

## **CHAPTER II**

### **THEORY AND METHOD**

#### **2.1 Theoretical Frameworks**

This section will explore the theories used to analyze the data gathered for this research problem. The researcher also uses Searle's theory on the types of speech acts. Specifically, the theories used in this research include:

##### **2.1.1 Face-Threatening Acts (FTAs)**

Brown and Levinson's Politeness Theory (1987) explains how individuals manage their public self-image (face) in communication. The theory suggests that conversations involve Face-Threatening Acts (FTAs), which may challenge a person's social standing or independence. To minimize these threats, speakers use politeness strategies to maintain respect and avoid conflict. There are two components of the face. First, negative face, associated with non-imposition, represents the desire for autonomy and freedom from interference in social interactions. Second, positive face refers to the desire to be recognized as desirable by others, which can include both material and non-material desires, such as love, approval, or shared activities. Desires often leave unsaid specifics of what is wanted (Brown & Levinson, 1987).

### **2.1.2 Politeness**

Brown and Levinson (1987) define it as a way to mitigate face-threatening acts. Observing politeness reflects the human tendency to maintain social harmony and reputation. However, politeness is socially regulated, and who must be polite to whom depends on social structures rather than a universal standard (Brown & Levinson). The degree of politeness varies across cultures, influencing communication styles and expectations.

#### **2.1.2.1 Positive Politeness**

According to Brown and Levinson (1987), this tactic is directed toward an individual who possesses a pleasing appearance or desires to be seen as desirable. Positive politeness is primarily utilized in interactions where the speaker aims to build rapport and express mutual appreciation. According to Brown and Levinson (1987), there are 15 sub-strategies of positive politeness, which is notice of the interest, exaggerate, intensify interest, use in group identity markers like jargon, slang, or ellipsis, seek agreement, avoid disagreement, presuppose or assert common ground, joke, assert knowledge and concern, and give gifts like sympathy, understanding, cooperation.

#### **2.1.2.2 Negative Politeness**

These strategies often involve indirectness, hedging, and polite markers such as apologies, formal expressions, and conventionalized requests. Brown and Levinson (1987) describe Negative Politeness as respecting the addressee's need for personal space and non-interference. According to Brown and Levinson, there are 10 strategies for negative politeness, which is be direct, question, hedge, be

pessimistic, minimize the imposition, give deference, apologize, impersonalizing, state the FTA as a general rule, nominalize, go on record as incurring a debt, or as not indebted.

#### **2.1.2.3 Bald on Record**

Bald-on-Record is a politeness strategy identified in the politeness theory proposed by sociolinguists Penelope Brown and Stephen Levinson (1987). This strategy refers to a direct and unmitigated form of communication in which the speaker does not attempt to minimize the face-threatening acts (FTAs) towards the listener. It is typically employed when clarity and efficiency are prioritized over politeness, such as emergencies, authoritative commands, or interactions between close acquaintances.

#### **2.1.2.4 Off-Record**

Off-Record Politeness is an indirect communication strategy in which the speaker avoids direct imposition (Brown & Levinson, 1987). There are 15 sub-strategies, which give hints, association clues, presuppose, understate, overstate, use tautologies, contradictions, be ironic, use metaphors, rhetorical questions, be ambiguous, be vague, over-generalize, displace, and be incomplete. There is a risk that the listener might misinterpret the message or its purpose due to character hints at their struggles without explicitly stating.

### **2.1.3 Relative Power, Social Distance and Rank of Imposition (PDR)**

Sociological factors are implicated in the severity of an FTA, which may influence the selection of politeness strategies, as per Brown and Levinson (1987:74). Those are as follows: Brown and Levinson (1987) discuss the social distance (D) between

the speaker and the hearer, which is influenced by social attributes such as age, social distance, and ethnic background (p. 77). According to Brown and Levinson (1987:77), relative power (P) is derived from two sources: material control (economic distribution and physical force) and metaphysical control (the actions of others). Rank (R) of impositions in the particular situation. A speaker aiming to enhance the hearer's positive face will opt for less polite strategies (positive politeness & bald-on-record). On the other hand, a speaker seeking to preserve the hearer's negative face will adopt more polite strategies (negative politeness & off-record).

#### **2.1.4 The Payoffs**

According to Brown and Levinson (1987) that in addition to P, D, R factors that influence the choice of politeness strategy, one of them is reward.

