TOWARDS A PRAGMATIC ANALYSIS OF MODALS
SHALL AND *WILL* IN CHAUCER'S LANGUAGE[1]

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ABSTRACT

This paper attempts to provide the first systematic analysis of the modals SHALL and WILL in Chaucer's language from pragmatic viewpoints. In addition to speech acts and alternation in discourse, this study examined modality in detail, which has a close relationship to pragmatic factors.

Whereas SHALL is distributed across all kind of modalities, WILL has a limited variety, with a strong preference to dynamic modality. The inventory of speech acts suggests a strong connection to relevant modality, although some cases are not related to any particular modality. WILL again has a more limited variety than SHALL. Incorporating these results into analysis, the scope of examination is extended to the alternation in discourse, i.e., discourse markers, successive employments of the same modal, and alternative uses of both modals. The findings here which other studies would ascribe simply to a matter of variation are in fact well-motivated and controlled by various factors such as modality, speaker-based vs. hearer-based speech acts, and social role.

It is suggested that further analysis of discourse and modals in other periods will shed more light on the pragmatic development of the modal and temporal systems in English.

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1. Introduction

The rivalry between modals SHALL and WILL has been a well-researched but contentious topic in the history of English. There have been a number of studies which pay particular attention to these modals: for example, Arnovick (1990) and Guthrie (1992) on Middle English, Fries (1925), Weida (1975), Kytö (1991), and Nakayasu (2009) on Early Modern English, and Gotti et al. (2002) on the development from Middle English to Early Modern English. It is well known that through a process called *grammaticalisation*, these modals changed their syntactic status from main verbs to auxiliaries as well as acquiring, in addition to their original lexical meanings, three kinds of modalities, and a meaning and function close to future tense. The latter can be considered to be semantic and pragmatic changes. Since a variety of factors are relevant to, and have changed in this particular diachronic process, it is of paramount importance to make a clear distinction among these factors and analyse to what extent each of these factors is relevant to the historical development. As far as the Middle English period is concerned, however, many of the previous studies mix up these factors, which makes it difficult to capture a true picture of the synchronic system of the period in view of diachronic development (cf. Fridén 1948; Visser 1969; Kerkhof 1982; Guthrie 1992; Gotti et al. 2002, etc.). Arnovick (1990), on the other hand, is one of the few studies which is devoted to the pragmatic aspects of modals in this period with a clear distinction among these factors, although the analysis remains in the realm of speech acts. Indeed, there has been a growing interest in pragmatic aspects of historical data, and this fact highlights the increasing role of a new research field, historical pragmatics (e.g. Jucker 1995; Jucker – Taavitsainen 2010). Studies of Chaucer's language are not an exception to this trend (cf. Pakkala-Weckström 2010).

In example (1) below, taken from Chaucer's *Canterbury Tales*, both of the modals SHALL and WILL appear in alternation:

1)   And seyde hym thus: "To Atthenes <u>shaltou</u> wende,
        Ther is thee shapen of thy wo an ende."
        And with that word Arcite wook and sterte.
        "Now trewely, hou soore that me smerte,"
        Quod he, "to Atthenes right now <u>wol</u> I fare,
        Ne for the drede of deeth <u>shal</u> I nat spare
        To se my lady, that I love and serve.
                                        (A.KN 1391-7)[2]

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[2]   Henceforth the underlining is made by the present author.

How far had the stage of grammaticalisation at that time progressed? Syntactically speaking, both of these two modals in (1) are auxiliaries; then, how were the original lexical meanings reflected in the meaning and function of the modals? To what extent were the semantic and pragmatic factors in operation in the use of these modals? And more importantly, in what way did the speaker choose a modal in discourse? Naturally, questions concerning these points arise, in particular, questions concerning pragmatic aspects.

The purpose of this paper is to provide the first systematic study of the modals SHALL and WILL in Chaucer's language from pragmatic viewpoints. Particular attention will be paid to speech acts and alternation in discourse at this stage of language development. In order to investigate these pragmatic factors, this research will conduct qualitative and quantitative analyses of the modals with a clear-cut distinction among syntactic, semantic, and pragmatic aspects. The direction of mapping will be form-to-function (e.g. modal to speech act), not vice versa (Jacobs – Jucker 1995), and all the occurrences including the ones in subordinate clauses will be analysed since the distinction between main and subordinate clauses was sometimes not very clear in this period.

The data in the present study is drawn from *The Riverside Chaucer* (Benson 1987) and the concordance by Oizumi (1991-94) is consulted. The corpus consists of the following three tales from *The Canterbury Tales*:

> General Prologue (abbreviated to A.GP)
> The Knight's Tale (A.KN)
> The Wife of Bath's Prologue and Tale (D.WB)

Limiting the scope of the corpus will make it possible to conduct a detailed qualitative analysis of pragmatic aspects. There are 125 instances of SHALL and 139 instances of WILL in our corpus, but no contracted form of these modals is recorded.

It is worthy to note, in passing, that most of the cases are auxiliaries, while there are a limited number of main verb uses (1.6% for SHALL and 4.3% for WILL). This fact illustrates that the stage of grammaticalisation is nearly complete with regard to syntactic development.

