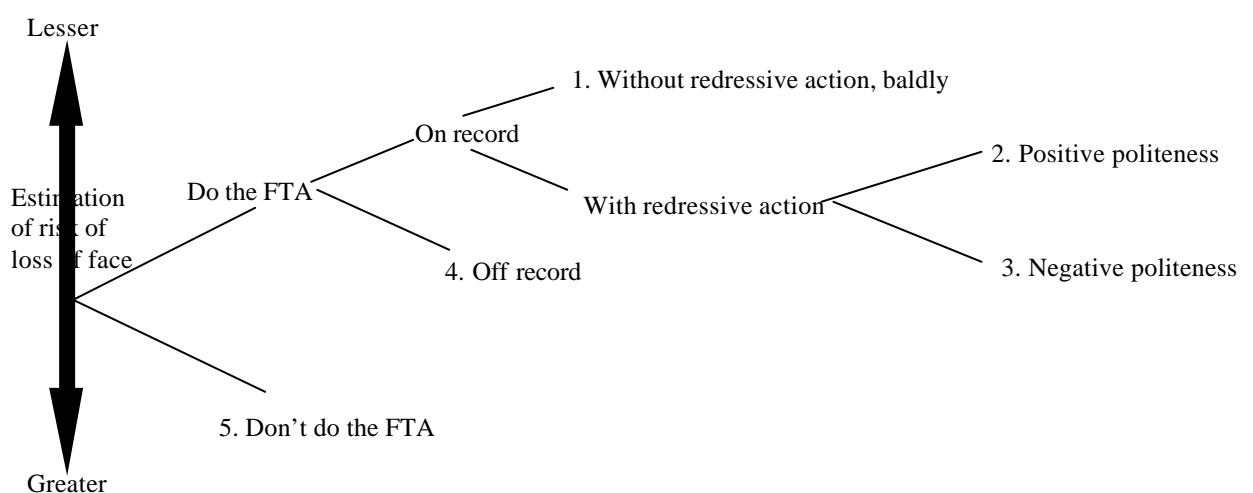## 2. REVIEW OF RELATED LITERATURE

In this chapter, the writer divides the contents in two parts. The first one is the review of main theory which explains the idea of politeness strategies and the second is the review of related studies which shows the previous studies about politeness strategies.

2.1. Review of Main Theory

Brown and Levinson's politeness theory has been the most influential for over twenty years. 'Rationality' and 'face' are the important features in their theory. They assert that these two terms are universal to all people. Rationality is described as the application of a specific mode of reasoning that guarantees conclusion from ends or goals that will satisfy those ends. The next term is "face" and according to Brown & Levinson, face consists of two kinds of desires (wants): first, the negative face that is the desire to be unimpeded in one's action, and the second, positive face that is the desire to be approved. Figure 1. shows the possible politeness strategies for doing FTAs (Face Threatening Acts).

Lesser

Estimation of risk of loss of face

Do the FTA

On record

1. Without redressive action, baldly

With redressive action

2. Positive politeness

3. Negative politeness

4. Off record

5. Don't do the FTA

Greater

Figure 1. Brown and Levinson's politeness strategies.

The figure above shows that when a person chooses not to do anything or not to do the FTA, that person does not need politeness strategies. On the contrary, when he/she decides to do the FTA, there are conditions or rules of how to deal with the FTAs and those rules are politeness strategies. For that reason politeness strategies are developed for the main purpose dealing with FTAs, the four politeness strategies are: "Bald on Record", "Positive Politeness", "Negative Politeness" and "Off Record"

A politeness strategy is employed by the 'weightiness'. Brown and Levinson found the formula of weightiness equation for Face Threatening Acts (FTAs). Here, Brown and Levinson see a direct correlation between the amount of 'face work' speakers perform and particular social variables, thus weightiness is calculated by speakers from those social variables such as power difference (P) between speaker and hearer, the perceived social distance (D) between speaker and hearer, and ranking of imposition (Rx). 'P', 'D' and 'Rx' do not have any absolute value. Mainly a speaker values them according to the situation and culture subjectively. Thus, weightiness is calculated as follows.

$$Wx = D (S, H) + P (S, H) + Rx$$

The simple explanation about the formula is that weightiness can be seen from the degree of social distance (D) and social power (P) between the speaker (S) and the hearer (H) and also the degree of imposition (Rx).