1. Bald on record payoffs: efficiency (S can claim that other things are more important than face)
2. Positive politeness: to satisfy H's positive face, in some respect
3. Negative politeness: to satisfy H's negative face, to some degree
4. Off-record payoffs: S can satisfy negative face to a degree greater than that afforded by the negative politeness strategy. S can avoid the inescapable accountability, the responsibility for his actions.

All of the main characters experienced the benefits. These payoffs can also be understood as the outcomes or advantages they gained. In addition, payoff can also be said to be an effect obtained from the strategy or as an advantage.

### **2.1.5 Speech Acts**

When a speaker utters a sentence in a context that fits a specific purpose, he performs one or more illocutionary acts (Searle & Vanderveken, *Foundation of Illocutionary Logic*, 1985). The speaker (S) to the hearer (H) will have different ways and purposes, depending on who the speaker is, the interlocutor, the topic, and the condition. Searle classifies illocutionary acts into five types of speech: (1) Assertives, (2) Directives, (3) Commissive, (4) Expressives, (5) Declarations. The writers only analyze the directive, which clearly shows the use of politeness strategies to minimize the face-threatening acts (FTAs).

### **2.1.6 Directive Speech Acts**

Searle (1979:37) defines Directives as attempts to get others to do things. The directive will express what the speaker wants. Searle's (1985:198) directive speech acts include suggesting, requesting, commanding, ordering, asking, inviting, advising, begging, forbidding, warning, recommending, and implore.

#### **2.1.5.1 Suggestion, insist**

Suggestions can vary in their degree of forcefulness, from very indirect (e.g., "Have you considered...?") to more direct (e.g., "You should..."). Suggestions often involve politeness or deference, as the speaker seeks to influence the addressee's behavior without appearing overly forceful or rude.

#### **2.1.5.2 Order**

A person can order someone to do something based solely on their position of power, whether that power is institutionally approved. An indicator of successful

order is that the listeners take future actions by complying with the order (Searle & Vanderveken, 1985, p. 198).

#### **2.1.5.3 Command**

When giving a command, the speaker must have a stronger position of authority than the interlocutor (Searle & Vanderveken, 1985, p. 201). A command is a speech act usually uttered by someone with authority and power to make the interlocutor unable to refuse the command.

#### **2.1.5.4 Request**

Request is a directive speech act that allows the hearer to refuse the speaker's wants (Searle & Vanderveken, 1985, p. 13). When making a request, the speaker intends to ask the interlocutor to do something politely. Furthermore, the interlocutor can say "yes" or "no" in responding to the request. Pre-verbal 'please' is an idiom usually expressing a request (Levinson, 1995, p. 269).

#### **2.1.5.5 Ask, Question**

Searle (1985:199), asks whether the notion of asking a question and the second is asking someone to do something. So, when using ask, it's the same as a question; the hearers answer yes or no, but when asking to do something, it's the same as a request. It is called a question in a directive if it indirectly asks the hearer to do something. Example: "Can you check the weather?" The speaker is questioning and requesting the hearer to do something (re: check the weather and answer the speaker).

#### **2.1.5.6 Warn, Advise**

Searle (1985:199) warns or advises the hearers to do something. While warning focuses on avoiding harm, advising focuses on gaining benefits. The difference between warning and advising is that warning states a state of affairs that is not in the hearer's interest, whereas advising is to do something that is in the hearer's interest.

#### **2.1.5.7 Beg**

Searle (1985:204) To beg is to request humbly while expressing a strong desire, usually because of a strong need. It refers to a certain kind of request in which the speaker conveys a deep need or desire, frequently coupled with extreme humility. It suggests a circumstance in which the speaker is pleading for the hearer's kindness or generosity because they feel helpless.

#### **2.1.7 IFIDs (Illocutionary Force Indicating Device)**

Searle (1969:30), how the proposition should be interpreted, or more specifically, what illocutionary force the utterance should have, and what illocutionary action the speaker in the utterance derives from the sentence. Illocutionary force indicating devices in English include at least: word order, stress, intonation contour, punctuation, mood of the verb, and the so-called performative verbs.

#### **2.1.8 Felicity Condition**

Felicity conditions define the suitable context in which an utterance is effectively performed and understood as intended. Searle (1969:63) divides felicity conditions into four classifications:

1. **Propositional Content:** The utterance must align with the action it represents.

