

CHAPTER 2

THEORY AND METHOD

2.1. Theoretical Framework

This chapter presents the theory used in this study, which is the politeness strategy theory (Brown and Levinson, 1987). Politeness strategy as a theory falls under the category of pragmatics study.

2.1.1. Definition of Politeness

Brown and Levinson cited Goffman's definition of politeness "politeness presupposes the potential for aggression as it seems to disarm it. (Brown and Levinson, 1987: 1)". This means that politeness can be defined as any speech act that minimizes conflict and encourages cooperation. The theory states that to reach its goals, politeness remedies (redress) offense to a person's self-esteem known as a "face". A "face" is defined as the public self-image that every member of society has, each other has, wants to claim it for himself, and wants it to be recognized by others. All people have two types of this public self image namely negative face and positive face. Negative face is the wish of every member of society that his actions and wants to be unimpeded by rules or others (Brown and Levinson, 1987:62), whereas positive face is the wish of every member of society that his actions and wants to be appreciated, approved, and deemed as desirable by others (Brown and Levinson, 1987:62).

Actions that damage the face of the hearer or the speaker is called Face Threatening Acts (FTA). Face Threatening Acts are divided into two categories, namely Negative FTA and Positive FTA. Negative FTA are actions that damage the negative face of the hearer or the speaker (Brown and Levinson, 1987:65), whereas Positive FTA are actions that damage the positive face of the hearer or the speaker (Brown and Levinson, 1987:66). Negative FTA that damages the hearer could take forms in acts that threatens the hearer's freedom of action (orders, requests, suggestions, advices, reminders, threats, warnings, dares), threatens the hearer's future activities (promises, offers), or threatens the hearer's belongings (envy, hatred) (1987:65-66), whereas positive FTA that damages the hearer could take forms in acts that shows negative evaluation to the hearer's positive face (disapproval, disagreements), or Indifference to hearer's positive face (disrespect, belittling) (Brown and Levinson, 1987:66-67). Negative FTA that damages the speaker himself could take forms in acts that humbles the

speaker's face (gratitude) (Brown and Levinson, 1987:67) whereas positive FTA that damages the speaker himself could take forms in acts that damages the speaker's dignity (apology, etc.) (Brown and Levinson, 1987:68). Politeness strategy is defined as a way to save the face of the hearer when an FTA is unavoidable or wanted by the speaker.

2.1.2. Bald on Record

Bald on Record is a politeness strategy that does not minimize threat to the hearer's face. Bald on record is said to be the closest politeness strategy to Grice's Maxims (1975) (Brown and Levinson, 1987:94-95). The main motive for the use of bald on record strategy is when the speaker is trying to maximize his FTA efficiency over the need to protect the hearer's face. Due to its nature, the usage of bald on record strategy should only be reserved to the people close to the speaker, be they family or friends alike. The use of bald on record is divided into two categories, no threat minimalization and implicit threat minimalization bald on record.

No threat minimalization bald on record includes Emergency, Efficiency, Task-oriented, Power, Rude, and Sympathetic. Firstly, emergency bald on record is when the speaker is trying to desperately warn the hearer of dangers that might threaten the lives of either one or both of them as in the instance of "Your pants are on fire!" (Brown and Levinson, 1987:96). Secondly, Efficiency bald on record is when the speaker is emphasizing the need for attention by putting metaphorical urgencies, maximizing the efficiency of FTA as is observable in "Listen, I've got an idea!" (Brown and Levinson 1987:96). Thirdly, Task Oriented bald on record is when the speaker believes that face redress is not important as both the speaker and hearer are focused on finishing a task (Brown and Levinson 1987:97) as in the example of "Give me the nails!".

The next one on the list being "power bald on record" is when the speaker has little desire to satisfy the hearer's face as the speaker is powerful and does not fear retaliation or non-cooperation from the hearer (Brown and Levinson 1987:97) as is observable in "Bring me wine, Jeeves!". Another form is "rude bald on record" which happens when the speaker is purposefully rude as "rudeness" is considered acceptable (teasing) or the speaker tries to instigate conflict (Brown and Levinson 1987:97) as in the example of "Cry, get angry!". Finally, Sympathetic bald on record is when the speaker tries to give sympathetic advice to the hearer (Brown and Levinson 1987:98) as in the instance of "Careful! He's a dangerous man!".

Implicit threat minimalization bald on record has only two instances which is welcoming, offering. Welcoming bald on record is when the speaker strongly invites the hearer

so that the hearer would not hesitate. (Brown and Levinson 1987:99) as is observable in “Come in!”. On the other hand, offering bald on record is when the speaker tries to offer something to the hearer (Brown and Levinson 1987:100) as is prominent in “Don’t bother, I’ll clean it up!”.

