# CHAPTER II

# LITERATURE REVIEW

This chapter consists of two parts. The first part is talking about the review that relate with theoretical framework. It consists all the theory that are used to answer the problem research. In this research, the researcher is going to find out the categories of positive politeness strategies used by Sophie and Alberto Knox in "Sophie's World" film based on the theory of Politeness Strategies by Brown and Levinson (1987). The second part is the review of related studies which shows the previous studies about politeness strategies.

## 2.1 Theoretical Framework

The researcher presented the theories which would be used as basic theory for the analysis. It involves the theory of Politeness strategy, Positive Politeness Strategy, and Influencing Factors in Choosing Politeness Strategies by Brown and Levinson (1987). However, before the researcher discusses more about the theory of politeness strategies by Brown and Levinson that are used by the writer in her study, she will begin by explaining some of definitions that is related to the main theory. These definitions will help the researcher and readers understand more about the theory of politeness strategies.

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### 2.1.1 Context

Context is an important aspect in interpreting the meaning of an utterance because if we want to know the utterance means, we have to know the context before. According to Leech (1983, p.13), context deals with relevant aspect of physical or social settings of an utterance. It is the background knowledge, which is shared by the speaker and the hearer in understanding their utterance. Therefore, context is central to an understanding of the relationship between what is said and what is understood in spoken and written.

Moreover, Malinowski as cited in Halliday and Hasan (1985, p.6) stated that there are two notions of context, context of situation and context of culture and both of these, be considered, were necessary for the adequate understanding of the text. Halliday and Hasan (1985, p.45) stated that context of situation is the situation in which a text is actually functioning. It is an environment of the text. We use this notion to explain why certain things have been said or written on this particular occasion. While, context of culture is the cultural background or the history behind the participants that give value to the text and constrain its interpretation. In order to understand the meaning of any utterance, one should know and understand the cultural background of the language. It can include the participants, or people who are involved in speech, time, social environment, political condition etc.

From the statement above, it can be concluded that context has functions to help the speaker and the hearer or the writer and the reader deliver and understand the meaning of utterance.

### 2.1.2 Politeness Strategy

Lakoff (1973) as cited in the journal "The Reflection of the Javanese Cultural Concepts in The Politeness of Javanese" (2010) argued that politeness is a system of interpersonal relations designed to facilitate interaction by human interaction by minimizing, potential conflict and confrontation inherent in all human interchange. Furthermore, Fraser (1990) defined politeness as a conversational contract. Conversational contract has a set of rights and obligations that participants must adhere to and can be negotiated and readjusted during a conversation. On the other hand, Mill (2003, p.6) stated that politeness is the expression of the speaker's intention to mitigate face threats carried by certain face threatening acts toward another.

In communication, Yule (1996, p.134) defined that politeness is showing awareness of another person's face. Face means public self-image of person. It means when we use politeness strategies we respect the public self-image of person to whom we are talking. Then a threat to a person's face is termed a Face Threatening Act (FTA). Such act has the potential to damage the hearer's positive face or hearer's negative face. Politeness strategies are best expressed as the practical application of good manner in any circumstances of conversation. So, it can be concluded that politeness

strategies are strategies that are used to minimize or avoid the Face Threatening Acts (FTA) that a speaker makes.

### 2.1.3 Politeness Strategy: Brown and Levinson Theory

Politeness strategies are strategies that are used to minimize or avoid the Face Threatening Acts (FTA) that a speaker makes. According to Brown and Levinson (1987, p. 68) politeness strategies are developed in order to save the hearer's face. In communication, politeness can be defined as the means to show awareness of another person's face. Politeness strategies are developed for the main purpose of dealing with the FTAs in order to save the hearer's face and usually it is used to avoid embarrassing the others. According to Brown and Levinson (1987, p.92), there are four strategies for doing FTAs:

a. Bald on record strategy: speaking in direct, clear, and unambiguous way. For example, a bald on record strategy might be to tell your sister to clean the dishes "Do the dishes. It's your turn".

b. Positive politeness strategy: this strategy attempts to minimize the threat to the hearers face. Quite often hedging and attempts to avoid conflict are used. For example, a positive politeness strategy might be the request "I know that you've been really busy lately, but could you do the dishes?"

c. Negative politeness strategy: satisfying hearer's negative face by recognizing and respecting the addressee's negative face wants. Negative face is the desire to have freedom of action.

d.  Bald off record strategy: delivering the intention indirectly. For example, a speaker using the indirect strategy might merely say "Wow, it's getting cold in here".