The organisation of this paper is as follows: we shall first examine modality. It is a semantic category typically signified by modals, and reflects the speaker's attitude to the proposition. This analysis will have a significant meaning when we proceed to pragmatic aspects. Section 3 will deal with speech acts performed by utterances including the modals. The fourth section will explore discourse further to examine the alternation of the modals SHALL and WILL in discourse. The final section discusses the results of this analysis and concludes this paper.

2. Modality

2.1. The definition of modality

Modality is a semantic category which has a strong relationship to the meaning of modals. Although there is little consensus on the definition and theory of modality, it is reasonable for our purpose here to borrow Palmer's definition: modality is "concerned with the status of the proposition that describes the event" (2001: 1). The present research takes a polysemic approach to modality and assumes a trichotomy: epistemic, deontic, and dynamic (e.g. Coates 1983; Palmer 2001; Verstraete 2001; Nakayasu 2009). Epistemic modality (e.g. possibility) describes the speaker's judgement of the factual status of the proposition or the state of affairs represented in the proposition. Deontic and dynamic modalities (e.g. obligation and volition, respectively) describe the state of affairs represented in the proposition; in the former, the conditioning factor is outside the relevant individual, while in the latter, it is inside the relevant individual (Palmer 2001: 9-10).[3] Deontic and dynamic modalities are derived from the modals' original lexical meanings, such as obligation (SHALL) and volition (WILL).[4] In the process of grammaticalisation, the modals later developed a more subjective modality, i.e., epistemic modality. Note that these modalities have a gradience from strong to weak: in cases of SHALL and WILL, if modality is bleached to be weak enough, they will be able to take advantage of a meaning and function close to the future tense (Nakayasu 2009: Chapter 6).

2.2. Quantitative analysis of modality

First, compare the modality signified by SHALL and WILL in Figure 1 and Table 1 below.

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[3]   The "relevant individual" is the referent of the subject of the sentence which includes the modal.

[4]   Smith (2005: 59) illustrates these original lexical meanings reflected in the auxiliary use of modals in OE:

i)   Hēo sceal gain.
      'She must go' (obligation)
ii)   Ic wille gān.
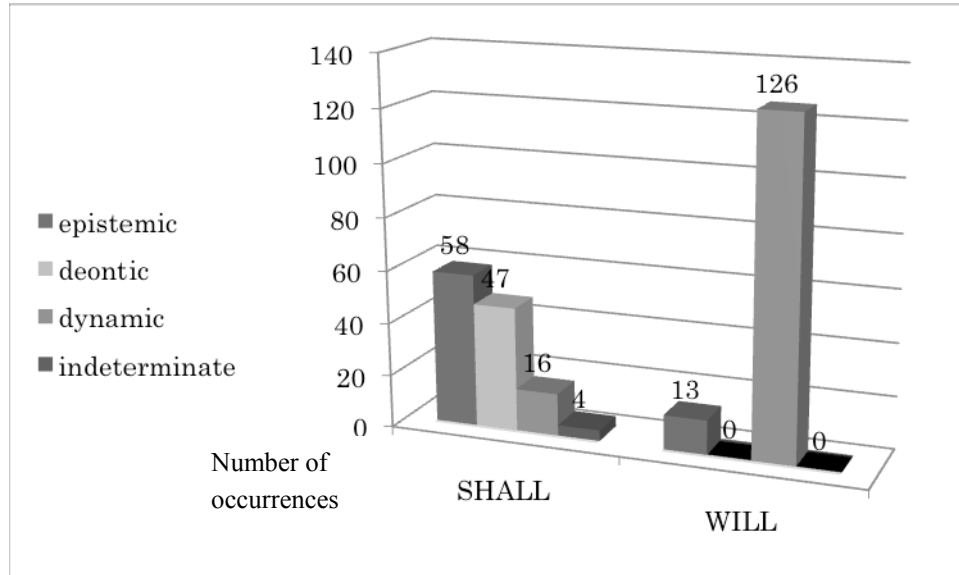   'I want to go' (volition)

Figure 1. Modality of SHALL and WILL in Chaucer

Table 1 tabulates the occurrences and the percentage of each modality.

Table 1. Modality of SHALL and WILL in Chaucer in percentages

modality	SHALL	percentage	WILL	percentage
epistemic	58	46.4	13	9.4
deontic	47	37.6	0	0.0
dynamic	16	12.8	126	90.6
indeterminate	4	3.2	0	0.0
total	125	100.0	139	100.0

All kinds of modality are observed in cases of SHALL; epistemic (58 instances: 46.4%), followed by deontic (47 instances: 37.6%), the latter of which is close to its original lexical meaning, and a smaller number of dynamic cases (16 instances: 12.8%).[5] It is interesting to note that in cases of WILL, the percentage of dynamic (126 instances: 90.6%) is by far the most prominent, to which the original lexical meaning is connected, while the percentage of epistemic (13 instances: 9.4%) is low and no instance of deontic is found. From these data it can be supposed that the stage of grammaticalisation of SHALL is more ad-

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[5]   In indeterminate cases, it is not possible to exclude from consideration all but one of the possible meanings (Coates 1983: 14-17).

vanced than that of WILL. This proportional difference in modality is the point to which we shall return in 3.2.