The idea of politeness strategies is to imply the most appropriate speaker-addressee relationship. For example, if someone is asking for a salt, he would say to his friend, "Pass *me the salt, will you?*" On the contrary, if he asks to a person whom he did not know all that well, he would say *"Excuse me, would you mind if you pass me that salt?"* It is obvious that the degree of relationship has important part in expressing politeness strategies and if we do not see the relationship between the speakers and the person who addresses us as they do, the hearer will be upset by the strategies the speaker employs. For being polite, a speaker is attempting to create an implicated context that matches the one assumed by the addressee. In addition, there are some factors which influence someone in using or choosing politeness strategies and one of them is social factors. According to McArthur (1992) social factors are features of the social context, which influence

the behavior of language user. According to Peter Grundy, "Politeness strategies can be a way of encoding distance between speakers and their addressees and also can be said as one manifestation of the wider concept of etiquette, or appropriate behavior" Therefore, politeness strategies are strategies that are used to minimize or avoid the Face Threatening Act (FTA) that a speaker makes. There are four main strategies in Brown and Levinson's politeness strategies, they are positive politeness, negative politeness, bald on record and off record.

Among the four politeness strategies, the first to discuss here is the positive politeness. This strategy is usually used in groups of friends, or where people in the social situation know each other fairly well. It usually tries to minimize the distance between them by expressing friendliness and solid interest to the hearer's need to be appreciated (minimize the FTA). In addition, Positive Politeness is oriented toward the positive face of H, the positive self-image that he claims for himself. There are fifteen strategies in positive politeness, they are; Notice or attend to hearer's wants (his interests, wants, needs, goods), Exaggerate, Intensify interest to hearer, Use in-group as identity markers, Avoid disagreement, Presuppose/raise/assert common ground, Joke, Assert knowledge of hearer's wants, Offer/ promise, Be optimistic, Include both speaker and hearer in the activity, Give (or ask for) reasons, assume/assert reciprocity, and Give gifts to hearer (goods, sympathy, understanding, cooperation). For examples: in Strategy 1 that is Notice or attend to the hearer: "You look thirsty, how about a glass of water?" here, the speaker take notice of hearer's condition and therefore the speaker is offering something to satisfy the hearer's positive face. The other example is Strategy 6 of positive politeness, which is Avoiding disagreement: "I'm feeling kind of agree with your statement" In this situation, the speaker is showing that he appears to agree or hide his disagreement with the hearer's statement with his utterance "I'm feeling…"

According to Yule (1996; p.64), a positive politeness strategy, "leads the requester to inquire for a common goal, and even friendship". The tendency to use positive politeness form emphasizes closeness between speaker and hearer. It can be seen as a "solidarity strategy". Linguistically, this strategy can include personal

information, use of nicknames, and shared dialect or slang expressions. It is often signaled by inclusive terms such as "we" and "let's".

The second politeness strategy is negative politeness. It is like positive politeness, because this strategy also recognizes the hearer's face. However, the main focus for using this strategy is to assume that speaker may be imposing on the hearer and interfering on their space. For that reason, the use of this strategy might cause some social distance and awkwardness in the situation. Besides that this strategy also used to indicate that the speaker is aware and respect the social distance between him/her and the hearer. For negative politeness, there are ten strategies, they are; Be conventionally indirect, Question/ hedge, Be pessimistic, Minimize the imposition, Give deference, Apologize, Impersonalize S and H, State the imposition (FTA) as a general rule, Nominalize, and Go on record as incurring a debt, or as not indebting H.

Here are some examples of Negative politeness strategies; first is taken from Strategy 4, which is Minimizing the imposition, "I just want to ask you if I could use your computer" The use of "just" by the speaker is to minimize the FTAs toward the hearer's face. Next example is Strategy 6 (Apologize), "I'm terribly sorry to put you out, but…" Here, by asking apologize, the speaker shows his reluctance for impose hearer's face.

Yule (1996) says that the use of negative politeness form emphasizes the hearer's right to freedom. It is involved in what is called "formal politeness" and it is impersonal, as if nothing were shared. This strategy is oriented mainly to partially satisfying (redressing) hearer's negative face, its basic want to maintain claims of territory and self-determination. In other words, in this strategy no inference is required, oriented to the recipient's negative face (desire for autonomy). Address negative face in some way, primarily by lessening the imposition and/or providing options.

The other two politeness strategies have opposite meaning to each other. The first is Bald on Record, when using this strategy, the speaker provides no effort to reduce the impact of the FTA's. In this case, if the speaker used this strategy to close friends or family, there would not be any problems and no need to worry to hurt their feelings or embarrass them. On the contrary, if the speaker

does not know the person very well or not recognize them as friends, the speaker can shock the person to whom he / she is speaking to, embarrass them, or make them feel uncomfortable. Nonetheless, this type of strategy is commonly found with people who know each other very well, and also very comfortable in their environment, for instance close friends and family.

