

CHAPTER II REVIEW OF RELATED LITERATURE AND THEORETICAL FRAMEWORK

2.1 Pragmatics

In a conversation, an utterance could be more than just meaning because there is an intention. Pragmatics then exists as a study of conversational utterances in which the meaning is determined by the intention or the language use. Birner (2013) defined it as the research of language use in context that might be contrast with the literal meaning of the utterances. It is possible to conclude that Pragmatics concerns inferential meaning, not literal, and it depends heavily on the context, and/or nontruth-conditional. That is to say, Pragmatics is the opposite of Semantics in terms of where to look and determine the meaning (Cruse, 2000).

Besides, the pragmatics is not only concerned with the contextual meaning, but it also concerned with how the hearer interprets the speaker's meaning. As stated by Griffiths (2006), understanding how to interpret and produce statements that can be understood while taking context and prior information into consideration can be defined as the study of pragmatics. Then, it is often necessary to utilize and pragmatically interpret deictic words which is meanings connected to the context of utterance, to refer to and interpret other people's acts of reference. It also supported by Yule (1996), that explained the meaning of pragmatics can be defined as the research of how a speaker and a listener perceive meaning. Therefore, it is rather than focusing on what the words or sentences in those utterances could mean on their own, it is more concerned with analyzing what speakers intend by what they say.

Pragmatics expands beyond mere utterances in conversation. It expands beyond the word and the grammatical meaning by including the information from the participant relationships and the context-specific information to which they contribute to as the context of the utterances (Holmes, 2013). But, from the explanation, it would limit pragmatics to the study of certain linguistic structural aspects that would limit pragmatics to the study of grammatically meaningless aspects of language usage. Furthermore, there are other topics under which pragmatics can be studied. One of the topics in pragmatics is used as a way of showing face awareness of others called the politeness.

2.1.1 Speech Act

Speech act is a subfield of pragmatics that studies how words are used not only to present information but also to carry out actions. Sometimes, when people utter an utterance, it is not always to describe something. Instead, by uttering utterances, they actually do something. According to Yule (1996) stated that speech acts are a study of how the speakers and hearers use language. And also, Austin (1962) stated that speech act as the actions performed is saying something. Based on statement above, the researcher can conclude that speech act defined in terms of the speaker's intention and the effect it has on the hearer. In essence, this is the behavior the speakers are trying to elicit in the hearer.

2.1.2 Politeness

One of the cases covered in pragmatics is politeness, which is utilized to show awareness for others person's face while doing an interaction. Yule (1996), explained the word 'face' that stated in the previous sentence is referred to a

person's outward expression of their emotional and social identity, which all people possess and expect other people to be able to recognize. Particularly in terms of relationships, a person's face is a component of their self-image and every person has two faces. According to Birner (2013), those faces are a positive face that expresses their need for social contact and unity with others and a negative face that expresses their desire for independence, respect, and, in essence, for solitude. Then, the awareness may be referred to the recognition and verbal acknowledgement of even more subtle risks to one's public self-image which is part of being polite (Birner, 2013). The words respect or deference are frequently used to describe the act of paying awareness to the face of someone who appears socially distant. Thus, Showing the same awareness when another person is near to others socially is sometimes referred to as being friendly or being in unity (Yule, 1996).

Then, in a conversation, the existence of politeness is suggested to use. It may be necessary to communicate demeaning information, where the goal of politeness is to maintain cordial and easygoing social relationships (Cruse, 2000). Therefore, from the statement in can be concluded that everyone has to be aware of when to engage in polite conversation and converse with others. Then, politeness is used to show respect for others. It is to express concern and minimize threat that would harm their image in the public (Levinson, 1983). Furthermore, in politeness there is a manner in which people convey their words' hidden meanings, and how they might learn about a person's background or culture by utilizing polite language called politeness strategies.