### 2.1.3.1 Face

In discussing politeness strategy, face is the most important thing to be considered since it is needed into consideration for being polite to other people. Brown and Levinson (1987, p.61) stated that face is the public self-image that every member wants to claim for himself. Therefore, 'face' is something that is emotionally invested, and that can be lost, maintained, and constantly attended to interaction. In order to maintain face interaction, people cooperates each other. In this case the speaker's concerns his or hearer's negative face or cares of the positive face of the addressee by appreciating and approving the addressee's self image.

According to Brown and Levinson (1987, p.61), face has two aspects, namely 'positive' and 'negative'.

**a. Negative face**

Negative face is the desire to have freedom of action, freedom of imposition, and not to be impeded by others. Example: someone that intends to get education abroad does not want to be told to school in Indonesia (freedom of action)

**b. Positive face**

Positive face is the positive self image or the desire that his or her self image be appreciated and approved by interactions. Example: person who did a great decoration for the wedding party expects people to appreciate his or her work and give compliment to his or her decoration and not to criticize them.

**2.1.3.2 Face of Threatening Acts**

Paltridge (2006, p. 77) claimed that Face Threatening Acts are some acts 'threaten' a person's face. Brown and Levinson (1987, p.65) stated that these acts are divided into two, first is the act that threaten the addressee's negative face want. It means that speaker does not intend to disturb the freedom of action of hearer. This act includes orders, requests, suggestions, advice, threats, warnings, offers, promises, compliments, expressions of hatred, anger, and lust. Example of acts that threaten the negative face is asking someone to lend you some money. It is a threat to that person's negative face as you have imposed yourself on him, that his wants on to be free from being imposed has been ignored.

In addition, the second act is act that threatens the positive face want. It means that the speaker does not care about the addressee's feelings and wants. This acts includes: expression of disapproval, criticism, contempt or ridicule, complaints, accusations, insult, contradictions/disagreements, challenges, expression of violent, bringing of bad news or good news, etc. One of the

examples of positive face is when someone criticized someone else about something that he has done and said it roughly; it will give an impingement on his self-image. That criticism causes a threat to his positive face, which wants to be appreciated by everyone. Therefore, if we did or are about to threaten someone's positive or negative face but do not mean it, we need to minimize it by applying positive or negative politeness strategies by Brown and Levinson (1987).

In the communication, people will seek to avoid the face-threatening acts or will employ certain strategies to minimize the threat. The possible sets of strategies may be schematized exhaustively as in Figure 1. It shows the possible politeness strategies for doing FTAs (Face Threatening Acts).
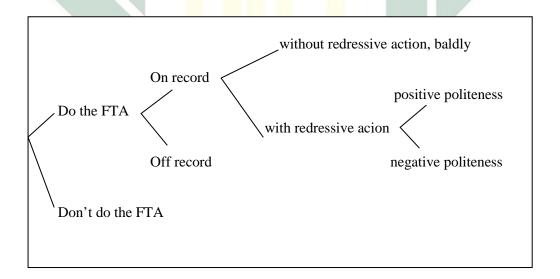


**Figure 1. Brown and Levinson's politeness strategies.**

The figure above shows that when a person chooses not to do anything or not to do FTA, that person does not need politeness strategies. On the

contrary, when she/he decides to do the FTA, there are conditions or rules of how to deal with the FTAs and those rules are politeness strategies. For that reason politeness strategies are developed for the main purpose dealing with FTAs, the four politeness strategies are: Bald on Record, Positive Politeness, Negative Politeness, and Bald off Record.

