

CHAPTER II

REVIEW OF RELATED LITERATURE

This chapter reviews some related literatures dealing with pragmatics, politeness, and Face-Threatening Acts (FTA), strategies for doing FTAs and the previous study.

2.1 Pragmatics

According to Yule (1996, p.3), pragmatics is concerned with the study of meaning as communicated by the speaker and interpreted by the hearer. It has, consequently, more to do with the analysis of what people mean by their utterances than what the words or phrases in those utterances might mean by themselves.

According to Grundy (2000), pragmatics is about explaining how we produce and understand such everyday but apparently rather peculiar uses of language. In linguistics, people are demanded to understand not only the meaning of a language produced by a speaker but also understand deeper related to the use of language.

2.2 Politeness

According to Brown and Levinson (1978), politeness is viewed as the international, strategies behavior of the individual meant to satisfy self and other face wants in case of threat, enacted via positive and negative styles of redress. They

describe politeness as showing an awareness of other people's face wants that refers to the public self-image. Politeness concerns a relationship between two participants which are called by self and other (Leech, 1983). In this context, Leech mentions self as a speaker or addresser and other as a listener or addressee. Furthermore, politeness principle is part of interpersonal rhetoric which has been explained by Leech as an effective use of language in communication.

2.3 Face Threatening Act

According to Brown and Levinson (1978), FTA means an act that threatens either the positive or negative face of hearer. A negative face is the need to be independent and to have freedom from imposition. A positive face is the need to be connected, to belong, and to be a member of the group. Thus, a face-saving act that emphasizes a person's negative face will show concern about imposition. For example : *'I'm sorry to bother you.....'*; *'I know you're busy, but.....'* A face-saving act that emphasizes a person's positive face will show solidarity and drawn attention to a common goal. For example : *'Let's do this together...'*; *'You and I have the same problem, so....'*

2.3.1 Negative face-threatening act

Negative face is threatened when an individual does not avoid or intend to avoid the obstruction of their interlocutor's freedom of action. It can cause damage to either the speaker or the hearer, and makes one of the interlocutors submit their will

to the other. Freedom of choice and action are impeded when negative face is threatened.

Damage to the hearer

- An act that affirms or denies a future act of the hearer creates pressure on the hearer to either perform or not perform the act.

Examples: orders, requests, suggestions, advice, reminders, threats, or warnings.

- An act that expresses the speaker's sentiments of the hearer or the hearer's belongings.

Examples: compliments, expressions of envy or admiration, or expressions of strong negative emotion toward the hearer (e.g. hatred, anger, lust).

- An act that expresses some positive future act of the speaker toward the hearer. In doing so, pressure has been put on the hearer to accept or reject the act and possibly incur a debt.

Examples: offers, and promises.

Damage to the speaker

- An act that shows that the speaker is succumbing to the power of the hearer.
- Expressing thanks
- Accepting a thank you or apology
- Excuses
- Acceptance of offers

- A response to the hearer's violation of social etiquette
- The speaker commits himself to something he or she does not want to do

2.3.2 Positive face-threatening act

Positive face is threatened when the speaker or hearer does not care about their interactors' feelings, wants, or does not want what the other wants. Positive face threatening acts can also cause damage to the speaker or the hearer. When an individual is forced to be separated from others so that their well being is treated less importantly, positive face is threatened.

Damage to the hearer

- An act that expresses the speaker's negative assessment of the hearer's positive face or an element of his/her positive face. The speaker can display this disapproval in two ways. The first approach is for the speaker to directly or indirectly indicate that he dislikes some aspect of the hearer's possessions, desires, or personal attributes. The second approach is for the speaker to express disapproval by stating or implying that the hearer is wrong, irrational, or misguided.

Examples: expressions of disapproval (e.g. insults, accusations, complaints), contradictions, disagreements, or challenges.

- An act that expresses the speaker's indifference toward the addressee's positive face.

- The addressee might be embarrassed for or fear the speaker.

Examples: excessively emotional expressions.

- The speaker indicates that he doesn't have the same values or fears as the hearer

Examples: disrespect, mention of topics which are inappropriate in general or in the context.

- The speaker indicates that he is willing to disregard the emotional well being of the hearer.

Examples: belittling or boasting.

- The speaker increases the possibility that a face-threatening act will occur. This situation is created when a topic is brought up by the speaker that is a sensitive societal subject.

