

## CHAPTER II

### LITERATURE REVIEW

#### 2.1 Theoretical Framework

##### 2.1.1 Face Threatening Act (FTA)

Brown and Levinson (1987) stated that in communication, people need to maintain each other face continuously, either in spoken or in written form. 'Face' is "Something that is emotionally invested, can be lost, maintained, or enhanced, and must be constantly attended to an interaction" (Brown and Levinson, 1987). Therefore if someone wants their communication with others going well, he or she needs to saving face each other.

Brown and Levinson (1987) also stated that every participant in a social process has the need to be appreciated by others and the need to be free and not to 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'.

Additionally, Brown and Levinson (1987) also stated that certain kinds of acts intrinsically threaten face, namely those acts that by nature run contrary to the face wants of the addressee/or of the speaker. By 'act' we have in mind what is intended to be done by a verbal or non-verbal communication, just as one or more 'speech acts' can be assigned to an utterance

### 2.1.1.1 Face Threatening Acts that threaten H's face

According to Brown and Levinson (1987) there are acts that threaten negative face and those that threaten positive face. Those acts that primarily threaten the addressee's (H's) negative-face want, by indicating (potentially) that the speaker (S) does not intend to avoid impeding H's freedom of action, include:

- (i) Those acts that predicate some future act A of H, and in so doing put some pressure on H to do (or refrain from doing) the act A:
  - (a) Orders and request (S indicates that he wants H to do, or refrain from doing, some act A)
  - (b) Suggestions, advice (S indicates that he thinks H ought to (perhaps) do some act A)
  - (c) Reminders (S indicates that H should remember to do some A)
  - (d) Threats, warnings, dares (S indicates that he --- or someone, or something – will instigate sanctions against H unless he does A)
- (ii) Those acts that predicate some positive future act of S toward H, and in so doing put some pressure on H to accept or reject them, and possibly to incur a debt:
  - (a) Offers (S indicates that he wants H to commit himself to whether or not he wants S to do some act for H, with H thereby incurring a possible debt)
  - (b) Promises (S commits himself to a future act for H's benefit)

(iii) Those acts that predicate some desire of S toward H or H's goods, giving H reason to think that he may have to take action to protect the object of S's desire, or give it to S:

- (a) Compliments, expression of envy or admiration (S indicates that he likes or would like something of H's)
- (b) Expression of strong (negative) emotions toward H – e.g. hatred, anger, lust (S indicates possible motivation for harming H or H's goods)

Those acts that threaten the positive-face want, by indicating (potentially) that the speaker does not care about the addressee's feelings, wants, etc.—that in some important respect he doesn't want H's wants – include:

- (i) Those that show that S has a negative evaluation of some aspect of H's positive face:
  - (a) Expression of disapproval, criticism, contempt or ridicule, complaints and reprimands, accusation, insult (S indicates that he doesn't like/want one or more of H's wants, acts, personal characteristics, goods, beliefs or values)
  - (b) Contradictions or disagreements, challenges (S indicates that he thinks H is wrong or misguided or unreasonable about some issue, such wrongness being associated with disapproval)
- (ii) Those that show that S doesn't care about (or is indifferent to) H's positive face :

- (a) Expression of violent (out-of-control) emotions (S gives H possible reason to fear him or be embarrassed by him)
- (b) Irreverence, mention of taboo topics, including those that are inappropriate in the context (S indicates that he doesn't value H's values and doesn't fear H's fears)
- (c) Bringing bad news about H, or good news (boasting) about S (S indicates that he is willing to cause distress to H, and/or doesn't care about H's feelings)
- (d) Raising of dangerously emotional or divisive topics, e.g. politics, race, religion, women's liberation (S raises the possibility or likelihood of face threatening acts (such as the above) occurring; i.e., S creates a dangerous-to-face atmosphere)
- (e) Blatant non-cooperation in an activity – e.g. disruptively interrupting H's talk, making non-sequiturs or showing non-attention (S indicates that he doesn't care about H's negative- or positive- face wants)
- (f) Use of address terms and other status-marked identifications in initial encounters (S may misidentify H in an offensive or embarrassing way, intentionally or accidentally)

Note that there is an overlap in this classification of FTA's, because some FTAs intrinsically threaten both negative and positive face (e.g. complaints, interruptions, threats, strong expressions of emotion, and requests for personal information)

### 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). Therefore, to be polite consists of attempts to save face for others.

