CHAPTER II LITERATURE REVIEW

2.1. Theoretical Framework

2.1.1. Pragmatics

This research focused on the politeness strategies that was also considered as pragmatics study. Yule (1996: 3) stated that pragmatics is the study of contextual meaning. According to him, pragmatics is concerned with the study of meaning as communicated by a speaker (or a writer) and interpreted by a listener (or a reader) so that it involves the interpretation what people mean in the particular context and how the context influences what is said.

Pragmatics according to Levinson (1985: 21) is the study of the relation between language and context that are basic to an account of language understanding. He also states that pragmatics is the study of relation between language and context that are grammatical, or encoded in the structure of a language (1985: 9). In studying language, one cannot ignore the situation which is the speech is uttered. There is close relation between an utterance and situations. Thus, pragmatics includes the relevant context or situation, instead of the language usage. Similarly Leech (1983: 228) gives a definition that pragmatics can be usefully defined as the study of how utterances have meanings in situations. From his definition, it can be seen that pragmatics is a study, which understands the meanings of utterances by looking at the situation when the utterances happen.

Based on the definition above, it can be said that pragmatics is the study of meaning contained the utterance in context. Therefore in pragmatic view, to appreciate and to interpret the meaning of a statement or an utterance, one must consider the relation between language and context in which the situation is uttered.

Thus, pragmatics approach was used to help in understanding the intended message of conversation. There are four areas that pragmatics concern with: the study of speaker meaning, the study of contextual meaning, the study of how more gets communicated than is said, and the study of the expression of relative distance.

2.1.2. Context

Levinson has pointed out the importance of context. He states that the language user must pair the sentences with the context in which, they would be appropriate (1983: 27). For this, it is necessary for the researcher to recognize the context of the sentence using the word sentence because the context determines meaning.

According to Malinowski in Halliday (1989: 6), context is defined as 'context of situation' which means the environment of the text. As a result, by the context one of the possible meanings can be selected properly. As well as by the context, the meaning of the word sentence can also be identified by 'the presence of other words'. Malinowski in Halliday and Hasan (1985: 13) suggests two kinds of contexts first, context of situation and second, context of culture. Context of situation is the context in which the speech is uttered. This includes participants involved in the speech, time, place and social environment. Context of culture is the culture background or history behind participants.

In the case of speech act of refusal, the context of situation and the context of culture influence the speakers in expressing refusals and in interpreting the refusals. They express the refusal differently in different situations. The context of the culture also affects to the interpretation of a refusal. In Indonesian culture, silence is not always interpreted as a refusal but sometimes is considered as the expression of an agreement, for instance, a silence is expressed when a girl is proposed by a man to be his wife.

Therefore, context was used in this research to determine the appropriate linguistic form. By understanding the context in which a refusal was uttered, the situations influencing the use of each politeness strategy could be identified.

2.1.3. Politeness

Politeness is the first and foremost, a matter of what is said and not a matter of what is thought or believed (Cruse, 2006: 362). Politeness is another level to conversational interaction besides the rules of the cooperative principles. The theory of politeness has been suggested by some experts such as R. Lakoff (1973); Brown and Levinson (1978); P. H. Grice (1975); and Leech (1983). This research will use the theory of politeness strategies proposed by Brown and Levinson.

Brown and Levinson's (1987: 61) politeness theory contains three basic notions: face, FTAs (face threatening acts), and politeness strategies. According to the writer, "face" refers to the public selfimage of a person. If a speaker says something that represents a threat to another individual's expectations regarding self-image, it is described as a FTA. Brown and Levinson (1987: 62) argued that everyone in the society has two kinds of face wants: negative face and positive face. Negative face shows the need to be independent, to have freedom of action, and not to be imposed on by others. Positive face shows the need to be accepted, even liked, by others, to be treated as a member of the same group, and to know that his or her wants are shared by others. As Yule (1996: 62) put it in simple terms, negative face is the need to be independent and positive face is the need to be connected. Brown and Levinson (1987: 91) introduced five super strategies for politeness in relation to FTAs: bald on-record, positive politeness, negative politeness, off-record, and don't do the FTAs.