2. Preparatory Condition: Requires prior circumstances granting the speaker authority or legitimacy to perform the act.
3. Sincerity Condition: Demands genuine intent from the speaker
4. Essential Condition: Binds the speaker to the act's social or institutional consequences.

## **2.2 Research Methods**

The study method is a descriptive approach and a qualitative approach. The writer will use the descriptive method to categorise directive speech acts from the utterances and analyse the politeness strategies produced by Princess Anneliese and Preminger. The qualitative method is used because the data source is utterances.

### **2.2.1 Data and Data Sources**

The primary data are the utterances that perform directive speech acts, taken from the utterances produced by Anneliese and Preminger. This movie, directed by William Lau, can be accessed via the Internet. The data source is a dialogue from Preminger and Anneliese with the Hearer (H) in the *Barbie as the Princess and the Pauper* movie released in 2004.

### **2.2.2 Population and sample**

The writer uses purposive sampling techniques to obtain a sample for research, because the writer will only take the population related to the research concern. The population of this research is all utterances that Anneliese and Preminger produced that are indicated as directive speech acts and analyzed based on the politeness strategies and the relative power, social distance, and rank of imposition based on

the context as the factors that influence the use of the politeness strategies.

### **2.2.3 Method of data collection**

In collecting the data, the writer makes observations using a note-taking technique.

Some steps the writer applied are:

1. The writer watches the whole movie.
2. The writer also uses other alternative ways by reading the script in the movie.
3. The writer noted and selected utterances that contain directive speech acts in terms of IFIDs and felicity conditions.
4. The writer categorized according to the politeness strategies used and grouped based on Princess Anneliese or Preminger, and their interaction with the hearer (H).

### **2.2.4 Methods of Data Analysis**

The writer uses a pragmatic approach by first classifying utterances that contain directive speech acts. IFIDs are used to determine Anneliese and Preminger's intentions. Then, analyze the felicity conditions to assess whether the directive speech acts are appropriate and valid within their context. The writer then analyzes the politeness strategies used in the data, including bald on record, positive politeness, negative politeness, and off record. Furthermore, the influence of relative power, social distance, and rank of imposition and the payoffs is examined to explain why Anneliese and Preminger choose specific politeness strategies to reveal the power relation. Finally, the author applies contextual analysis to interpret the data and draw conclusions from the findings.

## CHAPTER III

### FINDING AND DISCUSSION

To answer the research question, in this finding and discussion section, the writer will explain the type of politeness strategies in directive speech acts and how relative power influences politeness strategies in *Barbie as The Princess and The Pauper* Movie. The data will be analyzed using the theory attached in Chapter 2. The findings will be explained in the discussion section.

#### 3.1 FINDING

In the *Barbie as the Princess and the Pauper* movie, the writer found four politeness strategies to minimize the FTA using seven kinds of directive speech acts, with 34 from 122 total utterances from Anneliese and Preminger.

**Table 3.1.1 Kinds of Politeness Strategies in Directive Speech Act Produced by Princess Anneliese**

No.	Utterances	Kinds of Directive Speech Act	IFIDs	Type of Politeness Strategies	Sub-strategy of Politeness
1.	Come in! Julian, perfect timing.	Command	“Come in!” Imperative	Bald on record	-
2.	What do you think King Dominic will be like?	Ask, Question	“What do you think?” Interrogative	Bald on Record	-
3.	Please, call me Anneliese	Request	“Call me” Imperative	Negative politeness	Minimize the imposition
4.	What about this birthmark?	Ask, Question	“What about” Interrogative	Off record	Hints
5.	One day you must sing for us	Command	“You must” Modal Verbs	Negative Politeness	Be direct

