

## **CHAPTER II**

### **LITERATURE REVIEW**

#### **2.1 Theoretical Framework**

##### **2.1.1 The Notion of Face**

Communication includes not only ways of presenting ‘self’ but also the ways in which we give face to others. ‘Face’ is “Something that is emotionally invested, and that can be lost, maintained, or enhanced, and must be constantly attended to an interaction” (Brown and Levinson, 1987).

According to Brown and Levinson (1987), every participant in a social process has the need to be appreciated by others and the need to be free and not be interfered with. Brown and Levinson call the need to be appreciated by others as ‘positive face’ and the need not to be interfered or disturbed as ‘negative face’.

##### **2.1.2 The Politeness Theory**

As stated in Foley (1997), politeness theory is the theory that accounts for the redressing of the affronts to face posed by face-threatening acts to addressees. The theory is first formulated in 1978 by Penelope Brown and Stephen Levinson. Politeness is the expression of the speakers’ intention to mitigate face threats carried by certain face threatening acts toward another (Mills, 2003). Another definition is “a battery of social skills whose goal is to ensure everyone feels

affirmed in a social interaction” (Foley, 1997). Being polite therefore consists of attempting to save face for others.

If a communication is to proceed smoothly, Speaker and Hearer have to cooperate with one another. A very large part of their cooperative behavior can be explained in terms of the mutual presentation of ‘face’.

Brown and Levinson (1987) states about face in interactions, that: in general, people cooperate (and assume each other’s cooperation) in maintaining face in interactions such cooperation being based on the mutual vulnerability of face. As ‘face’ is considered vulnerable, in general, a person has to pay attention to his/her interlocutor’s face. S/he and the addressee should cooperate in maintaining each other’s face. Normally, everyone’s face depends on everyone else’s being maintained. Since people can be expected to defend their faces if threatened and in defending their own will threaten other’s faces, it is general in every participant’s best interest to maintain each other’s faces, that is to act in ways that assure the other participants that the speaker is heedful of the assumptions concerning ‘face’ given under the public self image that every member wants to claim for himself.

That is why, face maintaining is needed, whether it is threatened or not attended to, and interactions should have mutual understandings in order to run the process of communication well.

### 2.1.3 Politeness Strategies

Brown and Levinson (1987) state that politeness strategies are strategies that are developed in order to save the hearer's face. Face refers to the self-image that everyone wants to claim themselves. Face is something that is emotionally invested, and that can be lost, maintained, or enhanced, and must be constantly attended to in an interaction (Brown and Levinson, 1987:61). There are two kinds of face according to them, which are positive face and negative face. Positive face is the basic wants for everyone that his/her wants (including his values, his actions, his achievements) be desirable to at least some others. Negative face is the basic wants of everyone to be appreciated by giving a person rights to non-distraction – i.e. giving freedom for action and freedom from imposition.

Every utterance is potentially a face-threatening act (FTA), therefore some politeness strategies are needed to minimize FTAs. The strategies are Bald On-Record, Positive Politeness, Negative Politeness, and Off-record, as described with a diagram below:

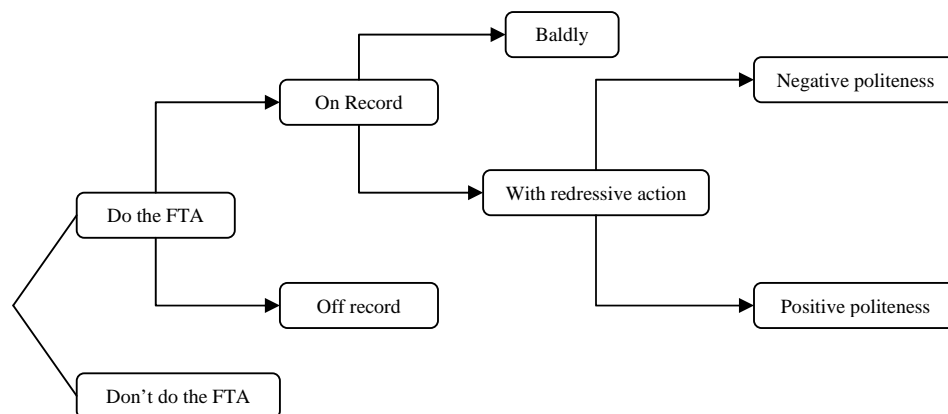


Figure 1: Possible Strategies for Doing FTAs

### **2.1.3.1 Bald On-Record**

Brown and Levinson (1987) state that Bald On-Record is an act without redressing, which involves doing it in the most direct, clear, unambiguous, and concise way. In general, whenever a speaker wants to do the FTA with maximum efficiency more than s/he wants to satisfy the hearer's face, even to any degree, s/he will choose Bald On-Record strategy. This type of strategy is commonly found with people who know each other very well, such as close friends and family.