2.1.3. Positive Politeness

Positive politeness is a type of politeness strategy that minimizes threat to the hearer’s positive face. This politeness strategy intends to create a feeling for the hearer that the hearer have the same wants as the speaker, validating their worth. This politeness strategy is chosen to build solidarity between the speaker and the hearer; thus, it is common among friends.

Types of positive politeness include attend to hearer, exaggerate, intensify interest, in-group identity use, seek agreement, avoid disagreement, raise common ground, joke, concern for hearer’s wants, offer/promise, optimism, activity inclusion, give/ask for reasons, and assume reciprocity. “Attend to hearer (his needs, wants, goods)” refers to when the speaker notices a remarkable change the hearer had (Brown and Levinson 1987:103) as in the instance of “Goodness you cut your hair!”. Meanwhile, “exaggerate (interest, approval, sympathy)” is when the speaker exaggerates their impression with intensifying modifiers (Brown and Levinson 1987:104) as in the example “What a fantastic garden you have!”. Moreover, “Intensify interest to hearer” is when the speaker tries to make relatable stories so that the hearer feel solidarity with the speaker (Brown and Levinson 1987:106) as it is recognizable in “Black I like, I used to wear ...”. In contrast, “use of in-group identity marker” is when the speaker uses address form that befits the hearer’s group identity (Brown and Levinson 1987:107) as is observable in “Help me with this bag, will you pal?”.

Another form of positive politeness is seek agreement which is when the speaker tries to have something that they can also agree with the hearer by conversing in safe topics (Brown and Levinson 1987:112) as what could be observed in “Isn’t your new car a beautiful colour”. As opposed to the previous one, avoid disagreement is when the speaker tries to hide disagreement by softening the language (Brown and Levinson 1987:113) as in the instance of “A: Can you hear me? B: Barely”. Meanwhile, raise common ground is when the speaker tries to switch places with the hearer (Brown and Levinson 1987:117) as in the example of “I had a really hard time learning to drive, didn’t I”. Conversely, Joke is when the speaker emphasizes shared backgrounds by joking to the hearer (Brown and Levinson 1987:124) as what could be seen in “A: “Ok if I tackle those cookies now?” B:”How about lending me this old heap of junk”. Alternatively, assert concern for hearer’s wants is when the speaker tries to align the

concern of the hearer with his (Brown and Levinson 1987:125) as in the instance of “Look, I know you want the car back by 5,0 so should(n’t) I go to town now?”. Moreover, offer/promise is when the speaker stress his cooperation to obtain things that the hearer wants (Brown and Levinson 1987:125) as in the example “I’ll drop by sometime next week”. Meanwhile, “Be optimistic” is when the speaker tries to blatantly tell the hearer about thing that they want as if it is what the hearer wants (Brown and Levinson 1987:126) as in the instance of “Wait a minute, you haven’t brushed your hair!”

In “Include speaker and hearer in activity” is when the speaker tries to put the speaker and hearer in the same place doing same activity together (Brown and Levinson 1987:127) as is observable in “Let’s have a cookie, then.”. Another form of positive politeness is “Give (or ask for) reasons” which is when the speaker assumes hearer in his practical reasoning by giving him a reason to do something (Brown and Levinson 1987:128) as what could be seen in “why not lend me your cottage for the weekend?”. In contrast, “assume reciprocity” is when the speaker assumes the hearer to return his favor (Brown and Levinson 1987:129) as in the example “I’ll do “X” for you if you do “Y” for me”. The last form of positive politeness is “Give gifts to hearer” which is when the speaker gives tangible gifts towards the hearer (Brown and Levinson 1987:129).

2.1.4. Negative Politeness

Negative politeness is a type of politeness strategy that minimizes threat to the hearer’s negative face. This politeness strategy intends to not thread on the hearer’s freedom of action (Brown and Levinson 1987:129). As opposed to positive politeness, this politeness strategy is used to create “social distancing” between the speaker and the hearer, serving as a social brake for the speaker (Brown and Levinson 1987:130). This type of politeness strategy is often found in professional settings, and between subordinate-boss interactions.

Negative politeness could be in many forms which includes be conventionally direct, hedge/question, be pessimistic, minimize the imposition, give deference, apologize, impersonalise hearer and speaker, state the FTA as the general rule, nominalize, and indebting the hearer. Being conventionally indirect (Brown and Levinson 1987:132) is when a person use indirect wordings as in “Could you possibly by any chance lend me your car for just a few minutes instead of Can I borrow your car?”. Alternatively, hedge/question (Brown and Levinson 1987:145) is when the person asked, even though the intent is giving request or order as in the instance of “can you shut the door?” instead of “I want you to shut the door.”. In

contrast to positive politeness's optimism, "be pessimistic" (Brown and Levinson 1987:173) is when the person is assuming that the speaker's wants are different from the hearer's needs as in the example of "You don't have any manilla envelopes by any chance do you?".

