CHAPTER 2
LITERATURE REVIEW

This chapter explains about theoretical frameworks, and previous studies that are used in order to support the analysis of this present study.

2.1. Theoretical Framework

In this section, the theories that are used in analyzing this present study are explained. This section begins with the elaboration of speech acts theory as the basic of request. After that, the writer discusses about the characteristics of a request as the main subject of this study. Then, this section is continued by the discussion about the strategies of request in order to support the theory of request explained in the previous point. Next, explanation about context is also discussed in order to know the importance of context in the study of pragmatics. Finally, the discussion about multiculturalism is also presented to give an explanation about the meaning of multiculturalism in this present study.

2.1.1. Speech Acts Theory

The theory of speech act was introduced for the first time by Austin (1962). According to Austin (1962), speech act is an action that is performed through utterances. When someone produces utterances, there are three kinds of acts that may occur:
1. Locutionary act is considered as the basic act of utterances. In this act, speakers produce meaningful utterances that make sense in a language.

2. Illocutionary act is the act that is performed by producing utterances. In other words, the speakers do not produce the utterances with no purpose; instead, the speakers have certain purpose that is implied in the words that they used.

3. Perlocutionary act is the effect that is brought by the utterances that is addressed to the addressee. In short, perlocutionary act is the effect of the speech act on the listeners.

However, the term speech acts is often generally interpreted to mean illocutionary act because of its characteristics which can bring a significant impact to the listeners or addressees.

Furthermore, Searle (1969) stated that there are four felicity conditions that are needed to achieve an illocutionary act, i.e. proportional content condition, preparatory condition, sincerity condition, and essential condition. These four felicity conditions will be explained further in the discussion of request. In addition to those four conditions, Searle (1976) proposed a classification of illocutionary acts in which he classified illocutionary act into five categories, namely representatives (assertive), directives, commissives, expressive, and declaration. From those five types of illocutionary acts, request is classified as part of directives because when someone is making a request s/he will direct the others to do something (Searle, 1971).
2.1.2. Request

Request is an expression that is used by the speakers in order to make the listeners do what the speakers ask (Becker, 1982). Based on the theory of politeness, request is considered as face-threatening act (FTA) that needs the ability of the speakers or requesters in applying language used in context (Brown and Levinson, 1987). Request can be divided into two parts, namely the core request or head request and the peripheral elements. Core request is the main utterance which plays the main role in making a request and it can stand by itself without any peripheral elements to form a request (Sofwan and Rusmi, 2011).

Searle (1969) explained some rules that can be used to identify whether certain speech act can be considered as speech act of request. The rules are described as follow: (S = speaker, H = hearer, A = the future action)

- Propositional condition: S predicates a future act A of H
- Preparatory condition: S believes H is able to do A
- Sincerity condition: S wants H to do A.
- Essential condition: counts as an attempt by S to get H to do A.

Based on the rules explained above, it can be inferred that there are three main elements of request, i.e. speakers, hearers, and the action. Without the presence of those three elements, a speech act cannot be classified as a request. In order to make the request runs well, the speaker must believe that the hearers are able to do the action and the hearers should have desire or willingness to do the action.
2.1.3. Request Strategies

Blum-Kulka, House, and Kasper (1989) conducted a study to explore the universal pragmatics principles across a range of languages, known as Cross-Cultural Speech Act Realization Program (CCSARP). Besides, they also introduced nine strategy types that are used in making request, i.e. mood derivable, explicit performative, hedged performative, obligation statement, want statement, suggestory formula, query-preparatory, strong hint, and mild hint. Those nine strategy types are distinguished by the level of directness, hence there are put in an order based on their level of directness, the initial one is the most direct and it becomes less direct as it goes backward. Basically, Blum-Kulka, House, and Kasper’s (1989) summarized three major level of directness, namely direct level, conventionally indirect level, and non-conventionally indirect level. And the nine strategy types are the sub-level of these three levels of directness. The relation between level of directness and strategy types is presented in the table below.

Table 2.1. The relation between level of directness and strategy types

<table>
<thead>
<tr>
<th>Level of Directness</th>
<th>Strategy Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>Direct Level</td>
<td>Mood Derivable</td>
</tr>
<tr>
<td></td>
<td>Explicit Performatives</td>
</tr>
<tr>
<td></td>
<td>Hedged Performatives</td>
</tr>
<tr>
<td></td>
<td>Obligation Statements</td>
</tr>
<tr>
<td></td>
<td>Want Statements</td>
</tr>
<tr>
<td>Conventionally Indirect Level</td>
<td>Suggestory Formula</td>
</tr>
<tr>
<td></td>
<td>Query Preparatory</td>
</tr>
<tr>
<td>Non-conventionally Indirect Level</td>
<td>Strong Hints</td>
</tr>
<tr>
<td></td>
<td>Mild Hints</td>
</tr>
</tbody>
</table>
Apart from CCSRAP (1989), this study is also supported by the theory of Hassall (1999) in which he specifically described about request strategies in Indonesian. His study is actually derived from the framework of CCSRAP (1989) with some minor modifications to adapt to Indonesian requests.