	at the Palace.				
6.	What's your name?	Question	"What's your" Interrogative	Positive politeness	Intensify interest
7.	I command you to unlock this door!	Command	"I command" Performative	Bald on Record	-
8.	Help, help! Please, help me!	Request	"Please, help"	Negative Politeness	Be direct
9.	Hurry!	Command	"Hurry" Imperative	Bald on Record	-
10.	Get it! Quick!	Command	"Get it!" Imperative	Bald on Record	-
11.	..speaking to Princess Anneliese! Let me through!	Command	"Let me" Imperative	Bald on Record	-
12.	I beg you pardon!	Beg	"beg" Performative	Negative Politeness	Be direct
13.	I'm warning you, if you're going to treat your seamstresses..	Warn	"warning" Performative	Bald on Record	-
14.	Take this to the Castle. Tell somebody that I'm here.	Command	"Take", "Tell" Imperative	Bald on Record	-
15.	We have to stop him	Suggestion	"have to" Modal verb	Positive Politeness	
16.	Wait! Wait! Stop the wedding, Mother!	Command	"Wait!", "Stop!" Imperative	Bald on Record	-
17.	He's kind, intelligent, and my best friend. Mother, it's Julian I want to marry.	Request	"want to" Declarative	Positive Politeness	Notice of interest

**Table 3.1.2 Kinds of Politeness Strategies in Directive Speech Act by Preminger**

No.	Utterances	Kinds of Directive Speech Act	IFIDs	Politeness Strategies	Sub-Strategy of Politeness
1.	Nack! Don't call me Boss.	Command	"Don't" Imperative	Bald on Record	-
2.	Call me Prince Boss instead!	Command	"Call" Imperative	Bald on Record	-
3.	Good! Keep her here until the wedding to King Dominick is cancelled!	Command	"Keep" Imperative	Bald on Record	-
4.	Is that something on her desk, Your Majesty?	Question	"Is that?" Interrogative	Off Record	Hint
5.	Why don't you see for yourself?	Question	"Why don't you?" Interrogative	Off record	Be incomplete
6.	Why don't you stick to your books, schoolboy?	Suggestion	"Why don't you" Interrogative	Off record	be ironic
7.	If you'll excuse me, I must be off to see the..	Request	"If you'll excuse me" Declarative	Negative Politeness	Minimize the imposition, hedge
8.	Let me in... you idiots!	Command	"Let me" Imperative	Bald on Record	-
9.	Get out of that bed!	Command	"Get out" Imperative	Bald on Record	-
10.	May I announce, Princess Anneliese	Request	"May I" Modal verb	Negative Politeness	
11.	Princess... Come quickly,	Command	"Come" Imperative	Bald on Record	-

	Princess!				
12.	Put a little muscle behind it! Move it!	Command	“Put”, “Move” Imperative	Bald on Record	-
13.	You can tell me everything on the way	Request (Indirect)	“You Can” Modal verb	Positive politeness	Understanding, cooperation.
14.	Check her shoulder!	Command	“Check” Imperative	Bald on Record	-
15.	Take her to the dungeon!	Command	“Take” Imperative	Bald on Record	-
16.	Yes, marry me for how can you refuse?	Command	“Marry me” Imperative	Bald on Record	-
17.	Smile, my Dear	Command	“Smile” Imperative	Bald on Record	-

**Table 3.1.3 Kinds of Politeness Strategies in Directive Speech Acts**

No.	Kind of Politeness Strategies	Frequency	Speaker
1.	Bald on Record	9	Princess Anneliese
		11	Preminger
2.	Positive Politeness	3	Princess Anneliese
		1	Preminger
3.	Negative Politeness	4	Princess Anneliese
		2	Preminger
4.	Off Record	1	Princess Anneliese
		3	Preminger

## 3.2 DISCUSSION

### 3.2.1 Bald on Record

#### Datum 1 (13:10 – 13:19)

Princess Anneliese (S): **Come in! Julian**, perfect timing. I classified this as iron pyrite. Pretty, but not considered valuable.

Julian (H): Well done, your highness.

**Context:** the conversation took place in the palace, precisely in the Anneliese room. The queen sent Julian to Princess Anneliese's room to inform her that King Dominic's ambassador had come to see her. Anneliese was classifying her collection. In front of her room, Anneliese commanded Julian to enter.

The purpose of Anneliese's utterance (S) is to command in the form of an imperative or a clear command to be pleasant; the felicity condition must be fulfilled:

1. Propositional condition: Through her utterance, Anneliese wanted Julian to see the results of classifying iron pyrite. She says, "Come in", so that Julian does what she wants, which is direct action to enter the room.
2. Preparatory condition: Julian was in front of Anneliese's room, and he was about to deliver the message from Queen Genevieve. Usually, Julian entered without her permission, but this time he waited in front of the room. Anneliese believed that Julian was in front of her and was about to enter her room when he delivered his utterance.
3. Sincerity condition: Through his utterance, Anneliese wanted Julian to go into his room to see what he was doing.
4. Essential condition: Anneliese's utterance is intended to order Julian into her room, without refusal. So, Julian could see what Anneliese wanted to show him,

and he could deliver Queen Genevieve's message at close range.