Examples: topics that relate to politics, race, religion.

- The speaker indicates that he is indifferent to the positive face wants of the hearer. This is most often expressed in obvious non-cooperative behavior.

Examples: interrupting, non-sequiturs.

- The speaker misidentifies the hearer in an offensive or embarrassing way. This may occur either accidentally or intentionally. Generally, this refers to the misuse of address terms in relation to status, gender, or age.

Example: Addressing a young woman as "ma'am" instead of "miss."

Damage to the speaker

- An act that shows that the speaker is in some sense wrong, and unable to control himself.
- Apologies: In this act, speaker is damaging his own face by admitting that he regrets one of his previous acts.
- Acceptance of a compliment
- Inability to control one's physical self
- Inability to control one's emotional self
- Self-humiliation
- Confessions

2.4 Politeness Strategies

Politeness strategies is a strategies that used to prevant a violation of hearer's face (minimize FTA). Strategies in performing FTA are used to formulate messages in order to save the hearer's face when face-threatening acts are inevitable or desired.

There are four diferent levels of politeness strategies that have the potential to gain the goal. Brown and Levinson (1978) outline four main types of the strategies: bald on-record, negative politeness, positive politeness, and off-record (indirect).

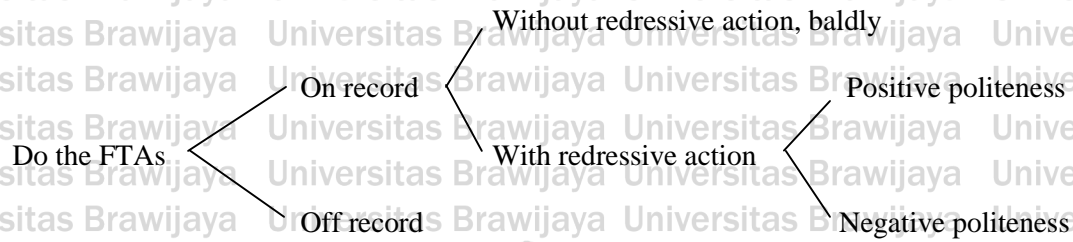


Figure 2.4 Strategies in performing FTA

2.4.1 Bald on record

Bald on-record strategies usually do not attempt to minimize the threat to the hearer's face, although there are ways that bald on-record politeness can be used in trying to minimize face-threatening acts implicitly. Often using such a strategy will shock or embarrass the addressee, and so this strategy is most often utilized in situations where the speaker has a close relationship with the audience, such as family or close friends. This strategy is a direct way of saying things, without any minimization to the imposition, in a direct, clear, unambiguous and concise way. For example, imperative form without any redress: *Wash your hands*.

1. Cases of non-minimalization of the face threat

Where maximum efficiency is very important, and this is mutually known to both S and H, no face redress is necessary. In cases of great urgency or desperation, redress would actually decrease the communicated urgency (Brown and Levinson 1978).

Examples: 1. *"Help!"* (compare the non-urgent *Please help me, if you would be so kind*).

2. "Watch out!"

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

This illustrates the way in which respect for face involves mutual orientation, so that each participant attempts to foresee what the other participant is attempting to foresee.

Examples: "*Come in, dont hesitate, I'm not busy.*"

2.4.2 Positive Politeness

Positive politeness strategies seek to minimize the threat to the hearer's positive face. They are used to make the hearer feel good about himself, his interests or possessions, and are most usually used in situations where the audience knows each other fairly well. In addition to hedging and attempts to avoid conflict, some strategies of positive politeness include statements of friendship, solidarity, compliments. This strategy is directed to the addressee's positive face, her/his perennial desire that her/his wants - or the actions, acquisitions, values resulting from them - should be thought of as desirable. For example, strategies seeking common ground or cooperation, such as in jokes or offers: '*Wash your hands, honey*'.

There are fifteen strategies in applying positive politeness in a conversation.

The strategies are grouped into three major classes: claim common ground, convey that S and H are cooperators, and fulfill H's want for some X.

1. Claim common ground

This is the first group of politeness strategies. Claim common ground indicates that S and H both belong to some set of persons who share specific wants, including goals and values. The strategies in this group are as follows:

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

This strategy suggests that S should take notice of aspects of H's condition (noticeable changes, remarkable possessions, anything which looks as though H would want S to notice and approve of it).

