CHAPTER II

LITERATURE REVIEW

2.1 Theoretical Framework

The writer presents the theory that underlies the analysis of this study, the supporting theories and also some related studies concerning on politeness strategies on refusal that were done previously. In this study, the writer uses the theory of politeness strategies proposed by Brown and Levinson (1987) to analyze the data.

2.1.1 Politeness Strategies

Politeness strategies are needed by speaker and hearer in order to have good communication. It aims to minimize the face threatening act of speaker. According to Brown and Levinson (1987), politeness strategies are strategies that are developed in order to save the hearer's face. In a communication, the speaker is suggested to save the hearer's feeling by avoiding face threatening act.

In addition, the term face means something that is emotionally invested, and that can be lost, maintained, or enhanced, and must be constantly attended to in an interaction (Brown & Levinson, 1987, p. 61). It can be described as a person's public self-image. The speaker and the hearer should be able to keep their face in an interaction. It means that the speaker and the hearer can minimize to hurt each other. Furthermore, there are two kinds of face based on Brown and Levinson (1987, p. 62): positive and negative face. Positive face is the wish to create a

positive self-image in relation to other members of society, while negative face can be described as the basic claim of a member of society to personal freedom of action and to personal space, which is not invaded by other members of society.

The politeness strategies are divided into four: Bald on Record, Positive Politeness, Negative Politeness, and Off Record. The possible strategies for doing FTA can be seen in the following figure:
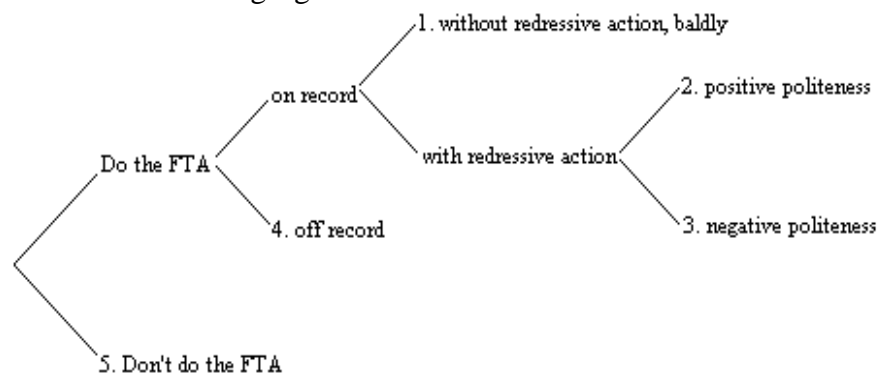

Figure 1 Possible strategies for doing FTAs (Brown & Levinson 1987, p. 69)

Politeness strategies show the strategies to minimize threats from FTA. The strategy number five does not do the FTA. It means that the speaker do not bother the hearer's face because he or she cannot get his or her need. Then, the strategy number four means that the speaker's utterances not directly addressed to hearer. The speaker asks something to hearer indirectly and avoids direct FTA. The next strategy is negative politeness. It relates to the speaker's awareness of another's right, but he or she does not want to be imposed. The strategy number two is positive politeness. The speaker recognizes and respects the hearer's desire. It also shows the speaker's wish to be accepted in his or her surroundings. The last strategy is Bald on record. It's the speaker's utterances addressed to another directly.

2.1.1.1 Bald On-Record

Brown and Levinson (1987, p. 69) state that bald on record is an act without redressing, which involves doing it in the most direct, clear, unambiguous, and concise way. It is a direct politeness strategy which contains no redressive particle to soften the face threatening act (FTA). The prime reason for bald on record usage is whenever speaker wants to do the FTA with maximum efficiency more than he wants to satisfy hearer's face, even to any degree, he will choose the bald on record strategy. There are different kinds of bald on record usage in different circumstances, because S can have different motives for his want to do the FTA with maximum efficiency. It is divided into two classes:

1. Cases of non-minimization of the face threat

Where the maximum efficiency is very important and this is mutually known to both S and H, so no face redress is necessary. In cases of great urgency or desperation, redress would actually decrease the communicated urgency.