Observe Table 2, where the subcategories of each modality are itemised:

Table 2. Modality of SHALL and WILL in Chaucer in detail

modality	senses	SHALL	%	WILL	%
epistemic	prediction	32	55.2	11	84.6
	future	20	34.5	1	7.7
	necessity	4	6.9	0	0.0
	possibility	1	1.7	1	7.7
	emotive	1	1.7	0	0.0
deontic	speaker's volition	38	80.9	0	0.0
	obligation	9	19.1	0	0.0
dynamic	volition	14	87.5	107	87.5
	ability	2	12.5	0	0.0
	nature	0	0.0	19	12.5

In the following, a detailed qualitative semantic analysis of each modality will be conducted.

2.3. Modality of SHALL

Epistemic modality signifies the speaker's judgement of the status of the proposition. Although the most typical sense is perhaps 'necessity' or 'possibility', where the speaker makes a judgement concerning the present situation, the majority of cases of SHALL are 'prediction', the judgement being of the proposition of future.[6] The sense 'prediction' has a gradience of the speaker's commitment to their judgement from strong to weak. In (2) below, it is very strong:

2)   And Arcite is exiled upon his heed
       For everemo, as out of that contree,
       Ne nevere mo ne <u>shal</u> his lady see.
       ...
       But seen his lady <u>shal</u> he nevere mo.
                                   (A.KN 1344-52)

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[6]   In fact, the term 'prediction' is rather a pragmatic one signifying a kind of speech act. The present study employs this particular term because there is no other suitable term to designate this sense.

This sort of meaning is sometimes designated as 'prophecy'. In example (3), however, the tone of modality is not as strong as (2), because the realisability of the proposition "he fynde it that so dooth" depends on the condition represented by the imperative "assay":

3)   Assay, and he <u>shal</u> fynde it that so dooth;
        For, be we never so vicious withinne,
        We wol been holden wise and clene of synne.
                                        (D.WB 942-4)

The speaker's commitment is the weakest in (4), where SHALL appears in the temporal adverbial clause beginning with *til*:

4)   "It nere," quod he, "to thee no greet honour
        For to be fals, ne for to be traitour
        To me, that am thy cosyn and thyu brother
        Ysworn ful depe, and ech of us til oother,
        That nevere, for to dyen in the peyne,
        Til that the deeth departe <u>shal</u> us tweyne,
        Neither of us in love to hyndre oother,
        Ne in noon oother cas, my leeve brother,
        But that thou sholdest trewely fortheren me
        In every cas, as I shal forthren thee –
        This was thyn ooth, and myn also, certeyn;
                                        (A.KN 1129-39)

It seems reasonable to analyse it as 'future contingency' (Fridén 1948: 171; Visser 1969: §1520) and 'futurity' (Mustanoja 1960: 493). Here the meaning of SHALL is close to the future tense, and we may classify it under the subcategory 'future'.

   Deontic and dynamic modalities describe the state of affairs represented in a proposition. With the former, the conditioning factor is outside the relevant individual. It carries an important meaning for the pragmatic purpose of setting up separate categories for deontic modality, the 'speaker's volition' and 'obligation', depending on where the conditioning factor is, i.e., in the speaker or some other source.[7] If the conditioning factor (or deontic source) is in the speaker, it

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[7]   Studies of modality such as Palmer (2001) and Coates (1983) do not make this distinction. As Coates (1983: 185) states, "SHALL is virtually restricted to first person subjects" in the spoken language of Present-Day English. This is why the separate category of 'speaker's volition' is not necessary in Present-Day English.

is more closely related to the performance of a speech act. In (5) below, the phrase *my fulle assent* signifies that SHALL expresses the 'speaker's volition':

5)   "Suster," quod he, "this is my fulle assent,
          With al th'avys heere of my parlement,
          That gentil Palamon, youre owene knyght,
          That serveth yow with wille, herte, and myght,
          And ever hath doon syn ye first hym knewe,
          That ye <u>shul</u> of youre grace upon hym rewe,
          And taken hym for housbonde and for lord.
                                              (A.KN 3075-81)

Though the majority of cases (38 occurrences) are the 'speaker's volition' sense, we cannot ignore the 'obligation' sense, since it derives directly from the original lexical meaning of SHALL:

6)   Why sholde men elles in hir bookes sette
          That man <u>shal</u> yelde to his wyf hire dette?
                                              (D.WB 129-30)

Here the conditioning factor is not in the speaker but in some other source implied by the context.

The conditioning factor of dynamic modality, on the other hand, is inside the relevant individual. The 'volition' sense of dynamic modality typically takes the first person subject (Kerkhof 1982: 173), as illustrated in (7) below:

7)   The lystes shal I maken in this place,
          And God so wisly on my soule rewe
          As I <u>shal</u> evene juge been and trewe.
                                              (A.KN 1862-4)

2.4. The modality of WILL

In 2.2., the data shows that WILL has a smaller number of occurrences and a limited inventory of modality compared to SHALL.

