CHAPTER II

THEORETICAL REVIEW

This chapter provides the theories used to answer the research questions. First, it is outlined the Pragmatics that divided into speech act and politeness strategies. The speech act theory is specified to directive illocutionary act. Then, it explains about the type of the directive illocutionary act; indirect or direct. Finally, this chapter elaborates the politeness strategy, specified to off record politeness strategies.

2.1 Pragmatics

Yule (1996: 3) in his book, *Pragmatics*, stated pragmatic is concerned with the study of speaker meaning, study of contextual meaning, study of how more gets communicated than is said, and the study of the expression of relative distance. Robin (1964: 23) mentions that the study of meaning in pragmatic perspective involves all factors around the speech situation (1964: 23). From this notion, it can be defined that pragmatics, is the study of meaning that is communicated by the speaker (S) and interpreted by the hearer (H) based on the speaker's intention, relative distance between the interlocutor, and the speech situation. Leech (1983: 13) introduced aspects of speech situations:

1. Addressers or addresses (Hearer and Speaker)

Addressee or speaker (S) is a person who utters the utterance with specified message that applied in the surface and deep structure of the utterance. While, the addressee is person who receives and interprets the message or intention of the

speaker. However, in this research, the addresser is mentioned as speaker shortened with (S), and the addresser is mentioned as hearer (H).

In this research, the hearer and the speaker are specified to the characters in the novel *A Thousand Splendid Suns.* The hearer and the speaker are identified as the participants of the conversation. It is important to identify who is the hearer and who is the speaker, since the utterance of the speaker is determined as the prior data of the analysis. For the example, if one character of the novel; Maryam conveys the indirect directive illocutionary act to her dad. Her utterance is classified as the data that will be elaborated. While, Mariam is classified as the speaker, moreover, the people whom Mariam is spoken to have a role as the hearer.

2. The context of the utterance

Leech (1983:13) defined context any background knowledge assumed to be shared by the speaker and hearer, and contributed to the hearer's interpretation. The context is describe about the situation given in the conversation between the speaker and the hearer. For example, the family relation between Mariam and her stepmother whom never she meets before is explained in the context. Because of the context that Maryam and her stepmother is first time to meet, so, the stepmother, first, introduces herself to Maryam and mentions her name. She utters "My name Afsoon, Niloufar's mother". If the context of the utterance is not explained in the context, then it cannot be known that Afsoon is still Maryam mother, although she is not Maryam's biological mother.

3. The goal(s) of an utterance

The goal(s) of and utterance can be defined as the actual intention of the speaker's utterance. In this term, the goal(s) of the speaker's utterance is to cause the hearer to do specific action.

From the explanation above, it can be concluded that pragmatics is about the interpretation of the message communicated by the speaker to hearer. The interpretation of the message conveyed can be figured out based on the context of the context given in the conversation. In order to convey the message or the intention of the speaker, the speaker says the utterance by saying a certain word or group of word, in term of pragmatics it is defined as speech act.

2.1.1 Speech Act

Austin (1962: 94) defines that speech act is doing a certain thing by saying a certain word or group of words. Thus, the action that performed via utterances are generally called speech act. Speech act is divided to three parts: Locutionary act, Illocutionary act, and perlocutionary act. However, in this research, only two speech acts used; Locutionary act is defined as the utterance itself and Illocutionary Act, explained below;

2.1.1.1 Locutionary Act

Austin (1962:94) stated that locutionary act is the utterance of certain noises, and certain words construction. In a simple way, the locutionary act is the utterance with a meaningful linguistic expression produced by the speaker. in the

simple way, locutionary is the utterance itself. For example the speaker says “I’d like to order two cheese burgers”, the locutionary act is the speaker wants to order two cheese burgers.

2.1.1.2 Illocutionary Act; Directive Illocutionary act

According to Searle (1976:1) in his journal “A Classification of Illocutionary act”, illocutionary act is represented as a special case of what Searle calls “speech act”. He introduces there are a dozen kinds of illocutionary act. However, he classifies them to five kinds of basic illocutionary act: representative (assertive), directives, commisives, expressive, and declarations.