2.1.3.1. Direct Level

A request can be considered as a directive if the meaning of the request can be directly determined by the linguistic content itself. Thus, it only conveys one meaning or illocutionary force. Direct level is also indicated by the use of grammatical, lexical, and semantic means in its illocutionary forces. There are five strategies that reflect the direct level of a request.

2.1.3.1.1. Mood Derivable

Mood derivable is utterances in which the grammatical mood applied in the verb is used to communicate the most direct request possible. This kind of strategy is often used in the form of imperative and elliptical sentence structure. e.g. “Bring me that book.”

“Cucikan pakaian saya yang kotor.”

2.1.3.1.2. Explicit Performatives

In explicit performatives, the illocutionary forces or the meanings are explicitly mentioned in the utterances. Generally, it is indicated by the use of performative verbs, such as tell and ask. In Bahasa Indonesia, the illocutionary force is usually explicitly named using the word “minta”.

e.g. “I’m asking you to turn on the air conditioner.”
“Saya minta karcis satu mbak.”

2.1.3.1.3. Hedged Performatives

Hedged performatives are utterances in which the illocutionary forces are explicitly mentioned in the utterances by using performative verbs. However, the performative verbs are modified using hedging expression. Specific modals, such as would, could, and may, are usually used as the hedges. In Bahasa Indonesia, typically the speaker uses word “minta” that is attenuated with modal verb “mau”. Fraser (1975) explained the use of the hedges that is preceding the performative verbs is to attenuate the illocutionary forces of the speech act.

e.g. “I would like to ask you to open the window.”

“Saya mau minta formulirnya.”

2.1.3.1.4. Obligation Statements

Obligation statement is utterances in which the speakers state the obligation of the hearers to perform the act. In obligation statements, the illocutionary forces are directly derived from the semantic meaning of the locution.

e.g. “You’ll have to submit your paper.”

“Sir, you’ll have to pay the tax.”
2.1.3.1.5. Want Statements.

Want statements are utterances which express speakers’ desire or feeling that the hearers can perform the act. In Indonesian request, this type is typically realized using a relevant modal verb “mau” which means want.

e.g. “I want you to borrow me your book.”

“Saya mau majalah Tempo pak.”

2.1.3.2. Conventionally Indirect Level

An utterance can be considered as conventionally indirect if the meaning needs to be interpreted by the hearers through the linguistic content in concurrence with contextual cues. Searle (1991) ever stated that there are two meanings in utterances, namely literal meaning and utterance meaning. Literal meaning of utterances is based on the semantic knowledge, while utterance meaning requires the hearers’ knowledge of the world. In conventionally indirect requests the illocutionary forces are uttered through fixed linguistics convention that is used in particular speech community. Suggestory formula and query preparatory are the strategies that are employed in this level of directness.

2.1.3.2.1. Suggestory Formula

Suggestory formula is utterances in which the speakers ask the listeners to do something by giving a suggestion. This strategy is mostly used to get information about hearers’ availability to do something.

e.g. “How about going to the cinema tonight?”

“How about going to the cinema tonight?”

“Bagaimana kalau hari Senin?”
2.1.3.2.2. Query Preparatory

Query preparatory is utterances that contain reference to preparatory condition, such as ability, willingness, and possibility, as delivered in specific language. This strategy is usually signified by the use of modal verbs, e.g. would and could, and is aimed to know listeners’ ability, willingness, or possibility to do something. In Indonesian request, this type is signified by the use of the word “bisa” or “boleh”.

e.g. “Could you move your motorcycle?”

“Bisa pinjam bolpoinnya?”

2.1.3.3. Non-conventionally Indirect Level

Non-conventionally indirect level, also known as hints, is a strategy that is employed by the requester in which the request is conveyed implicitly. Thus, it requires the ability of the hearers to realize the request either by partial reference to the object or element needed or by reliance on contextual cues. In other words, the speakers do not explicitly express the illocutionary force, but the hearers are required to figure out the meaning of the illocution in context. Non-conventionally indirect level can be done through two strategies, i.e. strong hints and mild hints.

2.1.3.3.1. Strong Hints

Strong hint is utterances that contain partial reference to object or elements needed for the realization of the act. In this strategy, the requests are not conventionalized, thus, the hearer’s need more effort to infer the meaning of the speakers’ utterances.
e.g. “You’ve left the kitchen in the right mess.”

“Maaf, saya tidak membawa bolpoin.”