Recall that with regard to the 'prediction' sense (and 'future') of epistemic modality, a gradience from strong to weak can be observed in the speaker's commitment to their judgement; this sort of gradience has a narrower range in cases of WILL. The following (8) has the strongest tone of modality in WILL examples:

8)   "Amended?" quod this knyght, "Allas, nay, nay!
        It <u>wol</u> nat been amended nevere mo.
                                        (D.WB 1098-9)

In (9), on the other hand, the speaker's commitment is the weakest and therefore this research classifies it under the category 'future':

9)   For trewely ther is noon of us alle,
        If any wight <u>wol</u> clawe us on the galle,
        That we nel kike, for he seith us sooth.
                                        (D.WB 939-41)

What characterises the semantics of WILL is its strong preference to dynamic modality, with no deontic cases found in our corpus. The 'volition' sense is by far the most prevalent. The following (10) is a notable example, where WILL is used as a main verb with strong volitional sense:[8]

10)   I <u>wol</u> hym noght, thogh thou were deed tomorwe!
                                        (D.WB 307)

In a similar fashion to the gradience observed in the 'prediction' sense, this 'volition' sense has a weaker tone. Recall the 'imperative + and + SHALL' pattern in (3): here the same pattern shows that the realisability of the proposition depends on the condition:

11)   And if ye vouche sauf that it be so,
        Tell me anon, withouten wordes mo,
        And I <u>wol</u> erly shape me therfore."
                                        (A.GP 807-9)

It is noteworthy that there are a fair number (19 instances) of uses of 'nature' sense in our corpus. The present research follows Visser's (1969: §1570) analysis that it signifies a "habitual action as a consequence of a natural or inborn disposition or propensity" (see also Kerkhof 1982: 188-189):

12)   And though he first for ire quook and sterte,
        He hath considered shortly, in a clause,
        The trespas of hem bothe, and eek the cuase,

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[8]   Kerkhof (1982: 185) designates this as a 'notional verb'. In our corpus, all of the main verb uses of WILL are related to this 'volition' sense.

> And although that his ire hire gilt accused,
> Yet in his resoun he hem bothe excused,
> As thus: he thoghte wel that every man
> <u>Wol</u> helpe hymself in love, if that he kan,
> And eek delivere hymself out of prisoun.
>
> (A.KN 1762-9)

This section has investigated a semantic factor, i.e., the modality of SHALL and WILL, with a clear distinction from syntactic and pragmatic factors, assuming that modality has a close relationship with speech acts. In the following sections, we shall take a step into pragmatic domains.

3. Speech acts

3.1. The definition of speech acts

Speech acts can be defined as actions performed via utterances (e.g. Austin 1962 and Searle 1976). This aspect of language use is more accessible than other pragmatic aspects and has therefore kindled historical researchers' interest. Many works on historical speech acts can be found, for example, Jucker – Taavitsainen (2000, 2008) and Archer (2010). However, not so many pages have been devoted to the analysis of the relationship between modals and speech acts: the works by Arnovick (1990, 1999), Gotti et al. (2002), and Nakayasu (2009) are the most notable ones. Speech acts can be either directly signalled by performative clauses, such as *I promise* and *I predict*, or indirectly performed by other linguistic devices such as modals. Speech acts such as promise, threat, and prediction are often related to the modals SHALL and WILL.

This paper has already analysed modality on the assumption that it is closely related to pragmatic aspects like speech acts. This sort of assumption could have misguided Gotti et al. (2002) to place speech acts as subcategories of modality.[9] It should be emphasised here that modality and speech acts belong to different levels of grammar, i.e., semantics and pragmatics, respectively. It should also be noted that though speech acts are tightly connected to a particular modality in some cases, there are also other cases where speech acts are not necessarily related to any particular modality.

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[9]   See Nakayasu (2009: 46-48) for details.

3.2. A quantitative analysis of speech acts

The following bar graph shows the inventory of speech acts performed by the modals SHALL and WILL and the number of instances in our corpus (the inventory is based on Nakayasu 2009):
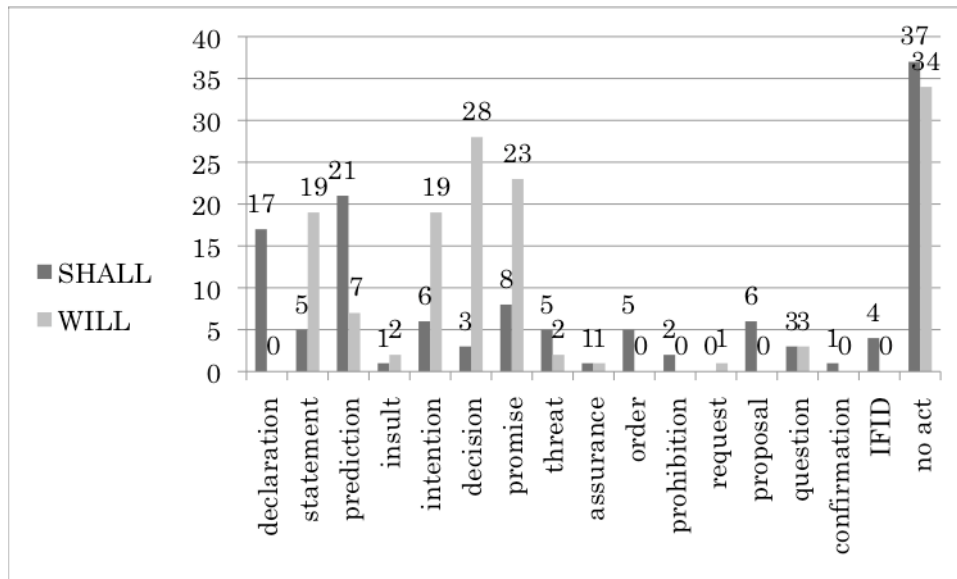

Figure 2. Modals and speech acts in Chaucer

Table 3 demonstrates the number of occurrences and the percentage of each speech act performed by each modal.