### **2.1.3.2 Positive Politeness**

According to Brown and Levinson (1987) positive politeness is redressed directly to the addressee's positive face, his perennial desire that his / her wants (or the actions, acquisitions / value resulting from them) should be thought as desirable. Positive politeness is used as a kind of metaphorical extension of intimacy. It is usually seen in groups of friends, or where people in the given social situation know each other fairly well. It usually tries to minimize the distance between them by expressing friendliness and solid interest in the Hearer's need to be respected. Below are the classification of the substrategies, provided with examples from Brown and Levinson (1987) and Watts (2003):

#### **1. Claim common ground**

Speaker speaks to indicate that Speaker (S) and Hearer (H) belong to some sets to persons who share specific wants. Moreover, Hearer (H) wants to look

or sound admirable / interesting to the speaker (S). The outputs of this class are:

**Strategy 1:** Notice, attend to Hearer's interests, wants, needs, goods:

- (1) You must be hungry, it's a long time since breakfast. How about some lunch? (Brown and Levinson, 1987)
- (2) *Jim, you're really good at solving computer problems.* → (FTA) I wonder if you could just help me with a little formatting problem I've got. (Watts, 2003)

**Strategy 2:** Exaggerate (interests, approval, or sympathy with Hearer):

- (1) What a *fantastic* garden you have! (Brown and Levinson, 1987)
- (2) *Good old Jim. Just the man I wanted to see. I knew I'd find you here.* → (FTA) Could you spare me a couple of minutes? (Watts, 2003)

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

- (1) I come 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... (Brown and Levinson, 1987)
- (2) Black I like. I used to wear it more than I do now, I very rarely wear it now. I wore a black jumper, and when I wear it my Mum says 'Ah', she said. But Len likes it, he thinks it looks ever so nice and quite a few people do. But when my Mum sees it she said, 'Oh it's not your colour, you're more for pinks and blues.' (Brown and Levinson, 1987)

- (3) *You'll never guess what Fred told me last night. This is right up your street.* → [begins a narrative] (Watts, 2003)

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

- (1) Help me with this bag here, will you *son*? (Brown and Levinson, 1987)
- (2) Here's my old *mate* Fred. How are you doing today, *mate*? → (FTA) Could you give us a hand to get this car to start? (Watts, 2003)

**Strategy 5:** Seek agreement:

- (1) Isn't your new car a beautiful color! (Brown and Levinson, 1987)
- (2) *I agree. Right. Manchester United played really badly last night didn't they?* → (FTA) D'you reckon you could give me a cigarette? (Watts, 2003)

**Strategy 6:** Avoid disagreement:

- (1) A: Have you got friends?  
B: I have friends. So-called friends. I had friends. Let me put it that way. (Brown and Levinson, 1987)
- (2) *Well, in a way, I suppose you're sort of right. But look at it like this.* → (FTA) Why don't you...? (Watts, 2003)

**Strategy 7:** Presuppose, raise, or assert common ground:

- (1) *People like me and you, Bill, don't like being pushed around like that, do we?* → (FTA) *Why don't you go and complain?* (Watts, 2003)

**Strategy 8: Joke**

- (1) *How about lending me this old heap of junk?* (the Hearer's new Cadillac) (Brown and Levinson, 1987)
- (2) A: *Great summer we're having. It's only rained five times a week on average.*
- B: *Yeah, terrible isn't it?*
- A: → (FTA) *Could I ask you for a favor?* (Watts, 2003)

2. Convey that the Speaker and Hearer are cooperators

Expressing that the speaker (S) and the Hearer (H) are cooperatively involved in a relevant activity. The outputs of this class are:

**Strategy 9:** Assert or presuppose knowledge of and concern for hearer's wants: One way of indicating that S and H are cooperators, and thus potentially to put pressure on H to cooperate with S, is to assert or imply knowledge of H's wants and willingness to fit one's wants in with them.