2.1.4. Refusals as an FTA

This research also focused on the use of politeness strategies in children refusal, which refusal is considered as FTA. According to Al-Eryani (2007: 9), refusal is a respond negatively to an offer, request, invitation, etc. Refusals are categorized as commissive speech acts since it consists of speakers' commitment to perform action (Searle, 1977 as cited in Félix-Brasdefer, 2008: 38). According to Aziz (2000: 12), refusal is a negative response towards directives speech acts including request, offer, command, invitation, and suggestions. These are the classification of different types of refusal functions:

a. Request

Requests for favors entail doing activities that require some time or effort on the part of the addressee. Request strategy depends on specific content and the appropriate form for mitigating the threatening nature of refusals.

b. Invitation

There are two types of invitation which are ritual invitation and real invitation. The inviter shows his willingness of maintaining relationship with the listener in the future which is called as ritual invitation, while the invitation that expresses the addresser's sincere intention to treat the addressee is called as real invitation. Ritual invitations often occur between acquaintances as a way to show the willingness to maintain relationships with each other. Compared with real invitations, the inviter will not give many details about the invitation.

c. Offer

According to what is offered, there are four types of offers: gift offer, favor offer, food or drink offer and opportunity offer.

d. Suggestion

A suggestion occurs when one person uses utterances to propose some actions or at least changes on the part of the addressee. There are two types of suggestions: solicited suggestions and unsolicited suggestions. Solicited suggestions refer to suggestions needed by the listener. The speaker gives suggestions in response to the listener's needs. For example, a student asks for advisors' suggestions about his/her paper. Unsolicited suggestions are suggestions that are voluntarily given by the speaker without the request of the listener. unsolicited Because suggestions often occur between acquaintances, correct choice of the form of address is very important in mitigating the uncomfortable feelings caused by a refusal.

e. Command

Command is the speech act that give such a force to the hearer to do what speaker order to do. It is difficult for someone to refuse politely in command, but indirect refusal can be done to minimize the FTA.

Refusals, as all the other speech acts, occur in all languages. However, not all languages/ cultures refuse in the same way nor do they feel comfortable refusing the same invitation or suggestion. In many societies, how people says "no" may be more important than the answer itself, therefore, sending and receiving a message of "no" is a task that needs special skills. The speaker must know when to use the appropriate form and its function.

Refusal is considered to be a face-threatening act (FTA) among the speech acts. "Face" means the public self-image of a person. It refers to that emotional and social sense of self that everyone has and expects everyone else to recognize. Yule (1996: 61) stated if a speaker says something that represents a threat to another individual's expectation regarding self-image, it is described as Face Threatening Action. Thus, refusals threaten the hearer's face because they contradict his\her expectations and restrict the hearer's freedom to act according to his\her will. On the other hand, refusals may threaten the addressee's public image to maintain approval from others.

Because a failure to refuse appropriately can threat the interpersonal relations of the speakers, refusals usually include various strategies to avoid offending one's utterances. However, it requires a high level of pragmatic competence and the choice of these strategies may vary across languages and cultures. Then Brown and Levinson developed politeness strategies as an action to redress Face Threatening Actions (FTAs), particularly in refusing. Thus, this research applies the theory of politeness strategies in refusal agrees with Brown and Levinson in terms of the theory of politeness and face saving strategies.

2.1.5. Politeness Strategies of Refusals

These are refusal strategies adopted from 5 super strategies of politeness proposed by Brown and Levinson.

2.1.5.1. Positive Politeness Strategies

As Brown and Levinson (1978: 15) put it, positive politeness is characterized by the expression of approval and appreciation of the addressee's personality by making him/her feel part of an in-group. Yule (1996: 64) also argued that positive politeness emphasizes that both speakers want the same thing, and that they have a common goal. Therefore, such characteristics can be found in the following strategies.

1. Strategy 1: Claim common ground, solidarity

By adopting this strategy, the speaker smartly seeks agreement from the hearer. Yule (1996: 64) pointed out that the tendency to use positive politeness forms, emphasizing closeness between speaker and hearer, can be seen as a solidarity strategy. Frequently, a solidarity strategy will be marked via inclusive terms such as "we" and "let's" or terms of address such as "honey", "man", and "mom". Examples:

- A: How about going to the pub tonight?
- B: We going to work tomorrow! Have a good sleep at home.

A (wife): Dear, you look tired these days. Have you considered quitting that part-time job?

B (husband): Oh sorry to make you worry, but I can't honey.

2. Strategy 2: Offer of repair

When the actual face threatening action has occurred by refusal, an offer of repair/new solution is appropriate to mitigate the impact. The strategy employed in examples below can be seen as an offer of compensation.

A: Could you drive me to work tomorrow, 'cause something has gone wrong with my car?

B: Um, I am afraid I can't give a hand as I need to meet someone at the airport. Let me think, I can ask my sister and see if she is free tomorrow. A: Are you free to search some sample resumes online for me?

B: Sorry, I am busy with assignments, but I can offer you several websites, where you can find them on your own.