Besides that, there are different situations of bald-on-record strategies in different conditions, because S can have different motives for his want to do the FTA with maximum efficiency. They are cases of non-minimization of the face threat and cases of FTA oriented bald-on-record usage. First, cases of non-minimization of the face threat, in this strategy, speaker provides no effort to minimize threats to the hearer's face, for instance; "Fire! Fire!" The example shows that speaker does not care about hearer's face because it is used in case of emergency. The second strategy is cases of FTA oriented bald-on-record usage; this strategy is oriented to hearer's face and usually used in welcoming, farewells, and offers, example; "Come in", "Don't hesitate", "I'm not busy". The example can be implicated as an offer and invitation to the hearer in which feels reluctant so that the hearer will feel less reluctant because of the invitation.

The opposite of Bald on Record strategy is Off Record strategy, where the speaker is removing her/himself from any imposition at all. When he/she chooses to use this strategy, it means that he/she is trying to avoid the direct FTA towards the hearer. Off record has fifteen strategies, they are; Give Hints, Give association clues, Presuppose, Understate, Overstate, Use tautologies, Use contradictions, Be ironic, Use metaphors, Use rhetorical questions, Be ambiguous, Be vague, Overgeneralize, Displace H and Be incomplete, use ellipsis. Example from Off Record is Strategy 1 (Give hints), "I'm very tired" (I need a rest) It is obvious the speaker gives signs that he needs a rest. Next example is taken from Strategy 12 (Be vague), "Perhaps someone should have been more responsible" Here, the speaker is not directly point his finger to someone, instead he lets others to interpret the speaker's meaning.

According to Brown and Levinson (1987), a communicative act is done "off record", if it is done in such a way that it is not possible to attribute only one clear communicative intention to the act. He or she cannot be held to have

committed himself/herself to just one particular interpretation of his or her act. Thus if a speaker wants to do an FTA, but wants to avoid the responsibility for doing it, he can do it off record and leave it up to the hearer to decide how to interpret it.

Additionally, Off Record strategy is based on violating Grice's maxims: *a) quality maxim* (say what is true) - sarcastic irony (e.g., "That's brilliant", when it is not), metaphor (e.g., "My job is a jail"), rhetorical questions (e.g., "Did someone leave the light on?") *b) manner maxim* (be clear) result in the use of euphanisms and vagueness regarding the face-threatening act (e.g., "I wonder who forgot to do the dishes?") *c) quantity maxim* (be as informative as required) can result in understatement (e.g., "It's OK" as a less than positive response to another's new haircut) and overstatement ("The line in the grocery store was a mile long" as an excuse) *d) relation maxim* (be relevant) raising an issue can trigger a directive interpretation (e.g., "I'm thirsty" as a request for something to drink)

Politeness Strategies are social phenomenon that has been studied in various disciplines and across a wide range of languages and situations. Brown and Levinson's (1987) model of politeness has influenced almost all of the theoretical and analytical research in this field. Nowadays, for about more than fifteen years, politeness theories from Brown and Levinson have become one of the most important and productive areas of research in pragmatics and sociolinguistics. During those years, many theorists have criticized or studied Brown and Levinson's model of politeness more deeply, such as Culpeper (1996), Janet Holmes (1995), Gino Eelen (2001), Mao (1994) and Merrison.

Some of them have criticized Brown and Levinson's theory. Culpeper (1996) has criticized Brown and Levinson's model for being unable to analyze inference. Gino Eelen (2001) is very critical of the theoretical assumptions of the major politeness theories by Brown and Levinson. He is critical of them on number of counts, because of their reliance on Speech Act theory. According to Mao (1994), Brown and Levinson's model seems unable to analyze politeness beyond the level of the sentence.

In spite of the many theorists that have criticized Brown and Levinson's theory, there are some of them that study it more deeply, they are Holmes (1995)

and Merrison (1994). Holmes (1995), drawing on Brown and Levinson's work, argues that in general women are more polite than men. To conclude, Holmes asserts that women are more polite than men as they are more concerned with the affective rather than the referential aspects of utterances. Merrison, through his paper, investigates the role of face in task-oriented dialogue. Consequently, and comparable to Brown and Levinson's (1987) notion of *face-threatening act* (FTA), he introduces the term *transaction-threatening act* (TTA) that investigates the role of face in task-oriented dialogues between aphasic and non-aphasic individuals. He found that when engaged in talk with aphasic dialogue partners, non-impaired speakers sensitively manage potential FTAs and TTAs.