Searle (1976: 10-20) has set up the classification of illocutionary act. Firstly assertive is commit the speaker or hearer to believe the proposition, e.g. reciting a creed. Commisive is speech act that commit the speaker to do some future action, e.g. promise and oaths. Expressive is speech act that express some psychological attitude and or emotion toward the proposition, e.g. congratulations, excuses, and thanks. Then, declarative is determined as the illocutionary acts that change the social sphere in accord with the proposition of the declaration, e.g. wedding vow and baptism. Finally, directive act is defined as the speech that attempts to cause the hearer to do some particular action. However, to be in line with the background of this research, the illocutionary act outlined is only the directive illocutionary act, and the rest of illocutionary acts are used as the supporting theory to analyze the data. In uttering, the directive illocutionary act, Searle (1969:59) stated that the illocutionary can be uttered in direct or indirect.

The direct directive is the directive act that the intention of the speaker is applied on the surface structure of the locutionary. While the indirect directive illocutionary act is the illocutionary that the speaker expresses another illocutionary than what it is implied explicitly.

Yule (2000: 54-55) determined that there is an relationship between the type of moods and the communicative function. The type of moods; indicative (declarative, interrogative), and imperative, while three general communicative function are statement, question and command/request. The relationship between them is used to determine whether the illocutionary act is direct or indirect.

2.1.1.2.1. Indirect Directive Illocutionary Act

Searle (1975:59) stated when the speaker says their utterances, the sentence is not only means what the speaker says, but also means something more.

> *The simplest cases of meaning are those in which the speaker utters a sentence and means exactly and lite really what he says. In such cases the speaker intends to produce a certain illocutionary effect in the hearer, and he intends to produce this effect by getting the hearer to recognize his intention to produce it, and he intends to get the hearer to recognize this intention in virtue of the hearer's knowledge of the rules that govern the utterance of the sentence. But, notoriously, not all cases of meaning are this simple: In hints, insinuations, irony, and metaphor – to mention a few examples – the speaker's utterance meaning and the sentence meaning come apart in various ways. One important class of such cases is that in which the speaker utters a sentence, means what he says, but also means something more. (:59-60)*

In line with Searle, Yule (1996:55) stated briefly that the indirect speech act occurred whenever the relation between the structure and the function of the

utterance is indirect or has different meaning. Moreover, Searle gave example for this situation. When the speaker says, "*I want you to do it*" means the speaker want the hearer to do particular action. The utterance is defined as a statement, but it is also has other meaning as a request. In the indirect directive illocutionary act, Both of the speaker and the hearer should be shared same background knowledge principles of conversation, such as the cooperative principle convention and the ability of the speaker to make inferences. For example, the indirect illocutionary of, when the speaker utters, "Can you pass the salt, please?" The direct illocutionary act is an enquiry about the hearer's ability to pass the salt. The indirect illocutionary is a request to the hearer to pass the salt. e.g. requests, commands and advice. In Searle's sample case of indirect directive illocutionary act (1969:61-82), the typical case of the general phenomenon of indirect directive illocutionary act is formed in indicative mood. Yule (2000: 54-55) determined that the relationship between the indicative moods has general communicative function to utters statement and question, so in relation to communicative function ordering, this type of mood are indicated as indirect directive illocutionary act.

A. Indicative

Indicative mood consists of subject and finite verb (Gerot and Wignell, 1994: 32). The indicative mood is the clause that makes a statement or asks a question. The indicative mood commonly appears to find or to produce information. Gerot and Wignell (1994) classified the indicative mood into three moods; declarative, interrogative, and exclamatory. One example of the

indicative mood is “Tonight, the sky is full of stars.” The sentence structure consist of subject “the sky” + finite “is”, the purpose of the sentence is to inform the hearer that tonight sky is full of stars.

a. Declarative

The declarative mood is used to declare the statement or provide information. Mattheissen (1995: 412) defines “the option declarative is unmarked one in the mood system. It is the most frequent choice and it serve to express a wide spectrum of speech functional meanings. Indicative clause are typically used to negotiate propositions – i.e., to exchange information. The system indicates type is the choice between giving information, declarative, and demanding information, and interrogative.” Declarative consists of Subject + Finite. The declarative mood conveys the information. According to Eggins and Slade (1997: 85) the functions of declarative are to provide both information ,attitudinal option, query prior talk, to challenge, and to counter-challenge,. However, declarative is also used to query prior talk, to challenge, and to counter-challenge. Eggins and Slade (1997:85) classify that there are two types of declarative mood; full declarative, and elliptical declarative.

a.1. Full Declarative

Full declarative can be identified as a mood that the structural elements of its clause consist of subject that occurs before the finite element. The full declarative are typically used to initiate conversational exchanges by putting forward information for negation.