3. Strategy 3: Give Reason

The reason removes the implication that one wants to refuse by providing an alternative explanation for one's potentially facethreatening behavior. By using this strategy, which in some way implies that one is unwilling to do or accept something, as in Example below:

A: (In a shopping center) Excuse me sir, would you like to have a look at our new products?

B: Oh, sorry, I am hurrying for a meeting.

4. Strategy 4: Promise

One may also choose (a strategy) to stress his or her cooperation with the hearer by promise to avoid the potential threat of some FTAs. Promise is such a way to demonstrate the speaker's good intention in satisfying the hearer's requests or face wants. As a strategy, the promise made may be real or false. Even if it is false, it still functions the same as the real one does. Example:

A: So you won't join us for a dinner this weekend, will you?

B: No, sorry about that, but I promise I will go next time.

5. Strategy 5: Show sympathy and consideration first

Showing sympathy and consideration at first can been seen as a mitigating device in a refusal, which serves to soften the refusal as can be seen in example below:

A: Might I ask you if you happen to have some extra money to lend me?

B: Um, I understand your current financial situation, but I am very sorry I just bought a car the other day.

6. Strategy 6: Avoid Disagreement, Hedging opinion

Using some hedges devices such as "think", "guess", "maybe", and "hope" to avoid the disagreement that will be done in refusals. The hedges devices uses to soften the face threat that speaker tries to sound like he or she was pretty hard to refuse. Example:

A: That's a good idea to hold a party this weekend!B: Uhm, I think it's better next month that we still have much works to do.

2.1.5.2. Negative Politeness Strategies

According to Brown and Levinson (1978: 129), negative politeness concentrates on the aspects of the addressee's face wants, which are concerned with the desire not be imposed upon and is characterized by self-effacement and formality.

1. Strategy 1: Be direct, conventionally indirect.

Speaker can do his refusals directly by saying "no" or "I won't", but the desire to give hearer an 'out' by being indirect can be employed by this strategy. Example:

A: The wine is quietly good in this restaurant, would you?

B: No, Thank you. It's too good for me.

2. Strategy 2: Be pessimistic, uncertain

Speaker can be pessimistic or feeling uncertain when refusing something from others. The uncertainty whether they accept or refuse other's request by expressing doubt that the conditions for the appropriateness of speaker's refusals obtain. Example:

A: Can you help me clean the room?

B: I don't know, maybe I'll help you later.

2.1.5.3. Bald On Record

Bald on record refers to that one directly address the other as a means of expressing one's needs usually by using imperative forms. Brown and Levinson (1978: 95) also pointed out that bald on-record delivery and redress of an FTA. There is no effort to minimize threats to the hearer's face in this strategy. Then anything about refusal which directly with "no" or "I won't" are considered as bald on record strategy.

1. Strategy 1: The cases of non-minimization of the face threat

This strategy is used where maximum efficiency is very important, and this is mutually known to both speaker and hearer, no face redress is necessary. It is usually used in cases of great urgency or desperation. Example:

A: Come join my English Club, it'll be fun.

B: Sorry, I can't do this.

2. Strategy 2: The cases of FTA-oriented bald on record usage

The strategy is actually oriented to face that the refusal is employed because of some reasons. The speaker directly refuse other's request that is oriented to the beneficence of the hearer. Example:

A: You can leave me, dear!

B: No I can't, I'll help you no matter what happen.

2.1.5.4. Off-record Strategies

The "off-record" strategy, also called hints or non-conventional indirectness addressed to others. However, off-record may or may not get response from the addressee, or we can say it may or may not achieve an expected result as the hearer can act as if the statements have not even been heard.

1. Strategy 1: Give hints

After hearing your hint, your friend may continue talking. Example:

(At late night, a friend keeps talking with you over the telephone), you may say: "I am too sleepy to open my eyes". (means "Shall we stop now?")

A: Oh, it's 4:30, professor, I am sorry for taking much of your time this afternoon. Shall we continue?B: No worries. I have another appointment at five. (means "You need to take off before five.")

2. Strategy 2: Be ambiguous or vague

According to Brown and Levinson (1978: 230), by using what is technically indirectness (ambiguity), the speaker will have given a bow to the hearer's face and therefore minimized the threats of the FTA. Every off-record strategy essentially exploits ambiguity in a sense between the literal meaning of an utterance and any of its possible implicates. Example:

A: Can you help me revise these documents before you leave today?

B: Um, you can leave them on my desk. (means "Too much work, I can't make it today.")

A: How do you plan to solve this problem?B: It's really a tough one. I need to think about it. (means "I don't think I can fix it.").