2. Cases of FTA-oriented bald-on-record usage

It is oriented to H's face. It involves mutual orientation, so that each participant attempts to foresee what the other participant is attempting to foresee. This strategy usually occurs in (1) welcoming (or post-greetings) where S insists that H may impose on his negative face, (2) farewells, where S insists that H may transgress on his positive face by taking his leave, and (3) offers, where S insists that H may impose on S's negative face.

2.1.1.2 Positive Politeness Strategies

According to Brown and Levinson (1987, p. 101) positive politeness is redressed directly to the addressee's positive face, his perennials desire that his wants (or the actions, acquisitions / value resulting from them) should be thought as desirable. It is used to satisfy the hearer's desire to be liked and approved of. They emphasize the establishment of solidarity and intimacy. It is usually found in groups of friends.

Brown and Levinson (1987, p. 103-129) states that there are three major classes of positive politeness strategies:

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:

1. Strategy 1: Notice, attend to H (interests, wants, needs, goods)

   In general, this strategy suggests that speaker pays attention to hearer's condition (noticeable changes, remarkable possession, anything which looks as though H would want S to notice and approve of it)

2. Strategy 2: Exaggerate (interests, approval, or sympathy H)

   This is often done with exaggerated intonation, stress, and other aspects of prosodic, as well as with intensifying modifiers.

3. Strategy 3: Intensify interest to H

This strategy shows that the speaker wants to share some of his wants to intensify the interest of his own (S's) contributions to the conversation.

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

This strategy uses some special terms that are *buddy, mate, honey, son* and others to make close relation between speaker and hearer.

5. Strategy 5: Seek agreement in safe topics

This strategy shows that S talks about something where it is possible to seek agreement. It may also stressed by repeating part or all of what the preceding S has said in the conversation and by using that function to indicate emphatic agreement.

6. Strategy 6: Avoid disagreement

This strategy shows that S has desire to agree with H by twisting his utterance.

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

This strategy shows that S is talking about unrelated topics to show that S is interested in H as the mark of friendship and does not come only to impose him or her.

8. Strategy 8: Joke

Jokes can be used to stress the fact that there must be some mutual background knowledge and values that S and H share. That is why, the strategy of joking may be useful in diminishing the social distance between S and H.

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:

9. Strategy 9: Assert or presuppose knowledge of and concern for hearer's wants

This strategy is the way to indicate that S and H are co-operators, and thus potentially to put pressure on H to cooperate with S. S wants to assert and imply knowledge of H's wants and willingness to fit one's own wants in with them.

10. Strategy 10: Offer, promise

S and H are good co-operators that they share some goals or S is willing to help to achieve those goals. Promise or offer demonstrates S's good attention in satisfying H's positive-face wants, even if they are falls.

11. Strategy 11: Be optimistic

    S assumes that H wants what S's wants for S (or S and H) and will help to obtain them. This usually happens among people with close relationship.

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

    S manipulates the subject of an activity is done together. S uses an inclusive 'we' form when S actually means 'you' or 'me'. Inclusive form 'we' is usually used in the construction 'let's'.

13. Strategy 13: Give or ask for reasons

    S uses H as the reason why S wants something so that it will seem reasonable to the hearer. S assumes (via optimism) that there are no good reasons why H should not or cannot cooperate.

14. Strategy 14: Assume or Assert reciprocity

    S asks H to cooperate with him by giving evidence of reciprocal rights or obligations between S and H.

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:

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

S satisfies H's positive face want by giving gift, not only tangible gift, but human relation wants which are the wants to be liked, admired, cared about, understood, listened to, and others. In other words, this strategy is usually used for the benefit of H.

2.1.1.3 Negative Politeness

According to Brown and Levinson (1987, p. 129), negative politeness is redressive action addressed to the addressee's negative face: his want to have his freedom of action unhindered and his attention unimpeded. It is used when S wants to show that he cares and respect H's negative face. It is formality oriented. In this strategy, S assures that he does not disturb H's freedom of action by not showing off, being formal and restraining himself. If S did or will do the FTA, he will minimize the threat by using apology, deference, hedges, and other strategies. Unlike positive politeness, which functions to minimize the social distance, negative politeness is used to indicate social distancing. It means that the speaker is aware and respects the social distance between him and the hearer. Negative politeness consists of ten strategies (Brown & Levinson, 1987, p. 129-210) and divides into five major classes that are:

1. Be direct

The simplest way to construct an on-record message is to convey it directly as in bald on record usages. Negative politeness avoids both on-record delivery and redress of an FTA. The output of this class is:

1. Strategy 1: Be conventionally indirect

   The speaker tries to be indirect so there can be no misinterpretation of what he means. In this case, the speaker uses understandable indirect speech act and includes 'please' or deletion of auxiliary and tense markers, and exclamatory expression.