**Analyzing politeness strategies:** Anneliese's utterance in datum 1 is a command because it aims to get Julian to enter her room. She delivered it using bald on record, which was done directly to show FTA oriented. Anneliese uses this strategy because she does not care about her face. Besides that, Julian and Anneliese are friends, so there is no urgency that she should minimize FTA. The use of command, without any other affixes, expresses clarity and shows that Julian must take action (H), namely, entering Anneliese's room.

**Factors Influencing Politeness: Relative Power, Social Distance, and Rank of Imposition between Speakers and Hearer and the Payoffs**

1. **Relative Power:** Princess Anneliese, as the speaker, holds a higher power than Julian, so that he can directly order Julian, as his tutor, to obey or do the wishes he utters, namely through a bald on record, which is spoken directly, with the aim of Julian doing what is said without refusal. He tends to choose commands with bald on record for efficiency, overriding polite actions.
2. **Social Distance:** Anneliese (S) and Julian (H) have a difference in status, where Julian is lower. Therefore, Anneliese does not need to use polite sentences; she says what she means or wants directly to show closeness. They are also tutors and students who often discuss many things at the palace.
3. **Rank of Imposition:** When Anneliese (S) tells Julian (H) to come in, it is a non-strenuous action that can be done directly because, because of her position, she is already at the door. This shows that the imposition on Julian is low.

### **The Payoffs**

Brown and Levinson (1987: 95) stated that when maximum efficiency is crucial and both the speaker and the hearer are aware of it, the speaker can use a bald-on-record strategy with no face redress. In this dialogue, Anneliese applies a bald-on-record politeness strategy toward her friend Julian in an informal context, as their social distance is minimal. This directness is used efficiently, reflecting the closeness of their relationship.

#### **Datum 2 (09:07 – 09:10)**

Preminger (S): Nack! **Don't call me Boss.**

Nack (H): Okay

**Context:** Preminger came to the mine of the kingdom, where the conversation takes place, which he and his right-hand man had acquired. Because he wanted to be king, he told his right-hand men, Nick and Nack, not to call him boss. He preferred to be called king because he felt that by stealing the mine, he had become rich and could marry the queen to become king.

The purpose of Preminger (S) conveying his speech as expressing imperative must be felicitous, so it is examined as follows:

1. Propositional condition: Preminger saying not to call him boss, Preminger approached Nack, as his right-hand man and emphasized that he didn't want to be called Boss.
2. Preparatory condition: Preminger thinks that he has a higher position than Nack. In this case, he believes that Nack will do what he says, and Nack will do what he asks.

3. **Sincerity condition:** Through his utterance, Preminger wanted to order Nack not to call him boss, and Preminger said that he had to call him King, and Nack as a listener who had a lower position obeyed what Preminger said.
4. **Essential condition:** Preminger's utterance is intended to give orders that must be carried out by Nack so that Nack calls him King, not Boss.

**Analyzing Politeness Strategies:** Preminger, as the boss of their right-hand men, Nick and Nick, had more authority. In addition, Nick and Nick are just slaves digging mines, so they do not have any power to resist. Preminger told him directly by commanding him not to call him boss. He used the bald-on-record strategy to show his authority was higher, and Nack had to fulfill what he said. Preminger used that strategy because he had higher power and avoided rejection by the hearer (H), so he directly used FTA.

**Factors Influencing Politeness: Relative Power, Social Distance, and Rank of Imposition between Speakers and Hearer and the Payoffs**

1. **Relative Power:** Preminger, as the Speaker, holds more power than Nack, who is just his slave. Because of his higher power, he has the right to command directly. Through bald on record, he says what he wants directly without being polite; he says it efficiently. This shows that Nack, as a listener who has lower power, must do what is said by Preminger, who has higher power.
2. **Social Distance:** Nack, as his right-hand man, can be said to have a close relationship with Preminger, because, of course, they often talk or discuss their plans and strategies. This shows that Preminger and Nack have low distance.