3. Strategy 3: Be evasive, change to another topic

The speaker may go off-record with an FTA by being evasive about the hearer's utterance or request. The simple way is stopping the hearer's current topic and transferring to another topic. By doing this, the speaker seemingly prevents a FTA to the hearer rather than an explicit refusal, as can been seen in Example:

A: Can we discuss the details of the contract?B: I suggest we'd better not talk about this today. Let's talk about the new project.

4. Strategy 4: Use rhetorical question

This strategy is employed by asking a question with no intention of obtaining an answer that is to break a sincerity condition on questions. Example:

A: Don't do it Myra, let's go away from here!

B: Would you have me disobey my husband?

5. Strategy 5: Overstate

Speaker can say more than is necessary by exaggerating or choosing a point of scale which is higher than the actual state of affairs. Example: A: Don't go to that party, man!

B: But there are a million people having fun there.

6. Strategy 6: Understate

In delivering refusals, the speaker can also say something less than required. Then, the FTA can be minimized. Example:

A: Try to get the high score for Math exam!

B: I'm not so that smart to get 7.

In conclusion, the politeness strategies have relation to refusal expression. The use of bald on record strategy exists when the speakers use physical departure or say "no" directly. The use of positive politeness strategy appears when the refuters state a promise, a reason, or gratitude. Commonly, negative politeness strategy is used for stating regret, apology or being indirectness. Off record strategy also appears when the speakers refuse with the indirect statement.

2.1.6. Factors Influencing the Use of Positive Politeness Strategy

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The employment of politeness strategy of refusal is influenced by several factors. According to Brown and Levinson (1987:71) there are two factors that influence the speaker to employ positive politeness strategy. The factors are payoff and circumstances.

2.1.6.1. Payoff (A Priori Consideration)

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 save the hearer face. Thus, the hearer face is not threatened by the speaker because it can be seen for their mutual shares. For example:

A: Dude, Let's ride that motorcycle!

B: Oh, that'd be fun, but I think we can try it another time."

The example above shows that the speaker minimizes the FTA to the hearer by including the speaker himself equally as the participant and agreed that the request was good idea.

2.1.6.2. Relevant 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. According to Brown and Levinson in Rahardi (2005: 68) there are three dimensions to determine the level of politeness. Among them are relative power (P), social distance (D) and size of imposition (R).

1) 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. It is based on the asymmetric relation between the speaker and the hearer. These types of power are most found in obviously hierarchical settings, such as courts, the military, workplace. 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).

2) 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. As a result you will not employ polite utterance when you ask him to do something. On the contrary, you will employ polite utterance when you interact with person whom you have not known well, such as person who is older than you.

3) Size of Imposition

Size of imposition (R) can be seen from the relative status between one-speech acts 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.

2.2.Related Studies

Politeness strategies is a crucial topic that have been analyzed by many English learners. During composing this study, the researcher found some research that studied about politeness strategies in case of refusals.

The first is Faridhotus Sholichah who graduated of State Institute Islamic Studies Salatiga in 2012. The research entitled "Politeness in Requesting And Refusing Teacher's Instruction in English Teaching Learning Of The Third Grade Students at SMPN 06 Salatiga 2011/2012". It described the request and refusal polite expression when teacher instruct students. Then it comes to the conclusion that teacher often to use Bald on Record by reasoning that it types of politeness strategy is clearer and more assertive than others to be done in learning process.

The second is Efendi who graduated of State Islamic University Sunan Kalijaga Yoyakarta in 2014. His research entitled "Politeness Strategies of Refusals in The Main Characters of Movies Entitled *Scarlet Letter* and *Easy A*". The study aims to make a comparison between two movies about the using of politeness of refusals in the main character's utterances. The conclusion was that two main characters in the two movies applied politeness strategies in different way. The main character in Scarlet Letter tend to employed indirect strategies that made his utterance more polite than the character in Easy A who tend to make her refusal utterance explicit and clear.

The last is a study entitled "A Contrastive Analysis of Invitation's Refusal Strategies in American and Vietnamese". It written by Dhang Thi To Nhu who is the student of University of Pedagogy Vietnam (2010). The study aims to investigate the American and Vietnamese when taking strategies in refusing an invitation. It comes to the conclusion that two countries in different cultures have different way in refusing.

Then this research was different with the prior researches since this research analyzed politeness strategies on areas of refusals in children utterance. The researcher was curious to know how the way 11-13 years old children did their refusals. The data was analyzed thoroughly and deeply since the analysis focused on a specific act, which was refusal.