2. Don't presume / assume

All other negative politeness strategies are derived from the second specification that redress should be given to the hearer's negative face. Here, we examine one way in which such redress can be given by carefully avoiding presuming or assuming that anything involved in the FTA is desired or believed by the hearer. The output of this class is:

2. Strategy 2: Use question, hedge

   A hedge is particle, a word or phrase that modifies the degree of membership of a predicate or a noun phrase in a set. This strategy derives from the one not to presume and the one to coerce the H. It is used to modify speech act.

3. Don't coerce hearer

Another class of ways of redressing the hearer's negative face want is used when the propose FTA involves predicating an act of the hearer. For such FTA, negative face redress may be made by avoid coercing the hearer to do something, and this may be done on the one hand by explicitly giving him the option not to do the act. The output of this class is:

3. Strategy 3: Be pessimistic

This strategy gives compensation to H's negative face by explicitly expressing doubt that S can obtain the expected acts from H.

4. Strategy 4: Minimize imposition

The expression may be used to minimize imposition like a tiny little bit, a sip, a taste, a drop, just, a bit serve a minimum favor asked.

5. Strategy 5: Give deference

S humbles and lowers S raises H to satisfy H's want to be treated as superior. Here, H has higher social status than S.

4. Communicate speaker's want to not impinge on hearer

One way to partially satisfy the hearer negative face demands is to indicate that the speaker is aware of the hearer's demand and taking them into account in his decision to communicate the FTA. The output of this class is:

6. Strategy 6: Apologies

S expresses his reluctance to impinge on H's negative face by apologizing, asking forgiveness, and admitting impingement.

7. Strategy 7: Impersonalise S and H

One way of indicating that S does not want to disturb H's face is by saying that as if S is not the subject who does the FTA, or at least not as alone who does the FTA towards H. Besides, the addressee was other than H, or only inclusive of H.

8. Strategy 8: State the FTA as general rule

This strategy is used to manipulation that S does not want to disturb H's face, but he or she does is forced by circumstances. Then, here the FTA serves as social rule, regulation, or obligation.

9. Strategy 9: Nominalise

In English, degree of negative politeness goes hand in hand with degree of formality. It is used to distance the speaker and add formality.

5. Redress other wants of hearer's

Another strategy of negative politeness can be seen in act of offering partial compensation for redressing some particular other wants of the hearer. The output of this class is:

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

S redresses an FTA by explicitly claiming his any indebtness to H.

2.1.1.4 Off record

Off record strategy enables speaker to have one interpretation of his act (Brown & Levinson, 1987, p. 211). If the speaker wants to do an FTA but wants

to avoid the responsibility for doing it, he or she can do off record. It contains fifteen strategies (Brown & Levinson, 1987, p. 211-227)

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.

2. Strategy 2: Give association clues

   S gives related of implicature by mentioning 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.

3. Strategy 3: Presuppose

   S makes H to search for the presupposed preceded event by implicating something.

4. Strategy 4: Understate

   S violates the quality 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 skill and in the case of compliments or admission, S avoids the upper point.

5. Strategy 5: Overstate

S violates the quantity maxim by saying more than is necessary. S exaggerates or chooses a point on a skill which is higher than the actual state of affairs.

6. Strategy 6: Tautologies

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

7. Strategy 7: Contradiction

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

8. Strategy 8: Ironic

By saying the opposite of what he or she means, S can be indirectly convey his or her intended meaning, if there are clues that his or her intended meaning is being conveyed indirectly.

9. Strategy 9: Metaphors

S uses metaphors and makes H interpret his or her intended meaning by him or herself.

10. Strategy 10: Rhetorical question

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

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.

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.

13. Strategy 13: Over generalize

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

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.