People use several strategies to build and sustain relationships with others in a community, and politeness strategies are one of them. It is to avoid or minimize the potential for conflict and confrontation (Lakoff, 1990). A politeness strategy is the best or most effective strategy to prevent listeners or listeners from feeling shame and uncomfortable in conversation and is frequently employed to protect the speaker's face. Where according to Brown and Levinson (as cited in Hartati, 2020), certain types of actions, namely those that are inherently opposed to the hearer's face desires, pose a danger to face. Therefore, with the politeness strategies, people tend to have excellent manners or to be polite in order to have a positive self-perception, and by being nice, they may arrange their words correctly.

There are basically 4 common politeness strategies that the speaker consistently uses. These are positive politeness, negative politeness, bald-on-record, and off-record (Brown & Levinson, 1987). The first strategy, bald-on-record, gives the speakers no options to reduce the FTA and leaving them in a responsible position. The second strategies, positive politeness, permits the speaker to fulfill many of the hearer's enduring wishes. The next strategy is off-record. Here, the speaker avoids taking any responsibility while also preventing the speaker from really forcing the FTA on the hearer since the hearer must choose to perceive the statement as an FTA rather than as some other less important comment. The last strategy is negative politeness. It permits the speaker to maintain satisfaction or respect in the hearer's desire to be left alone by showing unwillingness to interfere and implying it. However, this research focuses on the

negative politeness strategies, a theory by Brown & Levinson (1987).

2.1.2.1 Negative Politeness Strategies

This is a strategy that recognizes an individual priority of freedom and privacy in social interactions. Often, this strategy is referred as respect politeness. Brown & Levinson (1987) viewed this strategy as a recognition of the hearer's rights to not be bothered, restricted, impeded, or distracted. Then, a negative politeness strategy focuses mostly on the possibility that the speaker should not annoy or offend the hearer in order to save their negative public self-image or face. Negative politeness strategies are often associated and defined by self-effacement, formality, and constraint, focusing on severely constrained parts of the hearer's self-image, and focused on the hearer's desire to be uncontrolled. Besides, the negative politeness strategies have ten types of strategies and two important factors determining the choice of the strategy.

2.1.2.1.1 Types of Negative Politeness Strategies

Negative politeness strategies have a purpose to decrease or minimize the degree of imposition in order to avoid Face Threatening Act (FTA). The strategy is an act of correction so as not to threaten the recipient's negative face. This is because the recipient has the freedom of action and attention that is not to be restricted. This could be done by minimizing or decreasing the chance of facing threats from listeners by using negative politeness. There are ten negative politeness strategies, namely: be conventionally indirect, question and hedge, be pessimistic, minimizing imposition, be apologetic, giving deference, impersonalizing the speaker and hearer, using a general rule, nominalization, and

go on record as incurring a debt, or as not indebting the hearer.

a. Be Conventionally Indirect

Being indirect is the compromise between the desire to record and the want to provide the listener an “out” by using expressions and words that have an unambiguous contextual meaning that differs from their literal meaning. Conventional indirectness reveals a clash of desires that is later partially accepted by each participant (Brown & Levinson 1987). One of the examples could be seen in a study by Makasiahe & Suryani (2020). They conducted a pragmatic study of negative politeness strategies and conventional indirectness could be seen the first data. “**The university called again**” said Aunt Cass indirectly to Hiro. The context shows that Hiro lived with his aunt, Cass. Her brother, Tadashi, had passed away and since then, Hiro felt lonely. When Aunt Cass said the utterance, she intended to politely ask Hiro to continue his college in order to move on from his sadness and loneliness. Instead of being direct, Aunt Cass told him in indirect manner in order to minimize the imposition given to Hiro. In other words, being conventionally indirect give Hiro a freedom to consider the option.

b. Question and Hedge

Giving question allows the speaker to keep the interlocutor's a freedom to choose and act as a response to the request. Besides, it could help preventing arguments arose between the speaker and the hearer. Another expression to do this is hedge. Brown & Levinson (1987) defined it as grammatical elements that is able to modify the degree of membership in a set. This means that hedge modifies the expression so as not to appear strong, threatening or even imposing to the

hearer. The hedge adds a possibility, or assumption, or estimate or expectation whenever the speaker requested something that is expected by the hearer to do. The speaker could use words such as “maybe”, “perhaps”, “probably”, or even “I think” in order to minimize any imposition that would threaten their negative face. One of the examples of question and hedge strategy could be seen in a pragmatic thesis by Rahmaniar (2016) on *The Fault in Our Stars* movie. In datum 44, Augustus said, “**May I see you again?**” This indicates how Augustus used a hedge word “**May**” to ask Hazel whether she might want to see him again. In order to minimize the imposition so as not to sound judgmental, Augustus tried to sound hesitant or in a nervous manner.