Another form of negative politeness is "minimize the imposition" (Brown and Levinson 1987:176) which is when the speaker minimize imposition in order to minimize impact as in "just" in the example of "I *just* want to ask you if I can borrow a single sheet of paper.". Conversely, "give deference" (Brown and Levinson 1987:178) is when a person is giving deference as in the example of "sir" in "Yes *sir*, I thought perhaps you wouldn't mind".

Additionally, "apologize" (Brown and Levinson 1987:187) is when the speaker is using apology to soften their message as in the instance of "I don't want to bother you but ...". Meanwhile, "impersonalize speaker and hearer" (Brown and Levinson 1987:190) is when the speaker used language that impersonalize himself and the hearer as in the instance of "It appears (to me) that ...". Another way of negative politeness is "state the FTA as a general rule" (Brown and Levinson 1987:206) which is when an FTA is introduced to mitigate offense as in the instance of "Passengers would please refrain from flushing toilets on the train".

Another form of negative politeness, "nominalize" (Brown and Levinson 1987:207) is when the speaker is using the noun form of a word instead of other forms to sound more polite as in the instance of "It is *my pleasure* to be able to inform you.". The last form of negative politeness is go on record as "incurring a debt, or as not indebteding the hearer" (Brown and Levinson 1987:210) where the speaker is signifying the fact that they would be owing the hearer if they do things as requested as in the instance of "I'd be eternally grateful if you would ...",

2.1.5. Off-record (Indirect)

Off record is a type of politeness strategy in which the true communicative intent of the speaker's utterance is deliberately made to be impossible to understand (multi-interpretative). This politeness strategy is used when a speaker wants to do an FTA while not being held accountable for doing it. The speaker could leave it to the hearer to decide how to interpret the message (Brown and Levinson 1987:211).

This type of politeness strategy includes give hints, association clues, presuppose, understate, overstate, use tautologies, use contradictions, be ironic, use metaphors, use rhetorical questions, be ambiguous, be vague, overgeneralize, displace hearer, and be

incomplete. “Give hints” is when the speaker is saying something not explicit and desiring the hearer to act a certain way as in the example of “It’s cold in here” means “shut the window” (Brown and Levinson 1987:213). Alternatively, “give association clues” is when the speaker mention things that “associates” with hearer’s actions such as “I’ve got a headache again.” could be interpreted as “borrow me your swimsuit” (Brown and Levinson 1987:215). In contrast, “presuppose” is when the speaker uttered something that contains presupposition as in the example of “I washed the car again today” could be interpreted as “it’s supposed to be your turn to wash the car” if the context is the speaker and the hearer agreed to share the task (Brown and Levinson 1987:217).

Another form of off record, understate is when the speaker violates the quantity maxim on the lower end to convey their meaning such as in the instance of “It’s not half bad” could mean “It’s surprisingly good” (Brown and Levinson 1987:217). As opposed to “understate”, “overstate” is when the speaker violates the quantity maxim on the higher end to convey their meaning as in the example of “There were a million people in the Co-op tonight!” (Brown and Levinson 1987:219). Alternatively, “use tautologies” is when the speaker uttered truths to convey meaning such as in “You’re men, why don’t you do something about it?” which assumes truth (being men) while assuming that men should “do something” to liven up their masculinity (Brown and Levinson 1987:220). Another example of off-record politeness is the “use contradictions” which is when the speaker is violating the maxim of quality to convey their meaning such as in the case of when someone asked “are you upset about that?” which is then answered by “well, yes and no.” (Brown and Levinson 1987:221). Meanwhile, “be ironic” is when the speaker used the opposite of what he means such as in “lovely neighborhood, eh?” but they are in a slum. (Brown and Levinson 1987:221). Alternatively, “use metaphors” is when the speaker used connotative language to denote meaning, such as in the case of “Harry’s a real fish. He swims like a fish” (Brown and Levinson 1987:222).

Moreover, “use rhetorical questions” is when the speaker asks a question with no intention of acquiring or looking for the answer as is observable in “How many times do I have to tell you?” (Brown and Levinson 1987:223). Conversely, “be ambiguous” is when the speaker uttered speech that has no clear connotation of it being an insult or compliment such as in the case of “John’s a pretty smooth cookie” (Brown and Levinson 1987:225). In addition, “be vague” is when the speaker is being vague about what the offense is such as in “Looks like someone may have had too much to drink” (Brown and Levinson 1987:226).