### 2.1.4 Positive Politeness Strategy: Brown and Levinson Theory

According to Brown and Levinson (1987, p.70) positive politeness is oriented toward the positive face of the hearer, the positive self-image that he claims for himself and his perennial desire that his wants (or the action/acquisition/values/resulting from them) should be thought of as desirable. Positive politeness is used to satisfy the positive face of the hearer by approving or including him as a friend or as a member of a group. Positive politeness utterances are not only used by the participants who have known each other fairly well, but also used as a kind of metaphorical extension of intimacy to imply common ground or to sharing of wants to limited extent between strangers. So, positive politeness is very useful to promote or maintain social relationship between the speaker and the hearer because it indicates solidarity. According to Brown and Levinson (1987, p.103), positive politeness strategy involves fifteen strategies, they are:

**Strategy 1: Notice, attend to hearer (his interest, wants, needs, goods)**

The speaker should take notice of aspects of hearer's condition (noticeable changes, remarkable possessions, anything which look as though H would want S to notice and approve of it).

Example: Goodness, you cut your hair! (….) By the way, I came to borrow some flour.

**Strategy 2: Exaggerate (interest, approval, sympathy with hearer)**

This strategy is often conducted with exaggerate intonation, stress, and other aspects of prosodic, as well as with intensifying modifiers.

Example: What a fantastic garden you have!

**Strategy 3: Intensify interest to the hearer**

In this strategy, there is another way for the speaker to communicate to the hearer that he shares some of his wants to intensify the interest of his own (the speaker) contribution to the conversation, by making a good story. The speaker using a directly quoted speech and tag question or expression that bring H as participant into the conversation like, you know, see what I mean, etc.

Example: I came down the stairs, and what do you think I see? – a huge mess all over the place, the phone's off the hook and clothes are scattered all over…

**Strategy 4: Use in-group identity markers**

A strategy by using any of the innumerable ways to convey in-group membership, the speaker can implicitly claim the common ground with the hearer that is carried by that definition of the group. This strategy includes in-

group usages of address forms, use of in-group language or dialect, and use of jargon or slang.

Example: come here, honey!

**Strategy 5: Seek agreement**

Speaker finds a way to stress his/her agreement with Hearer to claim the common ground between them. It is usually used by raising the safe topics allows the speaker to stress his agreement with the hearer that the hearer's opinion is right. In addition, S also stresses his/her agreement by repeating part/all of what the entire preceding speaker has said.

Example: A: John went to London this weekend!

B: To London?

**Strategy 6: Avoid disagreement**

Avoiding disagreement divided into fourth. First is token agreement, means that in order to hide avoid or hide disagreement. Speaker pretends to agree by twisting his/her utterance.

Example: A: So is this permanent?

B : Yeah, it's 'permanent'- permanent until I get married.

Second is pseudo-agreement, it is found in the use of then as a conclusory marker. By using then, S is drawing a conclusion that seems he or she agrees with H.

Example: I'll meet you in front of the theatre just before 8.0, then.

Third is a white lie, S may do a white lie in order to avoid disagreement when S doing this S is saving H's face.

Example: in response to a request to borrow a radio, "oh, I can't. The batteries are dead.

Forth is hedging opinions, means that S may choose to be vague about his own opinions, so as not to be seen to disagree.

Example: It's really beautiful, in a way.

**Strategy 7: Presuppose / rise / assert common ground**

This strategy includes three ways among them are gossip or small talk, point of view operations and presupposition manipulation.

Example: Hi Joe! I see that your effort in working out pays. Now you look more fit and stronger. By the way Joe, can you lend me a hundred bucks?

**Strategy 8: Joke**

Jokes may be used as an exploitation of politeness strategies as well, in attempts to reduce the size of the FTA. Joke is a basic positive-politeness technique used to minimize an FTA of requesting.

Example: Ok if I tackle those cookies now?

How about lending me this old heap of junk? (H's new Cadillac)

**Strategy 9: Assert or presuppose speaker's knowledge and concern for the hearer's wants**

This strategy is done by asserting or implying knowledge of hearer's wants and willingness to fit one's own wants with them.

Example: I know you can't bear parties, but this one will really be good-do come! (request/offer)

**Strategy 10: Offer, promise**

Offer and promise can indicate that S and H are cooperators. The speaker may claim that whatever the hearer wants, the speaker will help to obtain the hearer's wants. Offers and promises are natural outcomes of choosing this strategy even if they are false. S may do this strategy to safe H's positive face.

Example: I'll drop by sometime next week.

**Strategy 11: Be optimistic**

In this strategy, the S assumes that the H wants to do something for the S (or for the speaker and the hearer) and will help the S to obtain the goals because it will be in their mutual shared interest.