Table 3. Modals and speech acts in Chaucer in percentages

speech act	SHALL	percentage	WILL	percentage
declaration	17	13.6	0	0.0
statement	5	4.0	19	13.7
prediction	21	16.8	7	5.0
insult	1	0.8	2	1.4
intention	6	4.8	19	13.7
decision	3	2.4	28	20.1
promise	8	6.4	23	16.5
threat	5	4.0	2	1.4
assurance	1	0.8	1	0.7
order	5	4.0	0	0.0
prohibition	2	1.6	0	0.0

request	0	0.0	1	0.7
proposal	6	4.8	0	0.0
question	3	2.4	3	2.2
confirmation	1	0.8	0	0.0
IFID	4	3.2	0	0.0
no act[10]	37	29.6	34	24.5
total	125	100.0	139	100.0

As the above data indicates, these two modals show a significant difference in distribution. The instances of SHALL spans comparably evenly over the possible speech acts, while those of WILL are rather focused and limited to parts of the total inventory. Interestingly enough, this observation harmonises with the analysis of modality in 2.2.: the modality of WILL has a limited variety, and is strongly biased towards dynamic, which is derived directly from its original lexical meaning. This similarity could mean that, as far as our corpus of Chaucer is concerned, the relationship between modality and speech act is fairly close, and there are not many cases of speech acts which are not related to any particular modality. In the following subsection, we shall analyse some of the outstanding characteristics of the speech acts performed by these modals.

3.3. A qualitative analysis of speech acts

Let us examine speech acts according to the order of Figure 2 and Table 3, comparing the modals SHALL and WILL.

The act of 'declaration' guarantees the propositional content corresponds to the world (Searle 1976: 13-7). This act is typically performed by SHALL, and no example of WILL is recorded in our corpus:

13)   This worthy duc answerde anon agayn,
        And seyde, "This is a short conclusioun.
        Youre owene mouth, by youre confessioun,
        Hath damped yow, and I wol it recorde;
        It nedeth noght to pyne yow with the corde.
        Ye shal be deed, by myghty Mars the rede!"
                                        (A.KN 1742-7)

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[10]   This 'no act' category is set up to cover cases where the utterance including the modal is not
        connected to any speech act, probably because it occurs in a subordinate clause (Nakayasu
        2009: 86). The present research includes all the occurrences of the modals, because the distinc-
        tion between main and subordinate clauses was occasionally not clear in Middle English.

Although Fridén (1948: 145) claims that the example in (13) is a threat, the present research would support Kerkhof's (1982: 173) analysis that it is the "speaker's determination to bring about [prevent] some action, event or state of things in the future". In a declaration, the speaker who has a special role (the Duke in (13)) makes an announcement which conforms to their will, and this is in line with SHALL and its deontic modality. The illocutionary force is sometimes made clear by an IFID (illocutionary force indicating device) such as *I wol it recorde* in (13).

The 'statement' is the speech act by which the speaker describes what they believe to be fact.[11] This act is performed more often by WILL (19 instances) than SHALL (5 instances):

14)   Crist <u>wole</u> we clayme of hym oure gentillesse,
         Nat of oure eldres for hire old richesse.
                                          (D.WB 1117-8)

Other works would classify examples like (14) as 'intention', which we shall come back to later in this subsection. The present research, on the other hand, regards (14) as the 'statement' of the intention of the third person subject *Crist*, not of the first person (i.e. the speaker). It is clear from this example that the speaker plays a key role in performing a speech act, and that the act 'statement' is, by definition, not restricted to a particular modality.

Considerable attention in the literature has been paid to 'prediction' (cf. Arnovick 1990: 9). The speaker predicts what will happen in the future or the time subsequent to a certain event. This speech act has an intimate relationship with epistemic modality; in other words, it merges with it. The following example is a typical case:

15)   And Arcite is exiled upon his heed
         For everemo, as out of that contree,
         Ne nevere mo ne <u>shal</u> his lady see.
         …
         But seen his lady <u>shal</u> he nevere mo.
                                          (A.KN 1344-52)

As we have seen in 2.3. concerning the 'prediction' sense of epistemic modality, the same sort of gradience is observed with this speech act. Our corpus contains more instances of SHALL (21) than WILL (7), which also corresponds to the proportion found in modality.

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[11]   This speech act corresponds to Searle's 'representative' (Searle 1976: 10-11).

The following three acts are related with the 'volition' sense of dynamic modality (and possibly with the 'speaker's volition' sense of deontic modality): 'intention', 'decision', and 'promise'. This fact justifies the higher frequency of WILL in these speech acts (see Table 3). The following (16) exemplifies 'intention', which expresses the willingness of the speaker to carry out an action (compare with the 'statement' in (14)):

16)   What! Verray fool, thynk wel that love is free,
        And I <u>wol</u> love hire maugree al thy myght!
                                         (A.KN 1606-7)

The act 'decision' is similar to 'intention' but significantly different from it in that the speaker makes a decision on the spot, and thus there is a certain change in the speaker's mind (Nakayasu 2009: 88-89):

17)   Now to the temple of Dyane the chaste,
        As shortly as I kan, I <u>wol</u> me haste,
        To telle yow al the descripsioun.
                                         (A.KN 2051-3)

It is not the purpose of this short paper to analyse these modals diachronically. However, it is interesting to note, in passing, that this speech act enjoyed greater frequency in Shakespeare (Nakayasu 2009: 146-147), and assumed importance in the development towards meaning and function close to future tense (Chapter 6 of Nakayasu 2009).

