

CHAPTER II

REVIEW OF RELATED LITERATURE

This chapter discusses the review of literature related to the study. The review of literature includes discourse, discourse analysis, politeness theory, Brown and Levinson's politeness strategies, and sentence types.

A. Discourse

A discourse is a "dance" that exists in the abstract as a coordinated pattern of words, deeds, values, beliefs, symbols, tools, objects, times, and places and in the here and now as a performance that is recognizable as just such a coordination.¹² Discourse can also be used to refer to particular context of language use, and in this sense. It becomes similar to concept like genre or text type. For example, we can conceptualize political discourse (the sort of language used in political contexts) or media discourse (language in media). In addition, some writers have conceived of discourse as related to particular topics, such as an environmental discourse colonial discourse (which may occur in many different genres). Such labels sometimes suggest a particular attitude towards a topic (e.g. people engaging in environmental discourse would generally be expected to be concerned with protecting the environment rather than wasting resources).¹³ Related to this, Foucault (1972:49) defines discourse more

¹² James Paul Gee, *An Introduction to Discourse Analysis Theory and Method*, (New York: Routledge: 2001), 19

¹³ Paul Baker and Sibonle Ellece, *Key Terms in Discourse Analysis*, (New York: Continuum International Publishing Group: 2011),31

ideologically as 'practices which systematically form the objects of which they speak'. Burr (1995:48) expands on Foucault's definition as

A set of meanings, metaphors, representations, images, stories, statements and so on that in some way together produce a particular version of events... surrounding any one object, event, person etc, there may be a variety of different discourses, each with a different story to tell about the world, a different way of representing it to the world.

Related to explanation above, people have to consider the words and the way that they used in speaking based on the event, the object, and the person. Besides, people have to consider the language used in their communication. The study about how human use language to communicate called discourse analysis.

B. Discourse analysis

The term discourse analysis was first introduced by Zellig Harris 1952 as a way of analyzing connected speech and writing.¹⁴ Discourse analysis focuses on knowledge about language beyond the word, clause, phrase and sentence that is needed for successful communication. It looks at patterns of language across texts and considers the relationship between language and the social and cultural contexts in which it is used. Discourse analysis also considers the ways that the use of language presents different views of the world and different understandings. It examines how the use language is influenced by relationships between participants as well as the effects the use of language has upon social identities and relations. It also considers how views of the world and identities, are constructed through the use of discourse. Discourse analysis examines both spoken and written texts.

¹⁴ Ibid,8

According to Gillian Brown and George Yule, discourse analysis refers to how humans use language to communicate and, in particular, how addressers construct linguistic messages for addressees and how addressees work on linguistic messages in order to interpret them.¹⁵ While James Paul Gee argued discourse analysis as the analysis of spoken and written language as it is used to enact social and cultural perspectives and identities.¹⁶ Therefore, it is concerned to how people use language in communication. Beside that when people communicate with others, they use polite utterance in order to show awareness of another person's face (self-respect). In other words, they use politeness.

C. Politeness theory

The knowledge of politeness is important in classroom teaching of English language. Moreover politeness can have instrumental role in the social interaction. Politeness strategies used by teacher and students in the class can play an important role in learning and teaching process.

An important source of inspiration in the study of politeness phenomena is the work done by Erving Goffman (1965). This social psychologist introduced the concept of face. Face has the meaning as in saying "to lose face". Face is used in much the same way as in the expression to lose face and to save face, meaning like "self-respect" or 'dignity'. Goffman calls the need to be appreciated "positive face" and the need to not be disturbed "negative face". In other words, positive face can be defined as the desire to be appreciated and approved of by selected

¹⁵ Brown, Gillian and George Yule, *Discourse Analysis*, (New York: Cambridge University Press, 1983), ix

¹⁶ *Ibid*, ii

others. While negative face is people want to be unimpeded and free from imposition.

Goffman wanted social interaction, which includes verbal communication, to be studied from the perspective that participants are striving for stability in their relationships with others. When an act of verbal or non-verbal communication "runs contrary to the face wants of the addressee and/ or the speaker", this is called "face-threatening acts (FTAS). Participants in conversations should, therefore, not violate one another's face. In the case of these "face threatening acts" (FTAS), something is needed which will reduce the violation of face to a minimum and so, preserve stability as much as possible. This can be achieved by using "face work technique". Examples are broad circumspect formulations of refusals, which make it clear that the request made is impossible to grant.

Politeness prevents or repairs the damage caused by FTAS. The greater the threat to stability, the more politeness face work technique is necessary. Just as there are two types of face, there are two types of politeness. Face work that is aimed at positive face is called "solidarity politeness". This kind of politeness is for example achieved by giving compliment. Face work that deals with negative face is known as "respect politeness", and can be achieved by not infringing another's "domain" in the communication.