Example: Look, I'm sure you won't mind if I remind you to do the dishes tonight.

**Strategy 12: Include both the speaker and the hearer in the activity**

This strategy uses an inclusive 'we' form, when speaker really means 'you' or 'me'. An inclusive 'we' often use with the word let's. By doing this way, she/he shows her/his cooperation and then can redress the FTA.

Example: Let's get on with dinner, eh?

**Strategy 13: Give (or ask for) reasons**

In this strategy, the speaker including the hearer in the speaker's practical reasoning and assuming reflexivity that the hearer wants to the speaker's wants.

Example: Why not lend me your cottage for the weekend?

**Strategy 14: Assume or assert reciprocity**

In this strategy, the speaker may say, in effect, 'I'll do X for you if you do Y for me', or 'I did X for you last week, so you do Y for me this week' (or *vise versa*). By this strategy, the speaker may soften his FTA by negating the face threatening aspect of speech act such as criticism or complaints.

Example: I'll give you a candy if you can make a cake

**Strategy 15: Give gifts to the hearer (goods, sympathy, understanding, cooperation)**

The last strategy, the speaker may satisfy H's positive face want by actually satisfying some of H's wants. Hence we have the classics positive politeness action of gift giving, not only tangible gifts but also human relation wants such as admired, listened, understood, etc.

Example: I'm sorry to hear that.

**2.1.5 Factors Influencing the Use of Politeness Strategy: Brown and Levinson Theory**

Every person will have any special intention in doing anything whenever it will give him some advantages. However in doing the FTAs, there are some factors that can affect him to use the strategies that have been mentioned before. According to Brown and Levinson (1987, p.71) there are two factors that influence the speaker to employ positive politeness strategy. The factors are payoff and circumstances.

1. *Payoff: a priori considerations.*

The speaker employs the positive politeness strategy because they can get any advantages. The speaker can minimize the FTA by assuring the hearer that he likes the hearer and wants to fulfill the hearer's want. Thus, the hearer positive face is not threatened by the speaker because it can be seen for their mutual shares.

For example: "Let's get on for dinner."

2. *The Circumstances: Sociological variables*

The seriousness of an FTA is also influenced by the circumstances, sociological variables, and thus to a determination of the level of politeness. The assessment of the seriousness of an FTA involves the following factors in many and perhaps all cultures: relative power (P), social distance (D) and size of imposition (R).

a. *Relative Power*

Power (P) is the general point is that we tend to use a greater degree of politeness with people who have some power or authority over us than to those who do not. These types of power are most found in obviously hierarchical settings, such as courts, the military, workplace. It is based on the asymmetric relation between the speaker and the hearer. For example, you would probably be more polite about conveying to your employer because she or he always arrives late, than in conveying to your brother. This is because your employer can influence your career in a positive way (reward power) or negative way (coercive way).

*b. Social Distance*

Social distance (D) can be seen as the composite of psychologically real factors (status, age, sex, degree of intimacy, etc) which together determine the overall degree of respectfulness within a given speech situation. It based on the symmetric relation between the speaker and the hearer. For example, you feel close to someone or you know him well because he is similar in terms of age or sex, then you will get closer to him and the distance rating will get smaller.

*c. Size of Imposition*

Size of imposition (R) can be seen from the relative status between one-speech act to another in a context. For example, borrowing a car in the ordinary time will make us feel reluctant, but in urgent situations it will natural. Thus, in the first context we will employ polite utterance. Meanwhile, in the second context it is not necessary to employ polite utterance because the situation is urgent.

**2.1.6 Film**

A film is one of art words. In Oxford Dictionary, film is a cinema picture. It is the illusion of the reality in visual media. Film is social representation that is they derive their sounds and images, theme, and stories ultimately from their social environment. The study of film cannot be separated from the society. Allen and Gomery as cited in (Ani, 2007) stated that:

> "Furthermore, however indirectly and obliquely, film are social representations. That is, they derive from images and sounds, themes, and stories ultimately from the social environment. In functional film, characters are given attitudes, gesture, statements, motivations and appearance that are in part at least, based on social roles, and on general motions about how policeman, factory worker, debutante, mother or husband is 'supposed' to be. (Allen and Gomery, 1993:158)."