The speech act 'promise' has often been discussed in the literature (Arnovick 1990: 91; 1999: Chapter 4). The speaker has the intention to do a certain action, and once it is declared, they assume an obligation to perform that action in the future, which should have a beneficial effect as in (18):

18)   "Kys me," quod she, "we be no lenger wrothe,
        For, by my trouthe, I <u>wol</u> be to yow bothe –
        This is to seyn, ye, bothe fair and good.
                                         (D.WB 1239-41)

The act 'threat' is similar to 'promise', but differs in the major respect that it will have a harmful effect:

19)   And seide: "Arcite, false traytour wikke,
        Now artow hent, that lovest my lady so,
        For whom that I have al this peyne and wo,

> And art my blood, and to my conseil sworn,
> As I ful ofte have told thee heerbiforn,
> And hast byjaped heere duc Theseus,
> And falsly chaunged hast thy name thus!
> I wol be deed, or elles thou <u>shalt</u> dye.
>
> (A.KN 1580-7)

In our corpus this speech act is performed more often by SHALL (5 instances of SHALL and 3 instances of WILL), possibly because the modal SHALL is deontic-oriented and therefore the speaker can resort to a kind of outside force.

The next two speech acts, 'order' and 'prohibition', are performed solely by SHALL in our corpus. Fridén (1948: 147) remarks on the example in (21) that the "fulfillment of the action is dependent on the will of another person than subject". This observation fits with the deontic modality of SHALL. 'Order' is a speech act to make the addressee do something:

20)   And ye <u>shul</u> bothe anon unto me swere
        That nevere mo ye shal my contree dere,
        Ne make werre upon me nyght ne day,
        But been my freendes in all that ye may,
        I yow foryeve this trespas every deel."

>   (A.KN 1821-5)

On the other hand, 'prohibition' is a negative order:

21)   And now thow woldest falsly been aboute
        To love my lady, whom I love and serve,
        And evere shal til that myn herte sterve.
        Nay, certes, false Arcite, thow <u>shalt</u> nat so.

>   (A.KN 1142-5)

The prototypical 'question' takes the interrogative form and seeks information from the addressee on the assumption that they have that information. This speech act is not restricted to any particular modality. Arnovick (1990: 37-41) classifies questions according to the addressee and the necessity of information: public vs. self-addressed questions, and information-seeking vs. rhetorical questions. Since no self-addressed question is recorded, our corpus contains only public information-seeking and rhetorical questions. Below are examples of an information-seeking question (example (22); Kerkhof 1982: 188 and Visser 1969: §1576) and a rhetorical question (example (23); Kerkhof 1982: 175) respectively:

22)   What <u>wiltow</u> seyen? Thou woost nat yet now
         Wheither she be a womman or goddesse!
                                            (A.KN 1156-7)

23)   Wostow nat wel the olde clerkes sawe,
         That 'who <u>shal</u> yeve a lovere any lawe?'
                                            (A.KN 1163-4)

Finally, let us examine a different use of modals, that is, modals used as a part of an IFID (illocutionary force indicating device). Observe the modal SHALL in the clause *if that I shal nat lye*:

24)   And seyde thus: "Now, lordynges, trewely,
         Ye been to me right welcome, hertely;
         For by my trouthe, if that I <u>shal</u> nat lye,
         I saugh nat this yeer so myrie a compaignye
         Atones in this herberwe as is now.
                                            (A.GP 761-5)

Fridén (1948: 169) analyses this modal as "future contingency", and remarks that "there seems to be a notion of modality". Kerkhof (1982: 176) states that there are "a number of clauses that show a more or less distinct modal colouring" in adverbial clauses of condition. Their perspectives, however, remain in the realm of semantics and therefore miss pragmatic functions. By uttering a clause including the modal SHALL, the speaker, the host, signals that he is saying the truth, not that it is a condition to be fulfilled.

    Having conducted qualitative and quantitative analyses of speech acts performed by single utterances, we are now ready to explore further discourse.

4. Modals in discourse

4.1. The scope of this section

This section will extend the scope of this investigation into higher order organisation, in other words, in what way modals are employed in discourse. Although some works have been devoted to the speech acts of modals in Middle English as we have seen in the introduction, no researcher has so far analysed ME modals from a perspective of discourse.

    The present research defines 'discourse', a highly complicated notion, as all kinds of textual organisations beyond single utterances (Östman – Virtanen [1995] 2010), and these are constrained not only by the language but also by

society (Widdowson 2007). Examples include adjacency pairs (Sachs et al. 1974), speech events (Hymes 1962), discourse markers (Schiffrin 1987), and even higher-order textual organisations. In addition, socio-cultural factors can be incorporated into this notion, for instance, politeness (Brown – Levinson 1987). However, discussion of all these aspects of the modals in detail is definitely beyond the scope of this short paper. As the first systematic study of these modals in Chaucer from pragmatic viewpoints and the first step into the dimension of discourse, the present study will examine discourse markers which typically appear in our corpus, and then the alternation of the modals SHALL and WILL in discourse (Nakayasu 2009, 2010).