Example: “He plays the double bass.” (Eggins and Slade, 1997: 85)

The example above is full declarative; the clause carries the information that the subject ‘He’ who plays the double bass. The clause contains the information that can be shared to the hearer, the information is about someone who is playing the double bass. Moreover, all of the elements of the clause are complete. Since all of the elements are complete, the clause provides the information. Therefore, in short , the mood of the sentence can be defined as full declarative mood.

a.2. Elliptical Declarative

Elliptical declaratives are the mood that the significant component of the sentence structure depends on the context. It means when the hearer which has role as the second speaker responses to the first speaker by cooperatively adding some information to produce the elliptical declarative. The response do not add the prior clause, but modifying and omitting some element. The element that are informationally significant will be depend on the verbal context (Eggins and Slade 1997: 90)

Example:

Brad : “They’re all FREAKS”
Dave : “Except you”
(Eggins and Slade, 1997: 90)

The elliptical status of Dave’s clause signals to the full clause of the prior context according to Brad’s clause. In this case, to know the elliptical element it is need to look back to the prior context, the subject, finite, and complement which add the information to the elliptical clause.

However, in the fact, in the conversation the both of the interlocutor do not look back but forward, so it would be more accurate to say that Brad's full clause sets up as the possible elliptical structure produced by Dave. In summary, if Dave's elliptical status are putted out, the full clause will be " They're all FREAKS, except you (Brad) are not freak."

B. Interrogative

Interrogative is a mood that used to refer as the form of question. Cambridge dictionary defines interrogative as "a word or sentence used when asking a question" and "the form of a sentence that is used for asking questions". Eggin and Slade (1997:85) classified the interrogative mood to two; polar interrogative and W-H interrogative.

b.1. Polar Interrogative

Gerrot and Wignell (1994) explain, Polar interrogative is realized by finite + subject. It is about yes/no questions. In line with Gerrot and Wignell's statement, Eggin (1994:174) states that polar interrogative is used to initiate an exchange by requesting information from the hearer. According to Eggins and Slade (1997: 85-86) Full polar interrogative functions are typically used to initiate an exchange by requesting information from others. The polar interrogative are not common in casual conversation among close friend or family members, because much of the information are already shared.

> Example: "Did Henry Ford build his first car in the backyard?"
> (Gerot and Wignell, 1994: 33)

The sentence above contains all elements of interrogative with finite verb as the question element that produced by the speaker. Moreover, the interrogative clause above has the purpose to exchange information about yes or no that Henry Ford build his first car in the backyard. In short, by reviewing the clause construction and the purpose of the clause, the example above can be classified as polar interrogative.

b.2. W-H Interrogative: Full W-H Interrogative

It is different from polar interrogative, because it has W-H-element preceding the finite. The W-H-element e.g.: who, what, where, which, why, when, why, how, in what way, for what reason, etc (Eggins and Slade 1997: 86-87). The WH element stands for the missing piece of information that the speaker wants the hearer to supply. Eggins and Slade (1997:87) explains several functions of the W-H interrogative, they describes that the function of W-H interrogative are; to elicit additional circumstantial information, to challenge prior talk, to achieve command. Eggins and Slade classified the W-H interrogative to two types; full W-H interrogative and elliptical W-H interrogative. However, only the full interrogative is found in the data source. The order of full W-H interrogative structure are depends on which element of clause is being probed.For example, when the element probed for is the subject, the full W-H interrogative turns to be “Who says they know anything above fish just because they were administrating fisheries?” (Eggins and Slade, 1997: 87)

The interrogative sentence above is classified as the full interrogative because it contains the W-H element and the prior clause. Furthermore, the purpose of the sentence uttered is to search the information about the subject of the prior clause.

2.1.1.2.2. Direct Directive Illocutionary Act

Yule (1996:55) stated that a speech act is identified to be direct when there is a direct relationship between the structure and the function. Therefore, the direct directive illocutionary act is the directive that has no different between the syntactic form and the utterance illocutionary act. In the directive illocutionary act that the point of the locutionary is to get someone (hearer) to do some action, kind of the directive are requesting, questioning, command, orders, suggesting. The utterance form that directly point the directive illocutionary act is appeared in imperative sentence mood. As Eggins and Slade (1997: 88) mention that imperative is used to make command, to negotiate action indirectly, and to encode advice. For example when someone utters the locutionary “close the door”, the illocutionary point of the utterance is the speaker wants the hearer to do ‘close the door’.