"Sophie's World" film is one of the film that represent the society at the time because it's told about the history of philosophy from ancient Greece, over the Roman Empire, the Middle ages, the Renaissance, the Enlightenment, the Big Revolutions, and up to today. So, it can be concluded that a film is a social representation in which the characters are supposed to act on their social roles as if they are in the society. Briefly, a film is a visual medium that is assumed to be a reflection of real life. Film, commonly, reflect the situation in the society at the time and give many knowledge to the audience.

**2.2 Previous Study**

There were some researches discussing the politeness strategies previously. The first research is the analysis of politeness strategies written by Noriko Kitamura (2000) from the school of European, Asian, and Middle Eastern Languages and studies, University of Sidney by title "*Adapting Brown and Levinson's Theory of Politeness to the Analysis of Casual Conversation*". He analyzed a small segment of casual conversation in Japanese to show how Brown and Levinson's theory of politeness can be adapted and applied in non-goal oriented interaction. He concludes that politeness phenomena can be

identified utilizing Brown and Levinson's theory not only in goal-oriented interaction, but also in non-goal oriented interaction.

It is different with this research. In this research, the researcher only focuses on positive politeness strategies based on Brown and Levinson not in the whole theory. The first previous research also has different object of the research. It analyzes a small segment of casual conversation in Japanese but the object of this research is film.

The second research is conducted by Hòa (2010) form Vietnam National University, Hanoi. She investigated *"Politeness Strategies in Cross-cultural Communication with Respect to Conversations Found in The Course Book Inside Out (Pre- Intermediate)"*. The data analysis was conducted mainly in the light of the politeness theories by Brown & Levinson and Nguyen Quang. The results revealed that the frequency of positive and negative politeness strategies depended largely on the relationships between the speaker and the hearer.

It is different with this research. In this research, the researcher only focuses on positive politeness strategies based on Brown and Levinson not in the whole theory. The previous researchers also has different object of the research. It analyzes in cross cultural communication in the Course book but the object of this research is film.

The third previous research was conducted by Mufidatul Ula (2010) from UIN Malang which focuses on *"An Analysis of Negative Politeness Found in There is Something about Mary Movie"*. She investigated about

negative politeness strategies based on Brown and Levinson theory applied by all the characters. She found that most of the characters used negative politeness strategies when they interact with others.

It is different with this research. In this research, the researcher only focuses on positive politeness strategies based on Brown and Levinson but in the third previous research, the researcher focuses on negative politeness strategies. The third previous research also has different object of the research. It analyzed "Something about Mary" Movie while this research analyzed "Sophie's World" film. She also investigated the negative politeness strategies which are applied by all the characters while this research only focuses on the two main characters, Sophie and Alberto Knox.

The fourth research is Luh Putu Ayu Adhika Putri from Udayana University who emphasizes her study in *"Analysis of Politeness Strategies Used in Oprah Winfrey's Talk Show with Ricky Martin as Guest Star"*. She analyzed kind of positive politeness strategies that are applied by the participants and some factors that influence the participants employ those strategies.

It is different with this research. In this research, the researcher only focuses on positive politeness strategies but in the fourth previous research, the researcher focuses in the whole theory of politeness strategies based on Brown and Levinson. The fourth previous research also has different object of the research. It analyzed Oprah Winfrey talk show while this research analyzed "Sophie's World" film.

The last research is come from Ani Septya Ningsih (2007) from Sebelas Maret University studied about *"An Analysis of Positive Politeness Strategy in the film entitled In Good Company"*. She analyzed kind of positive politeness strategy and factors influence all of the character employ those strategies. It was conducted to find what types of positive politeness strategy that occur most frequently.

The last research has same focus with this research. She also only focuses on positive politeness strategies based on Brown and Levinson. However, it has different object with this research. It analyzed "In Good Company" film while this research analyzed "Sophie's World" film. She also investigated the positive politeness strategies which were applied by all of the characters while this research only focuses on the two main characters, Sophie and Alberto Knox.

So, it can be concluded that the study about the positive politeness strategies which is focused on the positive politeness strategies in "Sophie's World" film is never done by researchers on which the present study is focused. It seems to be a new research in linguistic field.