c. Be Pessimistic

The speaker is perceived polite when they appear to be pessimistic in their utterance. Making a request or statement is one example of being pessimistic. This could be done by openly expressing concerns on the appropriateness of the speaker's request. The examples of being pessimistic strategy could be seen below:

- a. Could you do X?**
- b. Would you do X?**
- c. Might you do X? (Brown & Levinson, 1987)**

Here, the speaker used “could, would, might” when asking the hearer. These words help to not impose the action to be done by the hearer. These words create an impression to the hearer that the speaker recognizes that the hearer would probably not do X action. As a result, the speaker is perceived polite by being pessimistic to the hearer.

d. Minimize Imposition

As a politeness strategy, minimizing imposition has the potential in minimizing the serious mood impacted by the Face Threatening Act (FTA) to the hearers. This strategy creates a light mood in conversation because of how minimal the imposition is. It is minimal to the extent that it should not be taken that serious. Brown & Levinson (1987) stated that generally, words such as "just" and "a bit" are used to relieve the weight of the burden in the hearers. Below is the example of minimizing imposition strategy:

“I **just** want to ask you if I can borrow a tiny bit of paper.” (Brown & Levinson, 1987, p. 177)

This utterance suggests the meaning of “just” as “exactly” or “only” in its literal sense. As a result, the speaker is aware of the speech partner's negative face and avoids imposing force on the speech partner.

e. Be Apologetic

In this strategy, the speaker apologizes to the listener for engaging in a Face Threatening Action (FTA). The strategy allows the speaker to express their reluctance while maintaining negative face of the hearer. This could be done by partially reversing the impingement. There are four ways to convey regret: by admitting the mistake, by providing compelling reasons, by showing hesitation, and by begging for pardon. Below is the example of be apologetic strategy by using the word “sorry” to apologize:

Mr. Han: “Stop saying “ass”!”
Dre : “**Sorry.**” (Julius & Ambalegin, 2021)

f. Give Deference

This strategy uses deference in order to maintain respect in the hearer. Brown & Levinson (1987) stated that giving deference refers to expressing affirmations to the hearer. This is done by humbling the speaker level against the hearer. This strategy creates an impression that the hearer feels valued and honored. The speaker could use praises by diminishing their self-interest and making the hearer seems more important than the speaker. This expression could be manifested in apologies or honorifics. One of the examples of give deference strategy could be seen below:

“We look forward very much to **dining** with you”. (Brown & Levinson, 1987, p. 81)

Here, the word "dining" acts as an honorific referent that could give respect to the hearer. Because of that, it made the hearer as a better person.

g. Impersonalizing Speaker and Hearer

This strategy avoids the speaker from speaking to the target in a way that seems like the speaker is to another person or conveying a general message. The speaker avoids using the pronouns “I” and “you” by using "we", “it seems”, “it will,” (Brown & Levinson, 1987). By employing this strategy, the speaker is assuming that the partner in conversation would comprehend the meaning of their utterance. Below is the example of impersonalizing speaker and hearer strategy:

Speaker : “That Mazda has been parked in a no-parking area for
hours.”
Hearer : “**It’s mine, officer.**” (Julius & Ambalegin, 2021)

h. Using a general rule

This strategy intends to avoid imposition that would result in Face Threatening Act (FTA) by being general instead of specific in naming or mentioning something. In other words, the speaker simply refers to something in general. Below is the example of using a general rule:

Speaker: “**Some of you** are walking out because you have already finished your work for today. **People** do not find it easy to remain in the chamber.” (Njuki & Ireri, 2021)