Example: *"Goodness, you cut your hair!..... by the way, I came here to borrow some flour."*

Strategy 2: Exaggerate (interest, approval, sympathy with H)

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

Example: *"What a fantastic garden you have!"*

Strategy 3: Intensify interest to H

Another way for S to communicate to H that he shares some of his wants is to intensify the interest of his own (S's) contributions to the conversation, by 'making a good story'.

Example: *"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..."*

Strategy 4: Use in-group identity markers

By using any of the innumerable ways to convey in-group membership, S can implicitly claim the common ground with H that is carried by that definition of the group. These include in-group usages of address forms, of language or dialect, of jargon or slang, and of ellipsis.

Example: *“Come here, kid”*

Strategy 5: Seek agreement

Another characteristic way of claiming common ground with H is to seek ways in which it is possible to agree with him. The raising of ‘safe topics’ allows S to stress his agreement with H and therefore to satisfy H’s desire to be ‘right’, or to be corroborated in his opinions.

Example: A: *“John went to London this weekend”*

B: *“To London.”*

Strategy 6: Avoid disagreement

The desire to agree or appear with H leads also to mechanism for pretending to agree.

Example: A: *“That’s where you live, Florida?”*

B: *“That’s where I was born.”*

Strategy 7: Presuppose/raise/assert common ground

The value of S’s spending time and effort on being with H, as a mark of friendship or interest in him, gives rise to the strategy of redressing an FTA by talking for a while about unrelated topics.

Example: *"I had a really hard time learning to drive, didn't I."*

Strategy 8: Joke

Since jokes are based on mutual shared background knowledge and values, jokes may be used to stress that shared background or those shared values.

Joking is a basic positive-politeness technique, for putting H 'at ease'.

Example: *"Ok if I tackle those cookies now?"*

2. Convey that S and H are cooperators.

The second major class of positive-politeness strategies derives from the want to convey that the speaker and the addressee are cooperatively involved in the relevant activity. If S and H are cooperating, then they share goals in some domain, and thus to convey that they are cooperators can serve to redress H's positive-face want.

Strategy 9: Assert or presuppose S's knowledge of and concern for H'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 own wants with them.

Example: *"Look, I know you want the car back by 5.0, so should I go to the town now?"*

Strategy 10: Offer, promise

In order to redress the potential threat of some FTAs, S may choose to stress his cooperation with H in another way. He may, that is, claim that (within a certain sphere of relevance) whatever H wants, S wants *for* him and will help to obtain. Offers and promises are the natural outcome of choosing this

strategy; even if they are false, they demonstrate S's good intentions in satisfying H's positive-face wants.

Example: *"I'll drop by sometime next week"*

Strategy 11: Be optimistic

S is presumptuous as to assume H will cooperate with him may carry a tacit commitment for S to cooperative with H as well, or at least a tacit claim that

H will cooperate with S because it will be in their mutual shared interest.

Example: *"Look, I'm sure you won't mind if I borrow your car tonight"*

Strategy 12: Include both S and H in the activity

By using an inclusive 'we' form, when S really means 'you' or 'me', he can call upon the cooperative assumptions and thereby redress FTAs.

Example: *"Let's go get some coffee."*

Strategy 13: Give (or ask for) reasons

Another aspect of including H in the activity is for S to give reasons as to why he wants what he wants.

Example: *"Why don't we go to the seashore!"*

Strategy 14: Assume or assert reciprocity

The existance of cooperation between S and H may also be claimed or urged by giving evidence of reciprocal rights or obligations obtaining between S and

H.

Example: *"I will lend you some money if you do the dishes."*

3. Fulfill H's want for some X

The last class of positive politeness strategy involves S deciding to redress H's face directly by fulfilling some of H's wants, thereby indicating that he (S) wants H's wants *for H*, in some particular respects.

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

This is the last strategy of positive politeness strategy. S may satisfy H's positive want (that S want H's wants, to some degree) by actually satisfying some of H's wants.

2.4.3 Negative politeness

Negative politeness strategies are oriented towards the hearer's negative face and emphasize avoidance of imposition on the hearer. These strategies presume that the speaker will be imposing on the listener and there is a higher potential for awkwardness or embarrassment than in bald on record strategies and positive politeness strategies. Negative face is the desire to remain autonomous so the speaker is more apt to include an out for the listener, through distancing styles like apologies.

