. Ask for directions to the bookstore.
2. Ask your classmate when the bookstore is closed today.
3. Accept the ride that your classmate offers.
4. Compliment your classmate on ...
 - his/her accomplishment
 - his/her kindness to offer a ride
 - his/her new car

Please make the conversation as natural as you would in real life. And be sure to provide compliments as naturally as possible.

Situation 2

[Participant]

You are invited to the annual potluck party with classmates/colleagues at your professor's house. You dress up for the event and bring your favorite dish. Now you are at your advisor's doorstep. You two have a small talk while walking to the living room.

1. Thank your advisor for the invitation.
2. (when being asked) Tell your advisor how to cook your dish.

The talk should include but is not limited to the points above. Please make the conversation as natural as you would in real life.

[Conductor]

You (a professor) host the annual potluck party at your place for your students. One of your students are at the doorstep and you two talk while you lead him/her to the living room.

1. Compliment your student on ...
 - his/her clothing/appearance, etc.
 - his/her dish
2. Ask for the recipe of his/her dish.

Please make the conversation as natural as you would in real life. And be sure to provide compliments as naturally as possible.

Appendix D

RETROSPECTIVE INTERVIEW

(English Version)

[Interview Questions for the Role-play Participants in Group KE]

1. How was this role play? Did you like it? Any difficulties?
2. What do you think the main focus on this study is?
3. Have you noticed that compliment responses are the research focus?
4. Could you explain more about your comments “.....” in Situation 1 (or 2)?
5. Is there anything you would like to add to or modify what you have already said during the role-play?
6. Do you think that you would respond to compliments differently when you speak in Korean?
7. Do you think that native speakers of English would respond to compliments in the same way as we, Koreans, do or differently? Why?
8. (Based on the questions regarding exposure to English on the Background Questionnaire), do you think your interaction with your American friends/English media affect your way to respond to compliments?
9. Is there anything you want to add before finishing this recording?

[Interview Questions for the Role-play Participants in Group AE and Group K]

1. How was this role play? Did you like it? Any difficulties?
2. What do you think the main focus on this study is?
3. Have you noticed that compliment responses are the research focus?

Appendix E

TRANSCRIPTION CONVENTIONS

Conventions	Meanings
.	Final intonation
,	Continuing intonation
?	Appeal intonation
-	Truncated word
--	Truncated intonation unit
=	Lengthening
..	Short pause
...	Medium pause
... (n.n)	Long pause (length measured in seconds)
	Speech overlap
@	Laughter
<@ @>	Laughing quality
<x x>	Uncertain hearing
xx	Uncertain syllables
(H)	Inbreath
(())	Transcriber comment

Oklahoma State University Institutional Review Board

Date: Wednesday, April 02, 2014
IRB Application No AS1431
Proposal Title: Compliment Responses Across Cultures (2014 Study)

Reviewed and Exempt
Processed as:

Status Recommended by Reviewer(s): Approved Protocol Expires: 4/1/2017

Principal Investigator(s):

Seungmin Yun	Gene Halleck
4599 N. Washington St. 7C	311B Morrill
Stillwater, OK 74075	Stillwater, OK 74078

The IRB application referenced above has been approved. It is the judgment of the reviewers that the rights and welfare of individuals who may be asked to participate in this study will be respected, and that the research will be conducted in a manner consistent with the IRB requirements as outlined in section 45 CFR 46.

The final versions of any printed recruitment, consent and assent documents bearing the IRB approval stamp are attached to this letter. These are the versions that must be used during the study.

As Principal Investigator, it is your responsibility to do the following:

1. Conduct this study exactly as it has been approved. Any modifications to the research protocol must be submitted with the appropriate signatures for IRB approval. Protocol modifications requiring approval may include changes to the title, PI advisor, funding status or sponsor, subject population composition or size, recruitment, inclusion/exclusion criteria, research site, research procedures and consent/assent process or forms
2. Submit a request for continuation if the study extends beyond the approval period. This continuation must receive IRB review and approval before the research can continue.
3. Report any adverse events to the IRB Chair promptly. Adverse events are those which are unanticipated and impact the subjects during the course of the research; and
4. Notify the IRB office in writing when your research project is complete.

Please note that approved protocols are subject to monitoring by the IRB and that the IRB office has the authority to inspect research records associated with this protocol at any time. If you have questions about the IRB procedures or need any assistance from the Board, please contact Dawnett Watkins 219 Cordell North (phone: 405-744-5700, dawnett.watkins@okstate.edu).

Sincerely,


Shelia Kennison, Chair
Institutional Review Board

VITA

SEUNGMIN YUN

Candidate for the Degree of

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