In order to maintain communication running smoothly, the speaker and the hearer have to cooperate 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 himself/herself. Face is something that is emotionally invested, 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:

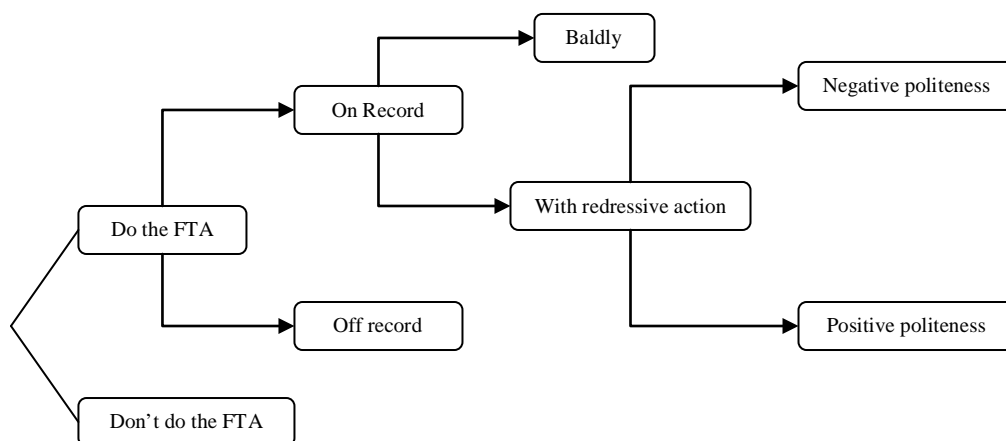


Figure 1: Possible Strategies for Doing FTAs

### 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/her continuing 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 sub strategies, 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:

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

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

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

**Strategy 5:** Seek agreement:

**Strategy 6:** Avoid disagreement:

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

**Strategy 8:** Joke



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.

**Strategy 10:** Offer, promise.

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

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

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

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

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)

### 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 a FTA redressing is to convey it indirectly. The output of this class is:

**Strategy 1:** Be conventionally indirect

2. Don't Presume / Assume

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

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

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 an 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.

**Strategy 4:** Minimize the imposition:

**Strategy 5:** Give deference:

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

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

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

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

#### 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:

#### 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):

**Strategy 1:** Give Hints

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

**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

**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.

**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 implication. In this case, S chooses a point on a scalar predicate that is well below the point that actually describes the state of affairs.

**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.

**Strategy 6: Use tautologies**

By uttering a tautology, S encourages H to look for an informative interpretation of the non-informative utterance. Similar Implications are involved with statements that are blatantly obvious and non-informative.

**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.

**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

**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.

**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.

**Strategy 11:** Be ambiguous

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

**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

**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.

**Strategy 14: Displace H**

S may go off record as to who the target for his FTA is, or he may pretend to address 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’.

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

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

**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 benefitors 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 lost 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 Fachrul Ariesta Rachman (2011) in his thesis entitled “Politeness Strategies used by a Network Marketing Distributor in Influencing Her Prospect”. He analyzes politeness strategies which occurred in a business presentation from a network marketing distributor of Tianshi. He records the interview, discovers the politeness strategies that are used by the networker, and then discovers what factors influence the choice of the strategy used by the speaker. Both the speaker and the hearer do not know each other and not acquainted before.

Meanwhile, the current research is conducted to discover and describe of politeness strategies used by networker distributor of Amway in influencing his prospect. Moreover, this research also tries to seek what factor does influence the use of politeness strategies by Amway networker distributor in the business presentation. Both the speaker and the hearer already know each other since they studies in the same faculty (former classmate), therefore it may result in different findings.