Here, the speaker used the word "people" and the phrase "some of you" as a general rule. This is to create a social distance in order to avoid Face Threatening Act (FTA) to happen directly to the hearer. This strategy tries to stay away from addressing the target addressee by name. Besides, he was speaking to the MPs who were departing as the session was still going on. This strategy saved their negative face by avoiding mentioning the target's name. Thus, the point of general rule is used to apply this to everyone in present instead of being specific to whom the speaker wants to address.

i. Nominalization

This strategy saves the hearer's face by converting words or phrases in the utterance. In the book, Brown & Levinson (1987) explained how an utterance could appear formal by nominalizing verbs or adjectives in the subject or predicate or even complement. This means that the strategy removes the speaker/the hearer (subject) from their action (predicate) or attributes (complement) so as to appear indirect. One could identify nominalization by looking at nouns derived from active verbs or adjectives in either structure of the

utterance. The example could be seen below.

“An urgent request is made for your cooperation.” (Brown & Levinson 1987)

j. Go on Record as Incurring a Debt, or as not indebting the Hearer

This strategy avoids imposition by telling the hearers about how much the speakers are indebted to them. In Brown & Levinson (1987) explanation, face threatening act (FTA) could be avoided if the speakers explicitly claim or disclaim their indebtedness to the hearers. In other words, when requesting for help, it would sound more respectful if the speakers ask and tell the hearers that the speaker owe gratitude and thankfulness for the help given by the hearers. This also applies to offering help. The hearers’ face is saved if the speakers tell them that the hearers would not owe the speakers anything, or that the hearers would not be a trouble or a burden to the speaker. The utterance below could provide a clear example from this.

“Dear
I am planning to submit the attached paper to Q1/Q2 journals.
I’d be very grateful for your comments and advice before I send it.
Thanks” (Alsout & Khedri, 2019)

The speaker made an article send to the hearer which is the speaker don’t make a question statement just imperative sentence to avoid questions from listeners and avoid debates between speaker and hearers.

From the statement above it can be concluded that the types stated by Brown & Levinson (1987), can create good conversations when we are able to choose conversations that are good for the listener even in negative circumstances without having to lower the listener's self-esteem.

2.1.2.1.2 Factors Influencing Negative Politeness Strategies

When choosing a proper strategy, the speaker is motivated by certain factors. They would consider the payoff and the circumstances of the conversation (Brown & Levinson, 1987). The speaker would consider whether they would get the payoff or the advantages after using a particular strategy. On the other hand, the speaker might want to look the circumstances that would influence the choice of strategy. The speaker might consider the power relation, social distance, and imposition.

a. Payoffs

Payoff factor is the speaker consideration of an advantage that would be gained from doing the strategy. The speaker could get an advantage from using negative politeness in four ways. First, the speaker could pay an honor and show the humbleness from the deference act. Second, the speaker avoids owing them in the future. Third, the speaker could maintain social distance between them. Lastly, get closer to your listeners to avoid threats. Below is an example of the payoff factor.

A: "Then why would you help him?"

P: "**Why would you be absolutely inconsiderate of another human being especially whenever you have to be much younger than him?**" (Suyono & Andriyanti, 2021)

From the dialogue above, it could be seen that a staff made a comment about an elderly man paying with coins for his groceries. Then, participant helped the man and confronted the staff. By employing this strategy, the speaker was able to make it clear that the speaker disapproved of the staff members conduct while

simultaneously preventing him from carrying them out further. In addition, he managed to save face of the elderly man and take him far from shame.

b. Circumstances

Circumstance factor is the second factor determining the choice of negative politeness strategies, which is further divided in three subcategories: relative, social distance, and imposition. The following is detailed description of the three subcategories of the circumstances factor.

1) *Relative of Power*

Power is about the amount of having the authority over someone or something. Typically, when speaking to someone who has greater power, someone with less status would use formal language and unkind manners. One of the examples of relative power factor could be seen below:

A: “Hey, how you doing? – I don’t know, I don’t know what you’re trying to say. Man, I don’t have time for this.”