4.2. Discourse markers

Discourse markers can be defined as "sequentially dependent elements which bracket units of talk" (Schiffrin 1987: 31), and characterised by higher frequency in spoken discourse, scarce lexical meaning, phonological brevity, optionality, and numerous functions to manage the dialogue and discourse (Brinton 1996: 32-40). Some discourse markers, such as *but* and *now*, are proved to have a close relation to the modals (Nakayasu 2009: 212-218). In our corpus of Chaucer, the discourse marker *now* is in particular worthy of attention. This marker is directly connected to the here and now of the speaker, and this characteristic can be considered to facilitate the use of the proximal modals SHALL and WILL. Recall the important fact that the speech act of decision is performed much more often by WILL than SHALL as we have seen in 3.2. As many as 15 instances of WILL are used in coordination with *now* in the context of instant decision making, while no SHALL example is recorded in our corpus. In (25) below, the speaker, the wife of Bath, signals by the successive uses of *now* that she makes a decision on the spot to change her topic:

25)   Swiche manere wordes hadde we on honde.
        Now <u>wol</u> I speken of my fourthe housbonde.
        …
        Now <u>wol</u> I tellen of my fourthe housbonde.
        …
        Now of my fifthe housbonde <u>wol</u> I telle.
                                    (D.WB 451-503)

Among the list of discourse markers, it is demonstrated that *now* is employed often in coordination with the modal WILL in Chaucer's English.

4.3. Alternation in discourse

We come now to the point to examine how the modals SHALL and WILL are employed in discourse, taking into consideration the analyses and discussions in previous (sub)sections.

First, the speaker can use the same modals successively in order to show that they continue performing the same speech acts. In (26) the speaker Duke, whose social rank is sovereign, addresses his inferiors, i.e., Palamon, Arcite, and others, and performs declaration speech acts. This speech act can be performed only by someone whose social rank is high, and therefore assumes a special role. The typical modal employed in such a context is SHALL, as we have seen in 3.2. This speech act is demonstrated by the phrase *My wyl is this*, and also by the successive uses of SHALL:

26)   My wyl is this, for plat conclusioun, …
         That everich of you <u>shal</u> goon where hym leste …
         Everich of you <u>shal</u> brynge an hundred knyghtes …
         Thanne <u>shal</u> I yeve Emelya to wyve …
         The lystes <u>shal</u> I maken in this place, …
         As I <u>shal</u> evene juge been and trewe.
         Ye <u>shul</u> noon oother ende with me maken,
         That oon of yow ne <u>shal</u> be deed or taken.
                                          (A.KN 1845-66)

In the following (27), the speaker Arcite talks to the god Mars in his prayer, and makes a succession of promises:

27)   With pitous herte and heigh devocioun,
         Right thus to Mars he seyde his orisoun: …
         Thy sovereyn temple <u>wol</u> I moost honouren …
         And in thy temple I <u>wol</u> my baner honge …
         Eterne fir I <u>wol</u> bifore thee fynde.
         And eek to this avow I <u>wol</u> me bynde: …
         Of rasour nor of shere, I <u>wol</u> thee yive,
         And ben thy trewe servant whil I lyve.
                                          (A.KN 2371-418)

As we have seen in 3.2., WILL is preferred for promises more than SHALL.[12] We can safely say from the examples in (26) and (27) that speech acts are per-

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[12]   SHALL is employed, however, when the modality is deontic.

formed not just by single utterances but in a wider context consisting of multiple utterances as well.

The modals SHALL and WILL occasionally alternate in discourse. Although these alternations are seemingly inexplicable, there are in fact enough motivations to employ a particular modal in certain contexts, and various factors seem to be at work in these alternations. In (28), the speaker Palamon threatens the interlocutor Arcite with the aid of volitional senses of modals: WILL is used for the first person subject and related to dynamic modality, while SHALL for the second person subject and to deontic modality. In other words, the former is a speaker-based speech act, whereas the latter a hearer-based speech act (Gordon – Lakoff 1975). Observe:

28)   I <u>wol</u> be deed, or elles thou <u>shalt</u> dye.
        Thou <u>shalt</u> nat love my lady Emelye,
        But I <u>wol</u> love hire oonly and namo;
        For I am Palamon, thy mortal foo.
        And though that I no wepene have in this place,
        But out of prison am astert by grace,
        I drede noght that outher thow <u>shalt</u> dye,
        Or thow ne <u>shalt</u> nat loven Emelye.
        Chees which thou <u>wolt</u>, or thou <u>shalt</u> nat asterte!''
                                        (A.KN 1587-95)

One exception is the employment of WILL in *Chees which thou <u>wolt</u>*, where the second person subject has his own intention and therefore the modality is dynamic.

The alternation can also be due to the difference both in modality and speech act. In (29) below, the speaker Palamon talks to the goddess Venus, and he is tactful as to when to employ SHALL or WILL in his sentence of the first person subject:

29)   For though so be that Mars is god of armes,
        Youre vertu is so greet in hevene above
        That if yow list, I <u>shal</u> wel have my love.
        Thy temple <u>wol</u> I worshipe evermo,
        And on thyn auter, where I ride or go,
        I <u>wol</u> doon sacrifice and fires beete.
        And if ye <u>wol</u> nat so, my lady sweete,
        Thanne preye I thee, tomorwe with a spere
        That Arcita me thurgh the herte bere.
                                        (A.KN 2248-56)

We can find a close relationship among modality, speech acts and the modal here: when the modality is epistemic, the speech act performed is prediction, and the modal SHALL is employed (*I shal wel have my love*); and when the modality is dynamic, the speech act is promise, and, as can be predicted from the discussion so far, the modal is WILL (*Thy temple wol I worshipe evermo*; *I wol doon sacrifice and fires beete*). The WILL in *if ye wol nat so* signifies the intention of the second person subject Venus, and it is not related to any speech act.