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.

The theory of politeness strategies above will be used to analyze the data of refusal utterances produced by students of an Islamic school at Madrasah Aliyah Al-Ishlah Lamongan. The writer chooses this theory because there are some politeness strategies that can be founded on their refusal's utterances.

2.2 Three Politeness Systems: Deference, Solidarity, and Hierarchy

Three main types of politeness system can be observed in many different contexts. These are based primarily on whether there is a power difference (+P or –P) and on the distance between participants (+D or –D). They are called the deference politeness system, the solidarity politeness system, and the hierarchical politeness system.

2.2.1 The Deference Politeness System (-P, +D)

A deference politeness system is one in which participants are considered to be equals or near equals but treat each other at a distance (Scollon and Scollon, 2001:54). It presents the respect of the hearer to speaker and usually appears in formal condition. For example the relationship among professional workers who do not know each other. The characteristics of this system are that it is:

1. Symmetrical (-P), that is, the participants see themselves as being at the same social level

2. Distant (+D), that is, each uses independence strategies speaking to the other.

Such a face system can be sketched as in the following figure

Speaker 1 < ========= Independence ======= > Speaker 2

[+D = Distance between the speakers]

Figure 1 Deference politeness system (Scollon & Scollon, 2000, p. 54)

One could find deference politeness anywhere the system is egalitarian but participants maintain a deferential distance from each other. Much interactional political protocol is based on this system, where equals from each government meet but are cautious forming unnecessarily close ties.

2.2.2 The Solidarity Politeness System (-P, -D)

The solidarity politeness system shows that the speaker and the hearer have good friendship and solidarity. There is a high level of involvement politeness strategies. This strategy can be found everywhere because the system is egalitarian and participants feel or express closeness to each other. For example, the relationship close friend. There is no feeling of either a power (-P) or distance (-D) between them.

The characteristics of this solidarity face system are that it is:

1. Symmetrical (-P), that is, the participants see themselves as being in equal social position;

2. Close (-D), that is, the participants both use politeness strategies of involvement.

Such a face system can be sketched as in figure 2

Speaker 1 < = involvement = > Speaker 2

[-D = Minimal distance between speakers]

Figure 2. Solidarity politeness system (Scollon & Scollon, 2000, p. 55)

One could find solidarity politeness anywhere the system is egalitarian and participants feel or express closeness to each other. Friendship among close friends is often solidarity system.

2.2.3 Hierarchical Politeness System (+P, +/ -D)

The hierarchical politeness system is a system that the participants recognize and respect the social differences that place one in a superordinate position and the other in a subordinate position (Scollon and Scollon, 2001: 55). It recognizes the difference in status between speaker and hearer. They have different face politeness strategies in speaking to each other. The main characteristic of this system is the recognized difference in status, for which we are using the designation +P. It may be of much less significance whether or not there is distance between the participants.

In such a face system the relationship are asymmetrical. By that, the participants do not use the same face politeness strategies in speaking to each other. The person in superordinate or upper position uses involvement strategies in speaking "down". The person in the subordinate or lower position uses independence strategies in speaking "up".

The characteristics of this hierarchical face system are that it is:

1. Asymmetrical (+P), that is, the participants see themselves as being in unequal social position;

2. Asymmetrical in face strategies, that is, the "higher" uses involvement face strategies and the "lower" uses independence face strategies.

Such a face system can be sketched as figure 3

Speaker 1

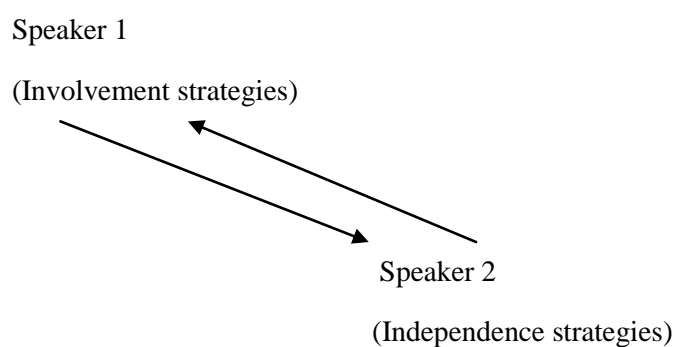(Involvement strategies)

Speaker 2

(Independence strategies)

Figure 3. Hierarchical politeness system (Scollon & Scollon, 2000, p. 56)

The system shows that the factors of power (or hierarchy) and distance may arise for many different reasons. In some societies, power differences (+P) arise based on differences age, gender, wealth, hunting prowers, ability to entertain, education, physical strength or beauty, membership in particular families, or color of hair or skin. In the same way, distance (+D) can arise for perhaps all of the same factors. Members of one's family might be close (-D) while all others are distant (+D), or family members of one gender are close while those of other gender might be distant.