- (1) *I know you can't bear parties, but this one will be really good – do come!* (request/offer) (Brown and Levinson, 1987)
- (2) *I know you love roses but the florist didn't have any more, so I brought you geraniums instead.* (offer + apology) (Brown and Levinson, 1987)

**Strategy 10:** Offer, promise.

- (1) I'll drop by sometimes next week. (Brown and Levinson, 1987)
- (2) *I'll take you out top dinner on Saturday* → (FTA) if you'll cook the dinner this evening. (Watts, 2003)

**Strategy 11:** Be optimistic that the hearer wants what the speaker wants.

- (1) I've come to borrow a cup of flour. (Brown and Levinson, 1987)
- (2) *I know you're always glad to get a tip or two on gardening, Fred,*  
→ (FTA) so, if I were you, I wouldn't cut your lawn back so short.  
(Watts, 2003)

**Strategy 12:** Include both Speaker and Hearer in the activity:

- (1) Let's shop for a bite. (i.e. *I want a bite, so let's shop*) (Brown and Levinson, 1987)
- (2) I'm feeling really hungry. *Let's shop for a bite.* (FTA = S wants to stop and have something to eat and wants to get H to agree to do this) (Watts, 2003)

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

- (1) Why not lend me your cottage for the weekend? (Brown and Levinson, 1987)
- (2) I think you've had a bit too much to drink, Jim. → (FTA) Why not stay at our place this evening? (Watts, 2003)

**Strategy 14:** Assert reciprocal exchange or tit for tat.

- (1) I'll do X for you if you do Y for me. (Brown and Levinson, 1987)



(2) Dad, → (FTA) if you help me with my math homework, I'll mow the lawn after school tomorrow. (Watts, 2003)

3. Fulfill Hearer's want for some x

Speaker decides to redress the FTA directly by fulfilling some of the Hearer's wants. The output of this class is:

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

(1) A: *Have a glass of malt whisky, Dick.*

(2) B: Terrific! Thanks.

(3) A: Not at all. → (FTA) I wonder if I could confide in you for a minute or two. (Watts, 2003)

### 2.1.3.3 Negative Politeness

Brown and Levinson states that negative politeness is oriented toward satisfying the Hearer's negative face. Negative politeness is specific and focused: it performs the function of minimizing the particular imposition that the FTA unavoidably affects. The output are all forms that are useful in general for social 'distancing'. Therefore, the use of this strategy might produce social distance in the situation. There are five major classes of negative politeness, which are:

1. Be Indirect

The simplest way to create an FTA redressing is to convey it indirectly. The output of this class is:

**Strategy 1:** Be conventionally indirect

(1) Can you please pass the salt? (Brown and Levinson, 1987)

(2) Could you tell me the time, please? (Watts, 2003)

## 2. Don't Presume / Assume

Do not assume willingness to comply. The output of this class is:

**Strategy 2:** Use question or hedge:

(1) Won't you open the door? (which could be glossed as 'I hedgedly request that you open the door') (Brown and Levinson, 1987)

(2) I wonder whether I could just *sort of* ask you a little question.  
(Watts, 2003)

## 3. Don't coerce the Hearer

This class of redressing the Hearer's negative face is used when the proposed FTA involves predicating an act of the hearer. For such FTA, negative face redressing may be made by avoiding coercing the Hearer to do something, and this may be done by giving him / her the option not to do the act. The outputs of this class are:

**Strategy 3:** Be pessimistic (about ability or willingness to comply). Use the subjunctive.

(1) Would you do X? (Brown and Levinson, 1987)

(2) *If you had a little time to spare* for me this afternoon, I'd like to talk about my paper. (Watts, 2003)

**Strategy 4:** Minimize the imposition:

- (1) Could I have a *taste* (c.i. slice) of that cake? (Brown and Levinson, 1987)
- (2) Could I talk to you *for just a minute*? (Watts, 2003)

**Strategy 5:** Give deference:

- (1) Excuse me *sir*, but would you mind if I close the window? (Brown and Levinson, 1987)
- (2) (To a police constable) Excuse me, *officer*. I think I might have parked in the wrong place. (Watts, 2003)

4. Communicate Speaker's want to not impinge on Hearer

Another way to partially satisfy the Hearer's negative face is to indicate that the speaker is aware of the Hearer's demands and take them into account in his decision to communicate the FTA. The outputs of this class are:

**Strategy 6:** Apologize

- (1) I don't want to interrupt you, but... (Brown and Levinson, 1987)
- (2) *Sorry to bother you*, but... (Watts, 2003)

**Strategy 7:** Impersonalize the speaker and the hearer

- (1) *We* cannot trace your cheque. (Brown and Levinson, 1987)
- (2) A: That car's parked in a no-parking area.