P: “**Could you show a little more sensitivity?**” (Suyono & Andriyanti, 2021)

Here, it could be seen that the participant is a restaurant customer who bravely interrupted the waiter who acted in a rude manner to the deaf customer. She had the right to expect restaurants to provide decent service, and she also had the authority to force wait staff to make accommodations for customers who are deaf. Instead of asking him directly to do so, she chose such particular negative strategy to honor his face.

2) *Social Distance*

Social distance is a psychological concept that combines status, age, gender,

and degree of intimacy to convey deference and intimacy in communication. Below is the example where social distance could be seen in a negative politeness strategy.

Tyler : “Start another project? Like we’re making a diorama for the science fairs?”
 Summers : “And if you have a problem with that, Mr. Winklevoss.”
 Cameron : “We’ve never asked for special treatment.”
 Summers : “**The courts are always at your disposal.**” (Pointing his hand to the door) Is there anything else I can do for you?”
 Cameron : “Thank you very much for your time, sir.” (Mustiari et al., 2017)

This is a conversation where Larry Summers declared an indirect order to both Cameron and Tyler. From the dialogue, there is a social distance between Mr. Summers and the Winklevoss twins; one is a Harvard President and the other is Harvard students. Here, Summers implicitly ordered the twins in this utterance, “The courts are always at your disposal” and his hand pointed towards the exit door. Mr. Summers' command form, which he used to issue orders, contained hints. He used negative politeness strategies, namely be conventional indirect.

3) *Imposition*

Imposition is a degree of pressure when the speaker requests something from the hearer. If the imposition is higher, the speaker might receive unfavorable response because the hearer feels offended or disrespected. If the imposition is less, the speaker might receive a favorable response because the hearer’s negative face is saved. One of the examples of this factor could be seen below:

“Look, I am **terribly sorry** to bother you but would there be any chance of your lending me just enough money to get a railway ticket to get home? I must have dropped my purse and I just don’t want what to do” (Brown & Levinson, 1987, p. 81).

From the example above, it is obvious that the speaker utilized an apology (negative politeness) as a very common kind of speaking politeness in order to borrow a hundred dollars. Obviously, the speaker's decision to use this strategy was influenced by the situation's imposition. In order to gain the hearer's good feeling, the speaker apologized before asking for a loan of money.

From the statement above, it can be concluded that the factors stated by Brown & Levinson (1987), can have an effect on the listener, whether the effect is good or not, depending on the situation and the speaker's communication skills.

2.2 Previous Research

This research draws on a number of previous researches. In order to assess the research's originality, preceding research are needed. Here are a few previous researches that were considered relevant enough to serve as a guide for developing the subject of this research.

First, Furkatovna & Shavkatovna (2021). They research is about realization of nominal formulas of address by negative politeness strategies. They research is about define politeness as a set of conversational strategies. They research aiming at avoiding or mitigating conflicts that may arise between interlocutors as a result of social factor such as age, social position, sex, gender, hierarchy and levels of education. They research comes to politeness as a set of conversational strategies they are emphasizing verbal politeness, a term proposed by Brown & Levinson (1987) and based on in concept image.

Second, it is qualitative research by Sulistiyaningsih et al., (2021). They

research is about the use of negative politeness strategies in casual conversation among the graduate studies. Their research is about classification of politeness for the purpose of identifying the strategy in the speaker's utterance. The findings demonstrated that the students employed the negative politeness such as being conventionally indirect, hedging, pessimistic, downplaying the burden, apologizing, depersonalizing the speaker and hearer, expressing the FTA into general and be on-record as either incurring debt or not.

Third, it is qualitative research by Trihartanti & Fadilah (2022). Their research aims to find out the similarities and the differences between student interaction and finds discourse markers from student local language that could be developed globally. After being analyzed, it concluded that there were some similarities and differences for applied. For expressing hesitation, female students use 'Hmm...', (20%), 'I think...', (17%), and 'Well...', (15%). Meanwhile male students use 'Well...', (19%), 'I think...', (20%) and 'Hmm...', (12%).