   The next alternation is based on the social roles of the speaker. Observe the dialogue between gods in (30), where the speaker Saturn addresses his grand-daughter Venus. He first utilizes SHALL when he is conscious about his role as a god (*I shal doon diligence*; *Palamon ... Shal have his lady...*; *Mars shal help his knyght*).[13] Seeing the teardrops still on his granddaughter's face, he switches to WILL, his role moving from that of god to grandfather (*I am thyn aiel, redy at thy wille; Weep now namoore; I wol thy lust fulfille*):

30)   "My deere doghter Venus," quod Saturne, …
        Now weep namoore; I shal doon diligence
        That Palamon, that is thyn owene knyght,
        Shal have his lady, as thou hast him hight.
        Though Mars shal helpe his knyght, …
        I am thyn aiel, redy at thy wille;
        Weep now namoore; I wol thy lust fulfille."
                                        (A.KN 2453-78)

Having analysed the semantic and pragmatic factors relevant to the modals and various patterns of their alternation, let us return to our first example in the introduction. In the first part of (31), the god Mercury talks to Arcite in his dream, and then Arcite snaps out of his dream and talks to himself:

31)   And seyde hym thus: "To Atthenes shaltou wende,
        Ther is thee shapen of thy wo an ende."
        And with that word Arcite wook and sterte.
        "Now trewely, hou soore that me smerte,"
        Quod he, "to Atthenes right now wol I fare,
        Ne for the drede of deeth shal I nat spare
        To se my lady, that I love and serve.
                                        (A.KN 1391-7)

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13   These occurrences of SHALL are also motivated by deontic modality, i.e., the speaker's volition sense.

What is important here is that Mercury and Arcite choose different modals for the same proposition "Arcite go to Atthens". Mercury employs SHALL in *To Atthenes shaltou wende*, where the modality is deontic, and the speaker performs an order. Arcite switches this SHALL to WILL in *to Atthenes right now wol I fare*. In this intentional switch, the conditioning factor moves inside of the subject and therefore the modality is dynamic, and the speech act is his decision: Arcite is now the speaker and subject, making an instant decision. However, he employs SHALL in *Ne for the drede of deeth shal I nat spare To se my lady*, although the subject is the same. This is possibly because of Arcite's strong intention to go against fate, or possibly a matter of variation. We shall leave the matter open, since it would require more analyses and a larger corpus to obtain a definitive conclusion.

5. Conclusion

This paper has attempted the first systematic account of the modals SHALL and WILL in Chaucer's language from pragmatic viewpoints. Restricting the scope of the corpus to three tales of *The Canterbury Tales*, this research has thrown new light on the pragmatic aspects of modals in Middle English along the lines of historical pragmatics.

Drawing a clear-cut distinction among syntactic, semantic, and pragmatic factors, we first observed a limited number of main verb uses of these modals. This data suggests that the stage of grammaticalisation is almost complete with regards to syntax. Next, we analysed modality on the assumption that this semantic category is to a considerable extent related to speech acts. The analysis revealed that whereas SHALL is distributed across all kinds of modality, WILL has a limited variety: many cases are dynamic, which is directly derived from its original lexical meaning, no cases of deontic are found, and fewer cases of epistemic modality are recorded, which is more subjective and developed later than dynamic and deontic modalities. Our focus then moved to pragmatic aspects. The inventory of speech acts suggests a strong connection to the relevant modality, for example, prediction to epistemic modality, order to deontic modality (SHALL), and decision to dynamic modality (WILL). On the other hand, some cases, such as questions, are found to be not relevant to any particular modality. WILL again has a more limited variety than SHALL. Furthermore, we extended the observation into the realm of discourse: discourse markers, successive employments of the same modal, and alternative uses of both modals. The findings concerning alternation in discourse which other studies would ascribe simply to a matter of variation but are in fact well-motivated and controlled by various factors such as modality, speaker-based vs. hearer-based speech acts, and social role. Further analysis, however, is necessary to explicate the function of the modals.

Finally, our analysis presented topics which are worth exploring further in the future. We noticed a gradience of modality, from strong to weak. When the speaker's commitment is the weakest, the meaning and function of these modals is devoted mainly to future time reference. This kind of bleaching occurred through the process of grammaticalisation, and these concomitant meanings exist as polysemy. An in-depth analysis of this gradience can be expected to provide further insights into the semantics and pragmatics of the modals. Another interesting topic to pursue is the alternation in discourse. As far as our corpus is concerned, modality is felt clearly in most of the cases; in other words, a particular modal is chosen because of its modality, less because of the participants' social roles, let alone because of mere variation. Is this explicability true for other materials of ME and of other periods as well? An additional view on the uses of these modals in later periods would certainly shed light on the pragmatic development of the modal and temporal systems in English.

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