2.1.3.3.2. Mild Hints

Mild hint is utterances that are spoken without any references to the request proper; however, it can be interpreted through the context as request. In order to know the meaning of this request, hearers’ should be able to do context analysis of the utterances spoken by the speakers.

e.g. “I am a nun.” (in response to persistent boy)

“Mau pulang?” (asking a friend for a lift back)

2.1.4. Context

In the study of pragmatics, context is an essential aspect that needs to be taken into account in order to be able to interpret the meaning of a linguistic expression. Context is considered as an important element because according to Bransford and Johnson (1972) if one wants to understand the meaning of a sentence, s/he cannot only depend on his/her knowledge of language, but also need to refer to knowledge of the world. In the process of constructing meaning, conventional meaning of the words, or widely known as literal meaning, only contributes a small part in guiding ones to get the meaning of a sentence; instead, context plays a bigger role in guiding ones in constructing the meaning. Requejo (2007) stated that context can be divided into two, namely linguistic context and situational context. Linguistic context has something to do with linguistic materials of the language used, such as phonetic, morphological, syntactic or
textual material. Meanwhile situational context deals with immediate situation as well as the socio-cultural background of the language used.

2.1.5. Multiculturalism

As the second largest city in Indonesia and the largest city in the eastern part of Indonesia, Surabaya has long been attractive to many people from rural areas as a place to try their fortune, especially because of the economic growth of this city. As the result, there are now more than one ethnic that makes up the majority of population in Surabaya, i.e. Javanese, Madurese, Chinese. Because of that phenomenon, Surabaya has now grown into a multicultural city. According to Mahfud (2008), multiculturalism is a concept in which ones can respect the pluralism of their culture as well as their religion, ethnicity, and so on. This is a concept that gives an insight that a city can be called as a multicultural city if the citizen of the city can live together peacefully by respecting the different cultures of the others (Wahid, 2011).

The multiculturalism in Surabaya is reflected by the use of variety of languages. Urban society in Surabaya is multilingual society in which Indonesian language is widely used in addition to the local dialects, such as Javanese and Madurese (Hamida, 2011). Those languages are widely used as the medium of communication among the societies in Surabaya, including in doing the communication in transaction activity.
2.2. Review of Related Studies

In this part, the writer discusses some studies that are related and used as references in this present study. The studies of request strategies have been done by several students and researchers around the world. One of them is the study done by Gao (1999) in which she identifies the features of request strategies in Chinese. There is also a study about request strategies done by Rue, Zhang, and Shin (2007) in which they explore about the request strategies used by white-collar workers in South Korea. Another one is the study about request strategies used between sellers and buyers in Pusat Grosir Surabaya done by Andansari (2012). The further information about the similarities and the differences of the abovementioned studies with the present study is explained in the next paragraphs.

In 1999, Gao conducted a research about features of request strategies in Chinese. In her study, she examined the strategy types in making request done by the native speakers of Chinese from Mainland China and found out that most of Chinese speakers used direct request instead of conventionally indirect request. In doing the research, she used speech act analysis introduced by Blum-Kulka, House, and Kasper (1989). This present study also uses the same theory as that of Gao. However, Gao’s study is different from this present study in terms of the object and the research method used.

The next is the study conducted by Rue, Zhang, and Shin (2007) in which they analyzed the use of request strategies done by white-collar workers in South Korea. The similarity of this study with the present study is the theory used. Rue, Zhang, and Shin, in their study, explained about how Korean native speakers
realize the speech act of request with regards to the level of directness of the request utterances based on the theory proposed by Blum-Kulka, House, and Kasper (1989). They asserted that Korean white-collar workers primarily used conventionally indirect request to people of higher power and more direct request to people of lower power. Hence, the similarity between their study and this present study is the theory used. While, the object of the study is different since the main object of their study is Korean white-collar workers and this study uses buyers at *Pasar Atom* Surabaya as the main object. In addition, the method of this present study is also different from that of their study.

Another study is the study done by Andansari (2012) which has the same object as this present study, i.e. sellers and buyers; although in this present study the writer will only use buyers as the main object of study. Besides that, there are other similarities, such the topic and the theory of request strategies used. Both her study and this present study use Blum-Kulka, House, and Kasper (1989) theory about strategies in making request. She focused on which strategy is mostly used by buyers and sellers in their bargaining activity and stated that direct request is the most preferable strategy to be used by sellers and buyers in Pusat Grosir Surabaya (PGS). This present study also investigates the use of request strategy between sellers and buyers, but in this study the data were collected in a traditional market which has a multicultural setting in terms of the ethnicity differences between the sellers and the buyers. Hence, the difference of this present study and Andansari’s study is on the place to collect the data as well as
the multicultural setting that was omitted in the previous study and this study pays more attention to the customers instead of the sellers.

Finally, the similarity of this study and the abovementioned studies mostly is on the theory used for conducting the research, namely the theory of request strategies proposed by Blum-Kulka, House, and Kasper (1989). For the differences, there are the object (buyers in traditional market), the method (most of the previous studies using discourse completive test to collect the data, while this study used audio-tape recording that then was transcribed into written form), and the multicultural setting of the place to collect the data that distinguish this present study with the abovementioned studies. Such differences are the gaps that can be examined more by the writer in order to conduct a research in this particular topic.