Fourth, it is qualitative research by Afriana et al., (2023). Their research is about examining the negative politeness strategies in Batam companies' English business letters. Their research aimed to the being pessimistic politeness strategy in the text of business letters from several companies in Batam, Riau Island, Indonesia. They applied Brown & Levinson (1987) theory to define negative politeness as displaying restraint. They found that there were nine strategies of being pessimistic in the text of business letters. There are two data of being pessimistic in letter one by PT. Vancouver Manufacturing Company, four data of being pessimistic in the letter two by ABC Software Company, and three of being

pessimistic in letter three by Mass Airlines Company.

Fifth, it is qualitative research by Magria & Mawarni (2019). Their research had purpose to find out the negative politeness strategies in Javanese dialect in Rimbo Ulu. Their data is analyzed by using Yule's theory and some books that related and supported the theory. The result of their research, they've found seven forms such as: be conventionally indirect, question and hedge, be pessimistic, minimize the imposition, give deference, apologize and impersonalize.

Sixth, it is qualitative research by Suyono & Andriyanti (2021). Their research was identified the types and reasons of negative politeness strategies in a famous tv show entitled *what would you do?*. Their research had found 106 data in total. They identified 12 strategies as indirect, 40 as question and hedge, 12 as apologize, 9 as give deference, 6 as be pessimistic and 2 as general. These strategies are influenced by social distance factor.

Seventh, it identifies the types of negative politeness in a movie entitled *the imitation game* (Julius & Ambalegin, 2021). This research is started from the identification of frequent phenomenon of the main character's deference. This research also using qualitative research. They identified 36 strategies in total that is: question and hedge 16, 6 are deference, 5 are be conventionally indirect, 4 are generalized, 1 is be pessimistic and 4 are impersonalize.

Eighth, it finding and explaining the occurrence of positive politeness strategies from you tube video entitled "Ariana Grande I Full Video" (Son & Afriana, 2023). This research using qualitative research. Then, after doing the analysis, they found 68 phenomenon that occur in 10 positive politeness, they are

3 occurrence of the first strategy (Notice, attending to hearer), 13 occurrence of the second strategy (Exaggerating (Showing interest, approving, and give sympathy to hearer)), 8 occurrence of the fourth strategy (Using in group identity marker), 21 occurrence of the fifth strategy (Seeking agreement), 3 occurrence of the sixth strategy (Avoid disagreement), 10 occurrence of the seventh strategy (Presupposing, raising, or asserting common ground), 1 occurrence of the eighth strategy (Giving joke), 1 occurrence of the twelfth strategy (Including or getting both speaker and hearer into the activity), 7 occurrence of the thirteenth strategy (Giving or asking for reason), and 1 occurrence of the fifteenth strategy (Giving gifts to H in the form of goods, sympathy, understanding, and cooperation).

Nineth, it discover the different types of negative politeness methods in “The Menu” movie (Marfirah & Afriana, 2023). This reseacrh stated from words recognized the character “The Menu” movie. This reseach using qualitaive. After doing the analysis, they found 2 Be conveniently indirect, 4 Question and Hedge, 1 Be pessimistic, 1 Minimize the Imposition, 1 Give Deference, 2 Apologize, 1 Impersonalize interlocutors, 1 State the FTA as general Rule, 1 Nominalize , 1 Go on record as incurring a debt , or as not indebting H.

There are similarities found between this research and the nine recent research. The theory being used is similar which is from Brown & Levinson (1987). It is also similar in terms of using movie as the data source except the first and second research. However, this research is different in terms of specific movie title to be analyzed. This research instead studies negative politeness strategies in *Don't Look Up* movie considering it has not yet been research as far as the

researcher acknowledged. The research is also different in a way by including factor influencing the strategies as the research aim which are often appeared in positive politeness strategies research and politeness strategies research in general.

2.3 Theoretical Framework

This framework represents the structure of the research in terms of the approach and the theory that is used to examine language phenomenon in *Don't Look Up* movie. The approach of this research is pragmatics which appears on the first level of the framework. On the second level, there is politeness strategies which is the grand theory of negative politeness strategies that appears on the third level. This research uses negative politeness strategies theory from Brown & Levinson (1987). Then, it is divided into types and factors for the purpose of answering the research questions. There are 9 types and 3 factors being used to explain the phenomenon in *Don't Look Up* movie.