D. Brown and Levinson's Politeness Strategies

The basic concept adopted in this thesis is politeness developed by Brown & Levinson (1978). They assume that each participant is endowed with what they call face, which is developed into negative face and positive face. One's negative face includes claims to territories, to freedom of action and freedom from imposition. One's positive face involves the needs for social approval, or they want to be considered desirable by at least some others. It is based on presumption that, as part of a strategy for maintaining their own face, the mutual interest of participants in a conversation is to maintain their face from others.

Speech act can be categorized as polite if the speech: (a) does not contain any speakers' coercion or vanity, (b) gives the option to the speaker to do something, (c) provides comfort and is friendly to the hearer.¹⁷ It can be summarized that politeness is the use of an appropriate word or phrase in the appropriate context, which is determined by the rules that are prevalent in society. In social interaction, to maintain politeness is to maintain harmonious and smooth social interaction, and avoid the use of speech acts that are potentially face-threatening or damaging. The principle is based on the use of politeness intimacy, closeness, and relationships, as well as the social distance between the speaker and the hearer. People choose and implement certain values in certain pragmatic scale, according to the culture and conditions of the existing situation in social interaction.

¹⁷Lakoff Bachman, *Fundamental considerations in language testing*. (Oxford University Press:1990), 44-45

The concept of politeness strategies developed by Brown and Levinson (1978) is adapted from the notion of "face" introduced by a sociologist named Erving Goffman. Face is a picture of self-image in the social attributes. In other words, the face could mean honor, self-esteem, and public self-image. According to Goffman (1965), each participant has two needs in every social process: namely the need to be appreciated and need to be free (not bothered). The first need is called positive face, while the latter is negative face.

Face Threatening Act (FTA) intensity is expressed by weight (W), which includes three social parameters – first, the degree of disturbance or rate of imposition (R), in terms of absolute weight of a particular action in a particular culture. For example, the request "May I borrow your car?" has different weights from the request "May I borrow your pen?" The second and third social parameters include the social distance (D) between the speaker and the hearer, and authority or power (P) owned by interlocutors.¹⁸ For more explanation about three social parameters as follow:

➤ **Rate**

Rate refers to how much the FTA would impose on the hearer. For example; there is a person wants to borrow your motorcycle and another person wants to borrow your pencil. Borrowing a motorcycle and a pencil are different because you will be easier in borrowing the pencil to your friends than motorcycle.

¹⁸ Ibid,14

➤ **Distance**

Distance refers to the degree of social familiarity of the two people. Familiars usually are more casual and more polite with each other.¹⁹ Less distance may occur between lecturer and students because the lecturer tries to make the students feel comfortable in teaching process.

➤ **Power**

Power refers to the ranking, status or social station of the two people. Another word power here is asymmetric relationship between speaker and hearer. For example when people talk to her/his friends, the power will be different if the people talk to president or someone who has the high rank or status.

FTA threatens the stability of the intensity of communication; politeness in this case can be understood as an effort to prevent and or repair damage(s) caused by the FTA. The greater the threat to stability, the more politeness, face work technique, is necessary. Face work which aims at positive face is called 'solidarity politeness', while face work that deals with negative face is known as 'respect politeness'.²⁰ In connection with this strategy politeness, Brown and Levinson (1978) show that there are five ways to avoid the FTA. Brown and Levinson's politeness theory (1978) classifies five strategies:

¹⁹ Jo Roberts, "Face-Threatening Acts and Politeness Theory: Contrasting Speeches from Supervisory Conferences", *Journal of Curriculum and Supervision*, 7 (1992), 288

²⁰ *Ibid*, 13

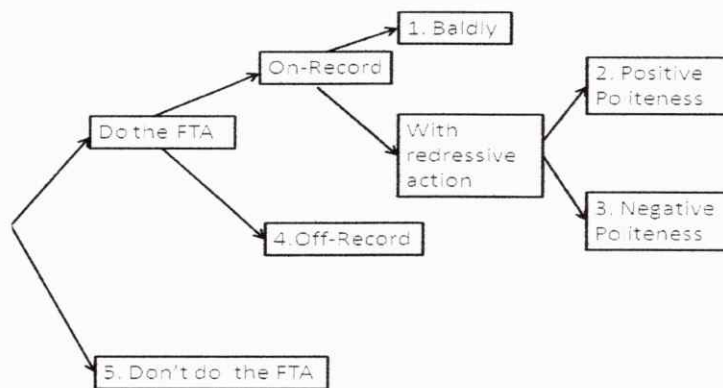


Figure 1. Brown and Levinson's Politeness Strategies (1978)

1. Bald on-record strategy

This strategy is normally used by a speaker whose relationship with the addressee is quite close. An example is a direct request expressed by a mother to her daughter: "Do the dishes. It's your turn."