B: It's mine, officer.

A: Well. *It'll have to have a parking ticket*. (Watts, 2003)

**Strategy 8:** State the FTA as an instance of a general rule

(1) I'm sorry, but late-comers cannot be seated till the next interval.

(Brown and Levinson, 1987)

(2) *Parking on the double yellow lines* is illegal, so → (FTA) I'm going to have to give you a fine. (Watts, 2003)

**Strategy 9:** Nominalize to distance the actor and add formality:

(1) *Your cooperation* is urgently requested. (Brown and Levinson, 1987)

(2) *Participation* in an illegal demonstration is punishable by law. → (FTA) Could I have your name and address, madam? (Watts, 2003)

#### 5. Redress Other Wants of the Hearer

One of the strategies of Negative Politeness can be seen in an act of offering partial compensation for redressing some particular other wants of the hearer.

The output of this class is:

**Strategy 10:** Go on-record as incurring a debt, or as not indebting H:

(1) I'd be eternally grateful if you would... (Brown and Levinson, 1987)

(2) → (FTA) If you could just sort out a problem I've got with my formatting, (strategy 10) *I'll buy you a beer at lunchtime.* (Watts, 2003)

#### 2.1.3.4 Off-Record

If a speaker wants to do an FTA but wants to avoid the responsibility in doing it, s/he can do it off-record and leave it up to the addressee to decide how to interpret it. It contains fifteen strategies, provided with examples from Brown and Levinson (1987):

##### 1. **Strategy 1:** Give Hints

S says something that is not explicitly relevant. He invites H to search for an interpretation of the possible relevance.

(1) It's cold in here. (Shut the window)

(2) This soup's a bit bland. (Pass the salt)

(3) I need some more nails to finish up this rabbit hutch (Buy me some when you go to town)

##### 2. **Strategy 2:** Give association clues

S mentions something associated with the act required of H either by precedent in S-H's experience or by mutual knowledge irrespective of their interactional experience. Thus the utterance:

(1) Oh God, I've got a headache again.

may be used to convey a request to borrow H's swimming suit, *if* S and H mutually know that they both have an association between S having a headache and S wanting to borrow H's swimsuit in order to swim off his headache.

3. **Strategy 3:** Presuppose

A third set of clues to S's intent is related in a different way to the Relevance Maxim. An utterance can be almost wholly relevant in context, and yet violate the Relevance Maxim just at the level of its presuppositions.

For instance, if S says:

(1) I washed the car again today.

he presupposes that he has done it before (e.g. last week) and therefore may implicate a criticism.

4. **Strategy 4:** Understate

S violates the Quantity Maxim (say as much as and no more than is required) by saying less than is required to generate implicature. In this case, S chooses a point on a scalar predicate that is well below the point that actually describes the state of affairs. In the case of criticism, S avoids the lower points of the scale and in the case of compliments or admission, S avoids the upper point.

(1) A: What do you think of Harry?

B: Nothing wrong with him. (I don't think he's very good)

5. **Strategy 5:** Overstate

S violates the Quantity Maxim by saying more than is necessary. S exaggerates or chooses a point on a scale which is higher than the actual

state of affairs. Here, however, the Implicatures often lie far beyond what is said. For example:

(1) I tried to call a *hundred* times, but there was never any answer.

could convey an apology for not getting in touch.

6. **Strategy 6:** Use tautologies

By uttering a tautology, S encourages H to look for an informative interpretation of the non-informative utterance. It may be an excuse:

(1) War is war.

(2) Boys will be boys.

Or a criticism:

(3) *Your* clothes belong where *your* clothes belong, *my* clothes belong where *my* clothes belong. Look upstairs!

Similar Implicatures are involved with statements that are blatantly obvious and non-informative. For example:

(4) You're men, why don't you do something about it?

addressed to men, via an assumption that men are the kind of creatures that *do* things, implicates that the addressees ought to do something to live up to their masculinity.