The strategies here are grouped into 5 different classes as the following:

1. Be direct

Negative politeness joins both on-record delivery and redress of an FTA. Now the simplest way to construct an on-record message is to convey it directly, as in bald-on-record usages. However, it turns out that this clashes with the need for

redress attuned to H's negative face, so in fact one does not issue negatively polite FTAs completely directly.

Strategy : Be conventionally indirect

In this strategy a speaker is faced with opposing tensions: the desire to give H

an 'out' by being indirect, and the desire to go on record.

Example: *"Can you please pass the salt?"*

2. Don't presume, assume

The desire to be direct derives from the aspect of negative politeness that specifies on-record delivery of the FTA, all other negative-politeness strategies derive from the second specification that redress be given to H's negative face. such strategy can be given by carefully avoiding presuming or assuming that anything involved in the FTA is desired or believed by H.

Strategy 2: Question, hedge

In the literature, a 'hedge' is a particle, word, or phrase that modifies the degree of membership of a predicate or noun phrase in a set.

Example: *"I think that Harry is coming."*

3. Don't coerce H.

Another class of ways of redressing H's negative-face want is used when the proposed FTA involves predicating an act of H.

Strategy 3: Be pessimistic

This strategy gives redress to H's negative face by explicitly expressing doubt that the conditions for the appropriateness of S's speech act obtain.

Example: *“Could you close the window?”*

Strategy 4: Minimize the imposition, Rx.

One way of defusing the FTA is to indicate that Rx, the intrinsic seriousness of the imposition, is not in itself great, leaving only D and P as possible weighty factors.

Example: *“I just want to ask you if I can borrow a little paper.”*

Strategy 5: Give deference

There are two sides to the coin in the realization of deference: one in which S humbles and abases himself, and another one where S raises H (pays him positive face of a particular kind, namely that which satisfies H’s want to be treated as superior).

Example: *“Excuse me, sir, but would you mind if I close the window?”*

4. Communicate S’s want to not impinge on H.

One way to partially satisfy H’s negative face demands is to indicate that S is aware of them and taking them into account in his decision to communicate the FTA.

Strategy 6: Apologize

By apologizing for doing an FTA, the speaker can indicate his reluctance to impinge on H’s negative face and thereby partially redress that impingement.

Example: *“I hope this is not going to bother you too much, I …..”*

Strategy 7: Impersonalize S and H

One way of indicating that S does not want to impinge on H is to phrase the FTA as if the agent were other than S, or at least possibly not S or not S alone, and the addressee were other than H, or only inclusive of H.

Example: *"I tell you that it is so."*

Strategy 8: State the FTA as a general rule

One way of dissociating S and H from the particular imposition in the FTA, and hence a way of communicating that S does not want to impinge but is merely forced to by circumstances, is to state the FTA as an instance of some general social rule, regulation, or obligation.

Example: *"I am going to spray you with DDT to follow international regulations."*

Strategy 9: Nominalize

The degrees of negative politeness is formality which is associated with the noun end of the continuum.

Example: *"You performed well on the examinations and we were favourably impressed."*

5. Redress other wants of H's.

A final higher-order strategy of negative politeness consists in offering partial compensation for the face threat in the FTA by redressing some particular other wants of H's.

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

S can redress an FTA by explicitly claiming his indebtedness to H, or by disclaiming any indebtedness of H.

Example: *"I'd be eternally grateful if you would...."*

2.4.4 Off record

The final strategy outlined by Brown and Levinson (1978) is off record strategy. This strategy uses indirect language and removes the speaker from the potential to be imposing. For example, a speaker using the indirect strategy might merely say *'Wow, it's getting cold in here'* insinuating that it would be nice if the listener would get up and turn up the thermostat without directly asking the listener to do so. This strategy is the indirect strategy. It uses indirect language and removes the speaker from the potential to be imposing. For example, off-record strategies; which consist of all types of hints; metaphors; tautologies; etc.: *'Gardening makes your hands dirty'*.

There are two types of off record strategy which classify 15 strategies as presented in the following:

1. Invite conversational implicatures.

The basic way for the speaker to give hints is to invite conversational implicatures by violating, in some way, the Gricean Maxims of efficient communication.

Strategy 1: Give hints

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

Example: *"It's cold in here."*

Strategy 2: Give association clues

A related kind of implicature triggered by relevance violations is provided 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.