2. Positive politeness

This strategy is commonly used in situations where the interlocutors know each other fairly well. An example of positive politeness strategy is a request such as "I know you've been really busy lately, but could you type this letter for me?"

3. Negative politeness

This strategy presumes that the addressee's negative face is potentially threatened if the speaker does not show respect to the addressee. By uttering a direct request such as "I need \$50" the possibility is that the speaker may not get what he wants if his/her addressee's negative face is uncomfortable. However, by using a negative politeness strategy such as "If it is possible, I

would like to borrow \$50 from you. I need some money to purchase an important book” it is more likely that the speaker will achieve his/her goal because he/she gives more freedom of choice to the addressee.

4. Off-record

This strategy uses indirect language and removes the speaker from imposing his/her will on the addressee. For example, by saying “It’s getting hot in here” the speaker may suggest that the addressee would open the windows or turn on the air conditioning without directly asking him/her to do so.

5. Don’t do the FTA

Do not do speech act or say anything.

Each of politeness strategies has different purpose, for example when we do bald on record in interaction with other people the purpose is the speaker want to make the hearer easier in understanding about the utterances of the speaker. When people do positive politeness, the purpose is to minimize the hearer’s positive face. But it will be different if we categories it based on the effectiveness in interaction. Bald on record is more effective than positive politeness. Then, positive politeness is more effective than negative politeness. For ineffective strategy in interaction is off the record.

E. Sentence Types

Sentences can be classified into two categories; the first is based on their grammatical function and the second is based on their function in communication.²¹

1. Sentences and their grammatical form

This classification comprises four types: declarative, interrogative, imperative, and exclamatory sentences.

1). Declarative sentences

Declarative sentences always have a subject, which precedes the verb.

Examples:

- Paris is the capital of France.
- This passage illustrates his sense of humor.

2). Interrogative sentences

Interrogative sentences contain a subject and open with an auxiliary verb or a *WH*-word. Examples:

- Does your mother know about this?
- Who wrote this letter?

The first example is of so-called yes/no questions that are questions requiring *yes* or *no* for an answer. The second example exemplifies *WH*-questions, which require a piece of information for an answer.

²¹ Flor Aarts and Jan Aarts, *English Syntactic Structures*, (Oxford: Pergamon Press, 1981), 94

A second type of *yes/no* question is the so-called tag-question, which consists of a statement with question appended to it, as in:

- John should work harder, shouldn't he?
- She could not have finished her essay, could she?

3). Imperative sentences

Imperative sentences contain a verb in the imperative mood. If a subject is present it is usually *you*, but as a rule the subject is lacking. Examples:

- You go in first
- Shut that door at once

4). Exclamatory sentences

In exclamatory sentences the subject precedes the verb. They are introduced by phrases opening with the words *how* or *what*. Examples:

- How beautiful she is!
- What a crashing bore he is!

2. Sentences and their function in communication

The four sentences (declarative, interrogative, imperative, and exclamatory) may be said to be primarily associated with one particular function in speech situations. Declarative sentences are chiefly used to make statements, interrogative sentences to ask questions, imperative sentences to give commands and exclamatory sentences to make exclamations (see Table 2.1).

Table 2.1
One-to-one correspondence (grammatical and its function)

Grammatical form	Function in communication	Examples
Declarative	Statement	John lives in Kent
Interrogative	Question	Where were you born
Imperative	Command	Get up!
Exclamatory	Exclamation	What a beautiful she is!

It is important to note, however that there is no one-to-one correspondence between the grammatical form of a sentence and its function in communication (what is called its illocutionary force). This means that sentence with the same grammatical properties need not have the same illocutionary force and, conversely, that grammatically different sentences can have the same illocutionary force. Below are the examples:

1). Declarative sentence

- Statement : I will be 40 next year.
- Command: you will leave this room at once.
- Request : I would love a martini
- Warning : that plate is very hot.

2). Interrogative sentence

- Question : who is the president of United States?
- Request : can you sing us a song?
- Exclamation : isn't that wonderful?
- Command : what are you laughing at?

3). Imperative sentence

- Command : shut up!
- Wish : have a nice time!
- Invitation : come and see you next week!
- Warning : mind your head!

4). Exclamatory sentence

- Exclamation : what disappointment that book is!
- Request : what lovely chocolate these are! (can I have another one?)