7. **Strategy 7:** Use contradictions

By stating two things that contradict each other, S makes it appear that he or she *cannot* be telling the truth. He thus encourages H to look for an interpretation that reconciles the two contradictory propositions. For example:

(1) A: Are you upset about that?

B: Well, I am and I am not.

Such contradictions may convey a complaint or a criticism.

#### 8. **Strategy 8:** Be ironic

By saying the opposite of what he means, S can indirectly convey his intended meaning, if there are clues that his intended meaning is being conveyed indirectly. Such clues may be prosodic (e.g. nasality), kinesic (e.g. a smirk), or simply contextual:

(1) John's a real genius. (after John has just done twenty stupid things in a row)

(2) Lovely neighborhood, eh? (in a slum)

(3) Beautiful weather, isn't it! (to postman drenched in a rainstorm)

#### 9. **Strategy 9:** Use Metaphors

Metaphors are a further category of Quality violations, for metaphors are literally false. The use of metaphor is perhaps usually on record, but there is a possibility that exactly which of the connotations of the metaphor S intends may be off record. For example:



(1) Harry is a real fish. (He is cold-blooded like a fish)

10. **Strategy 10:** Use rhetorical questions

S asks a question with no intention of obtaining an answer. Questions that leave their answers hanging in the air, implicated, may be used to do FTAs.

The examples of using this strategy for criticisms:

(1) How many times do I have to tell you...? (Too many)

(2) What can I say? (Nothing, it's so bad)

11. **Strategy 11:** Be ambiguous

S makes purposeful ambiguity which may be achieved through metaphor and lets H to guess what he or she means.

(1) John's a pretty sharp/smooth cookie.

could be either a compliment or an insult, depending on which of the connotations of *sharp* or *smooth* are latched on to.

12. **Strategy 12:** Be vague

S may go off record with an FTA by being vague about who the object of the FTA is, or what the offence is – e.g., in criticisms:

(1) Looks like someone may have had too much to drink. (vague understatement)

13. **Strategy 13:** Over-generalize

S utters a rule instantiation, which may leave the object of the FTA vaguely off-record. H has the choice of deciding whether the general rule applies to him.

- (1) The lawn has got to be mown.
- (2) If that door is shut completely, it sticks.
- (3) Mature people sometimes help do the dishes.

14. **Strategy 14:** Displace H

S may go off record as to who the target for his FTA is, or he may pretend to address to someone whom it would not threaten, and hope that the *real* target will see that the FTA is aimed at him or her. Ervin-Tripp in Brown and Levinson (1987) cites an example of this, where one secretary in an office asks another to pass the stapler, in circumstances where a professor is much nearer to the stapler than the other secretary. His face is not threatened, and he *can* choose to do it himself as a bonus ‘free gift’.

15. **Strategy 15:** Be incomplete, use ellipsis

S purposely does not finish his utterance and leave an FTA half done, and H thus leaves the implicature ‘hanging on the air’ just as rhetorical question, as in:

- (1) Well, if one leaves one’s tea on the wobbly table...

## 2.1.4 Factors Influencing the Choice of Strategies

### 2.1.4.1 The Payoffs

By going *on record*, a speaker can potentially get any of the following advantages: he can enlist public pressure against the addressee or in support of himself; he can get credit for honesty, for indicating that he trusts the addressee; he can get credit for outspokenness; avoiding the danger of being seen to be a manipulator; he can avoid the danger of being misunderstood; and he can have the opportunity to pay back in face whatever he potentially takes away by the FTA.

By going *off record*, a speaker can profit in the following ways; he can get credit for being tactful, non-coercive; he can run less risk of his act entering the ‘gossip biography’ that others keep of him; and he can avoid responsibility for the potentially face-damaging interpretation. Furthermore, he can give (non-overtly) the addressee an opportunity to be seen to care for S (and thus he can test H’s feelings towards him).

For going on record with *positive politeness*, a speaker can minimize the face-threatening aspects of an act by assuring the addressee that S considers himself to be ‘of the same kind’, that he likes him and wants his wants. Another possible payoff is that S can avoid or minimize the debt implications of FTAs such as requests and offers, either by referring (indirectly) to the reciprocity and on-going relationship between the addressee and himself (as in the reference to a pseudo prior agreement with *then* in ‘How about a cookie, then’) or by including the addressee and himself equally as participants in or as benefactors from the

request or offer (for example, with an inclusive 'we' as in 'Let's get on with dinner' from the husband glued to the TV).