Example: *"Oh God, I've got a headache again."*

Strategy 3: Presuppose

A third set of clues to S's intent is related in a different way to the Relevance Maxim.

Example: *"I washed the car again today."*

Strategy 4: Understate

Undersatements are one way of generating implicatures by saying less than is required.

Example: *"It's pretty nice."*

Strategy 5: Overstate

Overstate is when S says more than is necessary, thus violating the Quantitative Maxim in another way, he may also convey implicatures.

Example: *"You never do the washing up."*

Strategy 6: Use tautologies

Another method of generating inferences by violations of the quantity maxim is to utter patent and necessary truths.

Example: “*Boys will be boys.*”

Strategy 7: Use contradiction

This strategy involves the violation of Quality Maxim. By stating two things that contradict each other.

Example: A: “*Are you upset about that?*”

B: “*Well, I’m and I’m not.*”

Strategy 8: Be ironic

By saying the opposite of what he means, S can indirectly convey his intended meaning.

Example: “*Lovely neighborhood, eh?*” (in a slum)

Strategy 10: Use rhetorical question

To ask a question with no intention of obtaining an answer is to break a sincerity condition on questions.

Example: “*What can I say?*”

2. Be vague or ambiguous: Violate the manner maxim

Rather than inviting a particular implicature, S may choose to go off record by being vague or ambiguous in such a way that his communicated intent remains ill-defined.

Strategy 11: Be ambiguous

Proposeful ambiguity may be achieved through metaphor, since it is not always clear exactly which of the connotations of a metaphor are intended to be invoked.

Example: *“John’s a pretty smooth cookie.”*

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.

Example: *“Perhaps someone did something naughty.”*

Strategy 13: Over-generalize

The use of proverbs, although their implicature may be conventionalized to the extent of being on record, may leave the object of the FTA vaguely off record.

Example: *“People who live in glass houses shouldn’t throw stones.”*

Strategy 14: Displace

S may go off record as to who the target for his FTA is, or he may pretend to address the FTA to someone whom it wouldn’t threaten, and hope that the real target will see that the FTA is aimed at him.

Example: *“Pass the stapler please.” (this is the conditions when there is her professor where he is closer than her mate, but she asked her mate to pass the stapler.*

Strategy 15: Be incomplete, use ellipsis

Elliptical utterances are legitimated by various conversational contexts.

Example: "Well, I didn't see you....."

2.5 Previous Studies

In this study, the writer reviewed other studies to broaden her knowledge and to get another perspective to do this research. The writer wanted to know the FTA and the types of politeness strategies performed by Holmes in the conversation in Sherlock Holmes, "A Game of Shadow" movie. There are two previous studies that the writer used. The first study is Karina's study (2011) entitled *Politeness Strategies used by Albert and Lionel in the Movie 'The King's Speech'*. This is a study that looked for types and most frequently used politeness strategies between Albert and Lionel. The finding of Karina's study were 46 utterances of politeness strategies by Albert and 25 utterances of politeness strategies by Lionel.

The second is the study of Wulan (2010) entitled *Politeness Strategies used by Main Character of Elizabeth The Golden Age Movie*. The problems of Wulan's study are the utterances included politeness strategies, and the most frequently politeness strategies and factor that influenced politeness strategies of Elizabeth. She found 119 utterances of politeness strategies, bald record as the most frequent politeness strategies and 3 factors that influenced politeness strategies that are urgent strategies; danger of hearer is small and speaker is the superior to hearer. Both of the previous study used the theory of Brown and Levinson (1978) about the politeness strategie.

In this study, the writer used the theory of Brown and Levinson (1978) which is similar to those two previous studies. The data of this study were taken from Sherlock Holmes, "A Game of Shadow" movie similar to the data from the two previous studies which were also in the form of conversations in movies. The differences between this present study and the previous studies are the writer discussed more complete problems of the study. As explained before, Karina's study (2012) looked for the types and the most frequently used politeness strategies between Albert and Lionel; the problems of Wulan's study (2010) were the utterances included politeness strategies, and the most frequently politeness strategies and the factor that influence politeness strategies of Elizabeth. Meanwhile, the problems of this present' study are the face-threatening acts and the types of politeness strategies performed by the main character in the conversation in Sherlock Holmes, "A Game of Shadow" movie.