After discussing all of the Brown and Levinson's politeness strategies, the writer believes that politeness strategies can help the writer in his research. Furthermore, by understanding this strategy, it can minimize misunderstanding when we communicate with other people. Politeness strategies also provide solutions on how to deal with the FTAs, so that it would not hurt other people feelings.

2.2. Review of Related Studies

In this research, the writer uses three previous studies from other researchers to support his study so that the writer can use Brown and Levinson's Politeness Strategies appropriately.

2.2.1. Prasetya (1992)

Prasetya intended to know which politeness strategies are used by Blanche Dubois when conversing with the other two characters in the novel, such Eunice and Mitch. Afterward, he wanted to find out whether Blanche used the politeness strategies appropriately or not.

The finding of the research showed that Blanche used negative politeness the most and without positive politeness when conversing to Eunice. According to Prasetya, Blanche used negative politeness because she wanted to keep the distance between her and Eunice.

Prasetya thought the use of negative politeness to Eunice was inappropriate because Eunice indicated solidarity by applying positive politeness to Blanche. In addition, Blanche used positive politeness when speaking to Mitch; thus, the use of positive politeness can reduce the distance between them.

The writer used this study because the writer feels that his studies and Prasetya's studies is similar, that is using the written document as the research data and also use the same theory in their research that is Brown and Levinson's politeness strategies.

2.2.2. Dewi (2001)

In her research, Dewi wants to find out what politeness strategies are used by Mary and Ted in the movie "There's Something About Mary" and which politeness strategies is mostly used by Mary and Ted.

She concluded that there are similarities and differences in the use of politeness strategies between Mary and Ted in the movie. The similarities are, both of them, Mary and Ted apply all of the general politeness strategies. Furthermore, both of them use positive politeness as the most strategy to both male and female interlocutors.

The difference is on the rank order of the politeness strategies used by Mary and Ted to male interlocutors. When Mary speaks to male interlocutor, the rank of politeness strategies is positive politeness, bald-on-record, negative politeness, and off record. While Ted is positive politeness, negative politeness, off record, and bald-on-record.

It also shows that both, Mary and Ted, male and female characters in this movie, use the same number of occurrence of negative politeness strategy, which is 14 times to both male and female interlocutors. In addition, she found that woman tends to be more polite than man is not true.

The writer used this study because it has some similarities, they use TV media to analyze the data and also both use American movie. Also, they prefer to use movie rather than novel because in the movie we can see the expressions of the characters clearly, so it can be an additional help for the writer in analyzing the data.

2.2.3. Imperiani (2001)

In her study, Ernie wants to find out what politeness strategies are used by Cher and Fifi alone in each of TV series, which she had chosen and she also tried to find out which politeness strategies is mostly used. The purpose to do the research is because she wanted to know whether there are similarities or differences of politeness strategies between two different languages, considering the "slang" expression, which are used in Clueless TV series and "bahasa gaul" which are used in Lupus Milenia TV series.

She finds that politeness strategies used in English and Indonesia in these two TV series is the same that is positive politeness is used the most.

The writer uses this study because they use TV media to analyze the data and also use film, although the writer uses movie and Ernie uses TV series. The writers also use the same theory in their research, which is politeness strategies that proposed by Brown and Levinson (1987).

Furthermore, the writer also found that by knowing how to use politeness strategies appropriately, the writer can build and maintain good relationship with other people.

2.2.4. Srichampa (2000)

Sophana would like to identify how the Vietnamese use their politeness strategies in their daily life, which will investigate Vietnamese language and culture in terms of politeness strategies. The purpose of this study is to see the effect of the policy of *Doi Moi* (economic reform) and the openness of the country in terms of economy and society have affected politeness strategies of Vietnamese language in both linguistic and cultural aspects in their daily life. Because of the policy, there is only a small group of educated people who can speak English. Therefore, it is necessary for foreigners who want to have contact with the Vietnamese people to know its language and culture. However, to study one aspect is not enough for foreigners to know any specific country. Therefore, the study should be multidisciplinary.

In her research, the data collection and analysis were done by using questionnaires, observation, participation and interviews. The questions were intended to look into how the respondents used politeness for the senior, equal, and junior addressees. From the data, profession was the significant factor that distinguished the politeness strategies clearer than age and gender. Different levels of education did not affect the linguistic politeness

When greeting friends, females used more body language than males, such as smiling or nodding the head instead of merely greeting by words. It shows that the females tend to use polite words more than males.

Her finding proves that anyone who can use these politeness patterns when speaking to the Vietnamese people, including cultural etiquette, will be appreciated.

The writer uses this study because this study can give contribution to his research, since Sophana analyzes the spoken of Vietnamese and the writer analyzes the spoken from the film, both used text analysis for their research.