Yule (2000:55) determined that there is an easy relationship between the imperative mood and the communicative function of ordering/commanding which lead to identification of direct directive illocutianry act. However, since the direct directive illocutionary act commonly uses imperative moods, in the case of the

directive illocutionary act that used the off record politeness strategy, the imperative mood found is specified to elliptical imperative mood.

A. Imperative: Elliptical Imperative

Imperative clauses are the mood that usually used for exchanging good and service. Imperative mood commonly do not consist of the elements of subject or finite, but contain only a predicator, plus any of the non-core participants of complement and adjunct. The elliptical process of Subject in imperative occurs because all imperative are implicitly addressed to the hearer. According to Eggins and Slade (1997: 88) the functions of imperative are; to make command, to negotiate action indirectly, and to encode advice.

Eggins and Slade (1997) divided there are two kinds of imperative; full imperative and elliptical imperative. However, according to the data collection of this study, only the elliptical imperative represents the indirect directive illocutionary act, while there is no full imperative is found in the data source of this research as the indirect directive illocutionary act. In elliptical imperative, all the element can be omitted except the prior element of the imperative itself. Below, the example for typical elliptical imperative structure.

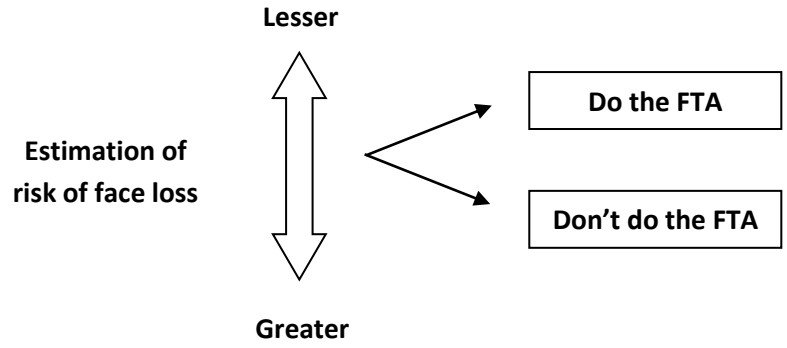
Example: Brad: “Look” (Eggins and Slade, 1997: 88)

The clause above is the example of the imperative mood that all the element are omitted, except the predicator. Elliptical imperative typically can be retrieved from the shared physical context. Thus, Brad does not have to

say *Look at that man walking up the hill*, because the hearer whom Brad talking to can see that what he is pointing to is a man walking up the hill.

2.2 Politeness Strategy

To minimize or avoid the face-threatening act, the speaker uses politeness strategies. According to Brown and Levinson (1987: 68-69), politeness strategies are divided to; bald-on record, positive politeness, negative politeness, and off-record. However, this research limits the data analysis to the off-record politeness strategy that used by the speaker. The choice of strategies and the relation between the strategies can be seen in the diagram below:



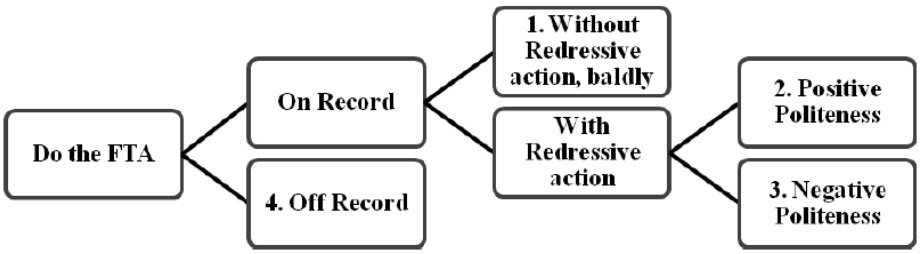


Figure 2.1. Circumstance determining choice of strategy

(Brown and Levinson, 1987)

2.2.1 Politeness Strategy; Off Record

Off record defines as and indirect politeness strategy in which the speaker utters something that can be interpreted in more than one-way (Brown and Levinson, 1987:211-227). The off record utterances uses indirect language, it can be uttered and leave the hearer to decide and interpret the intention of the speaker. This strategy uses indirect language to remove the speaker from the potential to be imposing. Therefore, the speaker leaves himself "out" by providing himself with defensible interpretations; the speaker cannot be held to have committed just one particular interpretation of his utterances. Moreover, if the speaker wants to do FTA, but wants to avoid responsibility for doing it, the speaker can do and chose off record as strategy and leave it up to the hearer to decide how to interpret it.