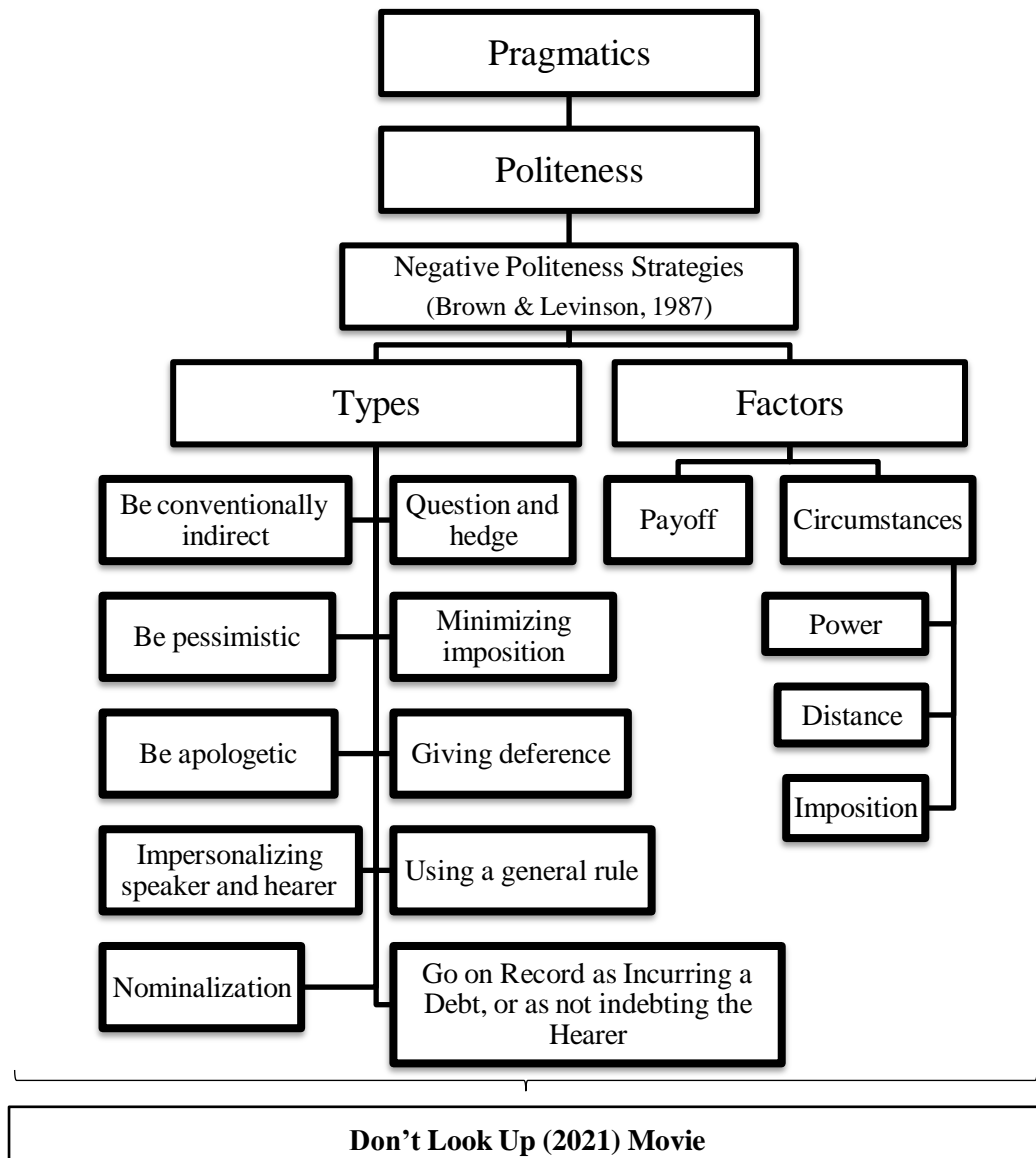


Figure 2. 1 Theoretical Framework