2.3   Refusal

Brown and Levinson (1987) states that refusal is one of Face Threatening Act (FTA). It means that a speaker who gives an invitation or an offer to someone wishes to be accepted, while the guest has several reasons to accept or to refuse the invitation or the offer like the host's honesty and intention. When the guest refuses it, he or she has threatened the inviter's positive face, that is, his or her public self image to maintain approval from others.

Refusal can appear in the form of verbal and non verbal language. Those forms appear when a speaker directly or indirectly says 'no' or gives non verbal answer like moving his or head from left to show his or her refusal. Refusal act can appear in some topics of conversation, for example requests, invitations, offers, and suggestions. All of these types usually happen in daily conversation. For example, the speaker expresses her or his regret for turning down the request by saying 'Sorry, I can't join your party'.

Refusal is a complex issue, as the speaker directly or indirectly says *no* to his or her interlocutor's request, offer, invitation, and suggestion. Refusals usually threaten the addressee's negative face, that is, the desire that his or her future choice of actions or words be unrestrained. It may also be understood as dispreferred message. On the other words, the messages such as rejection constitute inferior messages whenever preservation of face is an important thing to save the speaker's face. The speaker usually uses indirect strategies to refuse an invitation or offer. Sometimes, it needs careful analysis when the refusal situation

appears in interaction between Native Speaker (NSs) and Non Native Speaker (NNSs) because it may become complex task for NNSs since it may produce communication failure. The communication on refusal between native speaker and non native speaker are unsuccessful because of some reasons, for example the meaning of a message to the sender differs from its meaning to the recipient.

2.4 Related Studies

There have been studies of politeness strategies on refusal. In this field is Yenliana (2004) who studied in Petra Christian University. Her thesis entitled "Politeness strategies on refusal to invitation expressed by the male and female students of Petra Christian University". She analyzed the use of politeness strategies on refusal invitations toward different sex of interlocutor. In her study, she classified the refusal strategies proposed by Garcia (1992), and categorized them based on the sex of the subjects. Then she tabulated the number of refusal strategies to find out the most frequently used into the politeness strategies proposed by Brown and Levinson (1987). She also made comparison between male and female students' refusal strategies. The writer found that male and female students prefer to use deference politeness strategies than solidarity politeness strategies. Female students produce larger deference politeness strategies than male students. The writer collected the data only by interviewing the participants. She did not record the participants directly. In addition, the writer is better to record the participants' utterance because it is more natural and closer to the fact.

The other study is from Nugroho (2000) entitled "Refusal Strategies in English used by American and Indonesian University Students based on Age, Sex, Social Status and Social Distance". He analyzed what kinds of refusal strategies used by both groups: American and Indonesian students. Then, he compared the refusal strategies which are used by them. In this study, Nugroho employed Discourse Completion Text (DCT) to collect the data. Moreover, he used the theory of politeness strategies suggested by Brown and Levinson (1989) which concern on the term face. He also used the theory of speech acts, and the theory of adjacency pairs to analyze his data. From this study, he found that Indonesian participants prefer to use apologizing on refusal, while the American participants prefer to use apologizing and reason to express their refusal. Then, there are other strategies used by both groups that are showing interest, thanking, and direct refusal.

In this study, the writer tries to analyze the politeness strategies on refusal happen in daily conversation. The participants of this study are students of an Islamic school at Pondok Pesantren Al-Ishlah Lamongan. The writer found the data by observing, recording, and interpreting their refusal utterance among friends. She analyzed the natural conversation on refusal which happens among students of Pondok Pesantren Al-Ishlah Lamongan.