Related to this research, the data that took to be analyze are the off record directive illocutionary act. In the other word, the speaker do the off record strategy whether uses indicative mood or imperative mood to remove the potential to be impose on the hearer and only point the idea or specific request. For the example when Maryam as the speaker says, "one cup" the sentence refers to the request that she wants Laila as the hearer to bring her a cup of tea. Certainly, the "one cup" utterance intention can be known by seeing the context of the conversation.

2.2.2. Face-Threatening Act (FTAs); Off record

Brown and Levinson adopted the 'face' notion from Erving Goffman (1967). Goffman (1967) defined the meaning of face as following:

> ""the positive social value a person effectively claims for himself by the line others assume he has taken during a particular contact. Face is an image of self delineated in terms of approved social attributes..." (Jaszczolt, 2002: 318).

Moreover, Brown and Levinson said the face concept also got from the English folk term, Brown and Levinson stated that:

> "our notion of 'face' is derived from that of Goffman (1967) and from the English folk term, which ties face up with notions of being embarrassed or humiliated, or 'losing face'" (Brown and Levinson 1987: 61)

Furthermore, Brown and Levinson (1987:61) stated face as the public self-image that everyone wants to claim for himself. In addition, Yule (1996:60) also said the similar definition of face "the public self-image of a person". From that notion, it can be drawn the conclusion that face is about someone reputation. In the other hand, the face is the image that someone tries to show to the other people. However, the Face threatening act is one of the strategies that can be chosen by the speaker in order to reach their goal(s) or intention. Culpeper, Short and Verdonk (1998: 84) defined that when the speaker threaten the negative and the positive face of others, this acts can be called as Face Threatening Acts (FTAs). It happens when the speaker utters something that will threat hearer's face.

Related to the research, the speaker's choice of off record politeness strategies in order to convey their intention are relevant to the face threatening act, According to Brown and Levinson (1987: -), there are fifteen off record strategies, however, only five strategy are found in the data analysis of this study:

a. Strategy 1: Give Hints

This strategy is done when the speaker utters something that is not explicitly relevance, and then the speaker invites the hearer to find for possible and relevance interpretation.

Example: "*it's cold here" (turn up the air conditioner)*

(Brown and Levinson : 1987:213)

If the context of the speaker's above is where both the hearer and the speaker are in the same room and the temperature is cold because of the air conditioner. The speaker indirectly give hints or clues to the hearer. In this case, the hint is not explicitly relevance to ask the hearer to turn down the temperature; however, the speaker ties to avoid imposing the hearer. Yet, the goal(s) or the intention of the speaker have to reach and the hearer should understand or aware about the hints that the speaker gave.

b. Strategy 2: Give association clues

This strategy is done when the speaker utters a related kind of implicature, which is triggered by mentioning something associated with the act required of the hearer. It is also precedent in speaker-hearer's experience or by mutual knowledge irrespective of heir interactional experience.

Example: *"My house isn't far away" (please come visit my house)"*

(Brown and Levinson : 1987: 215)

This strategy is done by implying the related clues of the conversation, if the context of the example above is examines where the hearer and the speaker are on the way home. The speaker utters the locutionary intentionally gave the hearer clues to visit his house.

c. Strategy 3: Use rhetorical questions

The strategy are used when the speaker asks a question with no intention of obtaining the answer; it is done to do the face-threatening act.

Example: “How was I to know ... (an excuse, c.i. I wasn’t)”

(Brown and Levinson : 1987: 223)

In this strategy, the speaker threats the hearer face with the question that not should be answered by the hearer. The rhetorical question purposely done to removes the speaker potential to be imposing.

d. Strategy 4: Overstate

Speaker overestimates or chooses a point on a scale, which is bigger that the real situation.

Example:

“You *never* doing washing up. (Convey a criticism)”

(Taken from Brown and Levinson, 1987:219)

In the example above, the speaker goes beyond the statement. The phrase 'never' indicates that the subject 'you' has never washed at all. In fact, it could be the subject ever does washing up though once.

e. Strategy 5: Be incomplete, use ellipsis

This strategy leaves the implicature 'hanging in the air, the speakers purposely does not complete the utterance and leave an FTA half undone.

Example: "Well, I did not see you …"

(Taken from Brown and Levinson, 1987:227)

This strategy is done by hiding the prior clause of the utterance and the speaker intentionally only utters the new information that is not covered by the previous locutionary. The speaker wants to avoid the responsibility and leave the hearer to decide how to interpret the utterance.