The next one is “over generalize” which is when the speaker is uttering general rule, and then the hearer decide whether the rule applies to them such as in the case of “mature people sometimes help do the dishes.” (Brown and Levinson 1987:226). Alternatively, “displace hearer” is when the speaker pretend to address FTA to someone who is not the target in hopes that their real target would see that the FTA is aimed at him such as in the case of secretary asking another secretary to pass her the stapler, even though the stapler is closer to the professor (Brown and Levinson 1987:226). The last type of off record is “be incomplete, use ellipsis” which is when the speaker violates both quality and quantity maxim such as in the example of “Well, I didn’t see you ...” (Brown and Levinson 1987:227).

2.1.6. Factors Influencing Politeness Strategies

Brown and Levinson (Brown and Levinson, 1987:69) proposed two dimensions in examining factors. These are the initial factors, and the “payoffs”. The initial factors are affected by sociological factors that may affect FTA and in effect the use of politeness. These factors are namely the social distance, the relative power and the absolute ranking of the imposition. The social distance deals with how close/frequent is the S and H, the relative power as the name suggests deals with how powerful be it material and metaphysical does the S holds over H, while Ranking of Imposition deals with how severe does the FTA interferes with the hearer’s self determination (negative face) or approval (positive face). (Brown and Levinson 1987:77)

2.1.7. Servant Leadership Theory

In relation to question three of the research, this study adopts servant leadership theory to measure the success of each character’s leadership. According to Greenleaf (1977) Servant Leadership is a philosophy in which the leader puts other people’s needs, aspirations and interests above their own. Further studies by Liden, et al. (2008) in their research titled “Servant leadership: Development of a multidimensional measure and multi-level assessment” believe that while there are inconsistent set of dimensions offered in servant leadership literature, they interpret that servant leadership is indicated by behaviors (characters) such as: (a) behaving ethically, (b) providing emotional healing, (c) putting subordinates first, (d) helping subordinates grow and succeed, (e) empowering employees, (f) creating value for the community, and (g) providing conceptual skills that extend beyond other leadership approaches (e.g., transformational leadership).

2.2. Research Methods

This section describes the research method used in this study. Description revolves around the type of research, data and data source, data collecting method and data analysis method.

2.2.1. Type of Research

The writer utilized the qualitative method for this study. As opposed to the quantitative method which is primarily used to gain statistical analysis, Qualitative method is primarily used in order to gain detailed comprehension of phenomena through the lens of related theories. This method of research functions as a means to analyze the politeness strategies used by the crew members of the USS Orville from the perspective of Brown and Levinson's politeness strategy. In addition, this study utilized a descriptive technique for analysis of politeness strategies found within the conversation of crew members.

2.2.2. Data and Data Source

The data of this research are utterances of the 2 “substitute captains” namely Bortus and Alara during their period of command of the USS Orville. The data population was obtained from the first season of the television series “*The Orville*” by Seth MacFarlane, aired in 2017. In total, there are 79 data in the population, with Bortus having 26 data and Alara having 53 data. This research utilized purposive sampling as the writer intentionally selected only the utterances of Bortus and Alara which can be categorized as politeness during their period of command in season 1 which can be found in episode 1 (Old Wounds), 2 (Command Performance) and 4 (If the Stars Should Appear). As the nature of politeness strategies are interpersonal, theoretically relevant utterances of those who interact with the aforementioned 2 crew members are also included to support the analysis by providing context. Data that has no correlation with the theory of politeness such as in the instance of monologue where they have no hearer and as such no “face” will not be included. In the same manner, utterances of the two that occur outside their period of command will also not be included.

2.2.3. Method of Collecting Data

The writer used the observation method to collect the data of this study. Data of this study are from audio from the television series.. This would mean that the writer employed content analysis in this study as content analysis examines all mediums where there are words. The usage of both audio and transcript of the series would minimize the inaccuracy of the observation. The writer watched the series repeatedly and paid close attention towards the

utterances of all two main subject characters that could be categorized as politeness strategies. The writer utilized the technique of note-taking to ensure that no observable classifiable act be left behind.

2.2.4. Method of Analyzing Data

The distributional method was utilized in data analysis of this study as it is the method that classifies data based on their similarities. Firstly, the writer organized the collected relevant utterances of all two main characters according to its type of politeness strategies based on Brown and Levinson's theory. Following this, the writer analyzed the factors that influence the character's choice of one politeness strategy over the others and explained it using the terms of the theory. Factors taken into account are social distance, power relation, and degree of FTA imposition. Finally, the writer would draw a conclusion based on the facts presented in the study.