For going on record with *negative politeness*, a speaker can benefit in the following ways: he can pay respect, deference, to the addressee in return for the FTA, and can thereby avoid incurring (or can thereby lessen) a future debt; he can maintain social distance, and avoid the threat (or the potential face loss) of advancing familiarity towards the addressee; he can give a real 'out' to the addressee (for example with a request or an offer, by making it clear that he does not really expect H to say 'Yes' unless he wants to, thereby minimizing the mutual face loss incurred if H has to say 'No'); and he can give conventional 'outs' to the addressee as opposed to real 'outs', that is, pretend to offer an escape route without really doing so, thereby indicating that he has the other person's face wants in mind.

For our purposes, these payoffs may be simplified to the following summary:

On-record payoffs:

- a) Clarity, perspicuousness
- b) Demonstrable non-manipulativeness
- c) Efficiency (S can claim that other things are more important than face, or that the act is not an FTA at all)

Plus-redress payoff: S has the opportunity to give face

- a) Positive politeness – to satisfy H's positive face, in some respect

- b) Negative politeness – to satisfy H's negative face, to some degree

Off-record payoffs:

- a) S can satisfy negative face to a degree greater than that afforded by the negative-politeness strategy.
- b) S can avoid the inescapable accountability, the responsibility for his action that on-record strategies entail.

#### **2.1.4.2 The Circumstances: Sociological Variables**

The assessment of the seriousness of an FTA involves the following factors in many and perhaps all cultures:

- 1) The 'social distance' (D) of S and H
- 2) The relative 'power' (P) of S and H
- 3) The absolute ranking (R) of impositions in the particular culture

D is a symmetric social dimension of similarity/difference within which S and H stand for the purposes of this act. In many cases (but not all), it is based on an assessment of the frequency of interaction and the kinds of material or non-material goods (including face) exchanged between S and H (or parties representing S or H, or for whom S and H are representatives). An important part of the assessment of D will usually be measures of social distance based on stable social attributes. The reflex of social closeness is, generally, the reciprocal giving and receiving of positive face.

P is an asymmetric social dimension of relative power. That is,  $P(H,S)$  is the degree to which H can impose his own plans and his own self-evaluation (face) at the expense of S's plans and self-evaluation. In general there are two sources of P, either of which may be authorized or unauthorized – material control (over economic distribution and physical force) and metaphysical control (over the actions of others, by virtue of metaphysical forces subscribed to by those others). In most cases an individual's power is drawn from both these sources, or is thought to overlap them. The reflex of a great P differential is perhaps archetypally 'deference' as discussed below.

R is a culturally and situationally defined ranking of impositions by the degree to which they are considered to interfere with an agent's wants of self-determination or of approval (his negative and positive face wants). In general there are probably two such scales or ranks that are emically identifiable for negative-face FTAs: a ranking of impositions in proportion to the expenditure (a) of *services* (including the provision of time) and of (b) goods (including non-material goods like information, as well as the expression of regard and other face payments). These intra-culturally defined costings of impositions on an individual's preserve are in general constant only in their rank order from one situation to another. However, even the rank order is subject to a set of operations that shuffles the impositions according to whether actors have specific rights or obligations to perform the act, whether they have specific reasons (ritual or physical) for not performing them, and whether actors are known to actually enjoy being imposed upon in some way.

## 2.2 Related Studies

There are similar researches conducted regarding politeness strategies. One of them is “Politeness in Mixed Sex Conversation by the Members of SKI and UKMKI Airlangga University as the Practice of Ideology” which is conducted by Nurul Hidayati (2007). The research is conducted to discover what kinds of politeness strategies are applied by members of SKI and UKMKI Airlangga University and how they use the politeness strategies in their meetings. The data were collected by recording the meetings of SKI and UKMKI in a certain period of time. The data are then analyzed and associated with the ideology of Islam in speaking with the opposite gender.

Another research in politeness strategies is conducted by Kodyat (2001) in his thesis entitled “A Study on Politeness Strategies Used by The Interviewers in a Foreign Company”. He analyzes the positive and negative politeness strategies that occurred in a job interview of a foreign company. He records the interview, discovers the positive and negative politeness strategies that are used by the interviewers, and then discovers what strategies are mostly occurred during the interview, presented in tables of frequencies.

Meanwhile, the current research is conducted to discover and describe positive and negative politeness strategies used by networkers in influencing their prospects.